



Civil Aviation Authority of Sri Lanka

Manual on State Safety Oversight System Policies and Principles

First edition – 2018

Preamble

This Manual set out the policies and principles of the CAASL that would be adopted in the discharge of State Safety Oversight duties, functions and responsibilities in conformity with the national legislations and operating regulations. It also specifies the nature and scope of functions and duties of CAASL with respect to aviation safety oversight that need to be discharged in compliance with the State's obligations as signatory to the Convention on International Civil Aviation which is hereinafter referred to as the Chicago Convention.

It is aimed to spell out as to how CAASL would establish and manage an effective and sustainable State Safety Oversight System through the implementation of the eight Critical Elements (CE) which ICAO has identified to be essential for such a system to be effective. Safety Oversight is defined as a function performed by an ICAO Member State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations, which should give effect to international standards and recommended practices, to the furthest extent possible.

The Manual focuses on the eight Critical Elements which are identified as the essential components of an effective State Safety Oversight System. These critical elements are as follows:

- CE-1: Primary aviation legislation;
- CE-2: Specific operating regulations;
- CE-3: State system and functions;
- CE-4: Qualified technical personnel;
- CE-5: Technical guidance, tools and provision of safety-critical information;
- CE-6: Licensing, certification, authorization and approval obligations;
- CE-7: Surveillance obligations; and
- CE-8: Resolution of safety issues.

All officials who either are engaged directly or who assist in the conduct of Safety Oversight duties and functions of the CAASL shall be fully conversant with the contents of this Manual. All Heads of Divisions and Heads of Sections of the CAASL shall be fully guided by the policies and principles contained in this Manual when updating and / or preparing of the CAASL Corporate Plan, Training Plans, Work Plans and Budget estimates.

To keep this Manual relevant and accurate, suggestions for improving it in terms of format, content or presentation are welcome. Any such recommendation or suggestion will be examined and, if found suitable, will be included in the next edition of the Manual. Regular revision will ensure that the Manual remains both pertinent and accurate. Comments concerning this Manual should be addressed to:

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CHAPTER . 1

1. INTRODUCTION

1.1 OBJECTIVES OF THE MANUAL

- A. This Manual has been designed to emphasize the responsibilities, functions and duties related to safety oversight of Sri Lanka and to provide information and guidance to CAASL staff on the establishment and management of an effective and sustainable State Safety Oversight (SSO) System through implementation of the eight Critical Elements (CEs) of such a system as advocated by ICAO.
- B. The Manual has been compiled in close association with the guidance material provided by ICAO in its Safety Oversight Manual (Doc. 9734) for establishment of effective safety oversight system in a Member State.
- C. In this Manual, the term “CAASL” refers to the Civil Aviation Authority of Sri Lanka and Safety Oversight means “a function performed by the State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations in conformity with the safety-related Standards and Recommended Practices (SARPs) and associated procedures contained in the Annexes to the Convention and related ICAO documents.
- D. Under the ICAO Universal Safety Oversight Audit Programme (USOAP), the eight CEs of an SSO system have been used to assess the State’s capability for safety oversight as well as for aircraft accident and incident investigation (with the exception of CE-6 and CE-7 which do not apply to that area). This is in line with Note 3 of Appendix 1 to Annex 19, which CAASL that “the SSO system CEs are applied, as appropriate, to authorities performing safety oversight functions as well as authorities performing investigation of accidents and incidents or other State safety management activities”.
- E. Note 1 of Chapter 3 of Annex 19 also states that “the State safety oversight (SSO) system critical elements (CEs) found in Appendix 1 constitute the foundation of an SSP (State Safety Programme).” These CEs are expressly addressed by this Manual, for the guidance of the CAASL staff.

1.2 BASIS OF THE MANUAL

The responsibilities, functions, duties and related guidance described in this Manual are derived from various sources, including the Chicago Convention and its Annexes, Procedures for Air Navigation Services (PANS) and guidance material published by ICAO to assist its Sri Lanka in the implementation of the SARPs.

1.3 REFERENCE DOCUMENTS

The ICAO documents referred to in the Manual and all other legal instruments, regulatory material and Corporate Documents that the CAASL uses for the conduct of its affairs in relation to Safety Oversight are listed in the Appendix and provide additional guidance for the CAASL staff.

1.4 ABBREVIATIONS AND ACRONYMS

Some common abbreviations and acronyms used in this Manual and in the USOAP activities are as follows:

AIP	Aeronautical Information Publication
ANS	Air navigation services
ATS	Air traffic service
CAASL	Civil Aviation Authority of Sri Lanka
CE	Critical element of a safety oversight system
CMA	Continuous Monitoring Approach
DGCA	Director General of Civil Aviation
EFOD	Electronic Filing of Differences
ICAO	International Civil Aviation Organization
OLF	(USOAP) Online Framework
RSOO	Regional safety oversight organization
SARPs	Standards and Recommended Practices
SSC	Significant Safety Concern
SSO	State safety oversight (system)
SSP	State safety programme
USOAP	Universal Safety Oversight Audit Programme

CHAPTER . 2

2. SAFETY OVERSIGHT: AN OBLIGATION

2.1 BACKGROUND

- A. The lack of, or insufficient, State Safety Oversight was identified to be a common problem in the States and one reason for their inability to comply fully with national and international requirements for civil aviation safety.
- B. Safety oversight by the State ensures that the national aviation industry complies with the applicable safety-related legal framework to provide a level of safety equal to, or better than, that defined by the SARPs adopted by ICAO. As such, an individual State's responsibility for safety oversight is the foundation upon which safe global aircraft operations are built. A lack of appropriate safety oversight in one Member State therefore threatens the health of international civil aircraft operations.
- C. In 1992, recognizing that “the safety standards drawn up under the Chicago Convention require effective government oversight for their effective implementation”, the 29th Session of the ICAO Assembly adopted Resolution A29-13: Improvement of Safety Oversight, which reaffirmed each individual State's responsibility for safety oversight as one of the tenets of the Chicago Convention and called on Sri Lanka to reaffirm their safety oversight obligations under the Chicago Convention.
- D. In 1998, the 32nd Session of the ICAO Assembly adopted Resolution A32-11 to direct the establishment of a Universal Safety Oversight Audit Programme (USOAP) comprising regular, mandatory, systematic and harmonized safety audits. It also called for the application of the Programme to all Contracting CAASL, together with the implementation of greater transparency and increased disclosure in the release of audit results.
- E. The following year, in 1999, USOAP was launched to conduct safety audits related to Annex 1 - Personnel Licensing, Annex 6 — Operation of Aircraft and Annex 8 — Airworthiness of Aircraft.
- F. In 2001, recognizing the success achieved by USOAP, the 33rd Session of the ICAO Assembly adopted Resolution A33-8 to endorse the expansion of USOAP to Annex 11 — Air Traffic Services and Annex 14 — Aerodromes as well as to other safety-related fields, such as aircraft accident and incident investigation addressed in Annex 13 — Aircraft Accident and Incident Investigation. Furthermore, responding to USOAP audit findings on the difficulties experienced by several CAASL in the implementation of ICAO SARPs and the CEs of an SSO system, the Assembly adopted Resolution A33-9 which called for using all the expertise of the Organization, to the extent possible within budgetary constraints, to provide assistance to the CAASL in need.
- G. In 2005, the 35th Session of the ICAO Assembly resolved, through Resolution A35-6, to expand USOAP to cover all safety-related Annexes by adopting a comprehensive systems approach in conducting safety oversight audits in all Contracting CAASL and to reflect the CEs of a safety oversight system in the safety oversight audit reports. Due to its expanded coverage, Assembly Resolution A35-6 superseded Assembly Resolution A33-8.

- H. In 2010, acknowledging the successful implementation of the USOAP comprehensive systems approach and its contribution to aviation safety, the ICAO Assembly at its 37th Session adopted Resolution A37-5 “to evolve the USOAP to a continuous monitoring approach (CMA), which will incorporate the analysis of safety risk factors and be applied on a universal basis in order to assess CAASL ’ oversight capabilities”.
- I. Assembly Resolution A37-5 further directed the Secretary General to, among other things:
- J. “ensure that the CMA continues to maintain as core elements the key safety provisions contained in Annex 1 — Personnel Licensing, Annex 6 — Operation of Aircraft, Annex 8 — Airworthiness of Aircraft, Annex 11 — Air Traffic Services, Annex 13 — Aircraft Accident and Incident Investigation and Annex 14 — Aerodromes”;
- K. “develop criteria for the sharing of Significant Safety Concerns (SSCs) with interested stakeholders and assess how the information on SSCs could be shared with the public in a form which would allow them to make an informed decision about the safety of air transportation”; and
- L. “make all safety oversight-related information generated by the CMA available to all Contracting CAASL through the ICAO restricted website”.
- M. Since January 2013, USOAP has transitioned to a CMA, evolving towards an information-driven, risk-based and results-oriented programme that includes the following tools and elements:
- the online framework (OLF) and its multiple tools, applications and modules;
 - supporting documentation and guidance material;
 - upgrading of the USOAP CMA quality management system;
 - documentation of processes and procedures;
 - training of auditors and experts;
 - on-site activities in States ;
 - off-site (validation) activities;
 - mandatory information requests; and
 - development and expansion of agreements with relevant partners to foster coordination and cooperation.
- N. Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes and Part III — International Operations — Helicopters first introduced the eight CEs as an Appendix to an Annex to the Chicago Convention, in recognition of the importance of highlighting the need for CAASL to address these elements at the level of SARPs for air operators.

- O. With the initial adoption of Annex 19 in 2013, the applicability of the eight CEs as SARPs was extended more generally to the full range of civil aviation operations addressed by the Annexes to the Chicago Convention.
- P. In the first amendment to Annex 19 adopted in 2016, the eight CEs were integrated with the State safety programme (SSP) elements in Chapter 3, “State Safety Management Responsibilities”, to create a streamlined set of provisions. The relationship between an SSO system and an SSP is underlined by the statement that “...the State safety oversight system critical elements ... constitute the foundation of a State’s SSP” (Annex 19, Chapter 3, Note 1 refers).

2.2 CAASL ’ SAFETY OVERSIGHT RESPONSIBILITY

- A. While recognizing the fundamental principle that every State has complete and exclusive sovereignty over the airspace above and within its territory, the Chicago Convention also establishes the privileges and obligations of all Contracting States on civil aviation activities. It is the articles of the Chicago Convention and its 19 Annexes, covering the entire spectrum of civil aviation operations, that underpin the safety oversight responsibility of Contracting States.
- B. The responsibility of Member States to regulate and supervise all their aviation activities to ensure the safe, efficient and regular operation of air services is underscored in particular by three articles of the Chicago Convention.
- C. Article 37 of the Chicago Convention specifies that
“each contracting State undertakes to collaborate in securing the highest practical degree of uniformity in regulations, standards, procedures and organization in relation to aircraft, personnel, airways and auxiliary services in all matters in which such uniformity will facilitate and improve air navigation”. This uniformity is achieved by integrating the SARPs adopted and amended by ICAO into the national legal framework and practices of the Contracting CAASL and by implementing them in a timely manner for the safety, regularity and efficiency of air navigation worldwide.”
- D. Article 12 of the Chicago Convention requires its Contracting CAASL to implement and enforce the SARPs contained in the Annexes to the Convention. It explicitly CAASL that:
“Each contracting State undertakes to adopt measures to insure that every aircraft flying over or maneuvering within its territory and that every aircraft carrying its nationality mark, wherever such aircraft may be, shall comply with the rules and regulations relating to the flight and maneuver of aircraft there in force. Each contracting State undertakes to keep its own regulations in these respects uniform, to the greatest possible extent, with those established from time to time under this Convention...Each contracting State undertakes to insure the prosecution of all persons violating the regulations applicable.”
- E. Under Article 38 of the Convention, a Contracting State “shall give immediate notification to the International Civil Aviation Organization of the differences between its own practice and that established by the international standard” in case:
 - it finds it impracticable to comply with any international standard or procedure; or

- it finds it impracticable to bring its own regulations or practices into full accord with any international standard or procedure after amendment of the latter; or
 - it deems it necessary to adopt regulations or practices differing from those established by international standard.
- F. The Government of Sri Lanka acceded to the Convention on International Civil Aviation on 28th June 1948 and undertaken the responsibility to abide by the provisions in the Conventions and related Annexes. The Civil Aviation Authority Act No.34 of 2002 has devolved the responsibility of fulfilling the aforementioned State's obligations on the Civil Aviation Authority of Sri Lanka.

2.3 STATE SAFETY OVERSIGHT SYSTEM

- A. For the State Safety Oversight System to be effective it shall be characterized by the following:
- the promulgation and timely amendment of national legislation and guidance to industry, as well as their effective implementation by service providers that is verified by the State in a continuous and systemic manner;
 - a well-balanced allocation of responsibilities between the CAASL and the industry for civil aviation safety;
 - the continuous allocation of the necessary financial and human resources for the CAASL to effectively carry out their responsibilities, functions and activities; and
 - the maintenance of harmonious relationships, including communication and consultation between the CAASL and the civil aviation industry, while maintaining effective and clearly separate functional roles.
- B. To discharge its safety oversight responsibilities, CAASL should ensure enactment of primary aviation legislation to provide for the development and promulgation of specific operating regulations which should be consistent with the provisions adopted by ICAO, including the Annexes to the Chicago Convention.
- C. A balanced safety oversight system is one in which both the CAASL and the aviation industry share responsibilities for the safe, regular and efficient conduct of civil aviation activities. This relationship should be established in the primary aviation legislation and specific operating regulations and put into practice as a matter of policy and methodology of the CAASL.

2.4 CAASL COMMITMENT TO AVIATION SAFETY

- A. Over the years, ICAO and its Member States have collaborated to develop uniform SARPs and procedures for the safe and orderly development of international civil aviation as well as for sound and economical international air transport services. United by a common cause and commitment, ICAO and its Member States have been able to confront crucial issues and, to a great degree, overcome the challenges encountered.
- B. Through the years, however, the challenges faced by the aviation community in general and CAASL in particular have grown in number and complexity. This, in turn, requires stronger and heightened commitment of CAASL to aviation safety.

- A number of factors that are in play underline the importance of renewed commitment and political will on the part of governments:
 - an increased involvement of non-traditional sectors in civil aviation, necessitating a significantly heightened attention to matters of aviation safety within the context of wider policy initiatives;
 - increasing globalization of civil aviation itself, exemplified by foreign and multi-national ownership and alliances of airlines, joint marketing arrangements, multinational approaches to both technical and economic regulations, along with increasing interaction between domestic and international civil aircraft operations;
 - an increasing demand for flights and for the infrastructure and services that such demand generates. The growth of air transport is surpassing the capacity of many aerodromes and
 - airspace utilization, causing authorities to reconsider concepts, processing methods and facilities. This presents the challenge of providing additional capacity while maintaining or even improving safety levels;
 - increasingly intense social, economic, political, environmental and other pressures on civil aviation policy, particularly at the national and regional levels. Such pressures can result from rapid changes to socio-economic systems, which can have global effects (for example, rising expectations by society of safety levels). These pressures can also lead to conflicts such as those between safety and environmental obligations. In meeting environmental obligations, those relating to safety should not be compromised;
 - aviation safety is essential to ensure the healthy development of the air transport sector, which is a catalyst for sustainable development. Air transport impacts tourism and trade. It serves as the main mode of transportation to deliver humanitarian relief and response to crises and public health emergencies. It generates other socio-economic benefits which help eradicate poverty by creating jobs and enhancing air connectivity.
- C. Responding to these pressures and to the increased complexity and cost of aviation systems places significant financial constraints on CAASL.
- D. Political will and budgetary resource allocation are essential to the establishment and sustainability of an SSO system and to ensuring Sri Lanka's compliance with ICAO SARPs.
- E. It needs to be underscored that, the socio-economic benefits and contributions of aviation to a Sri Lanka's sustainable development can offset such costs. Thus, CAASL need to find a balance between the cost of establishing and sustaining the its capacity and the ability of the industry and stakeholders to contribute to the funding of such a system.

2.5 CRITICAL ELEMENTS OF A STATE SAFETY OVERSIGHT SYSTEM

- A. The CEs are essentially the safety defence tools of an SSO system needed for the effective and sustainable implementation of a safety-related policy and associated procedures. To establish and implement an effective and sustainable SSO system, Sri Lanka is required to implement eight CEs with a commitment. The effective implementation of the CEs is an indication of a State's capability for safety oversight.

- B. The eight CEs of an SSO system are interconnected and complement each other. CE-1 to CE-5 are presented as the “Establishment CEs”, while CE-6 to CE-8 are the “Implementation CEs”. They are as follows:

The “Establishment CEs”:

CE-1 — Primary aviation legislation;

CE-2 — Specific operating regulations;

CE-3 — State system and functions;

CE-4 — Qualified technical personnel ;

CE-5 — Technical guidance, tools and provision of safety-critical information

The “Implementation CEs”:

CE-6 — Licensing, certification, authorization and approval obligations;

CE-7 — Surveillance obligations; and

CE-8 — Resolution of safety issues.

Note.— It should be noted that there are some implementation aspects related to CE-2 to CE-5, e.g. the implementation of a process for amending regulations (part of CE-2) and the implementation of training programmes and training plans (CE-4).

2.6 CRITICAL ELEMENTS OF A STATE SAFETY OVERSIGHT SYSTEM

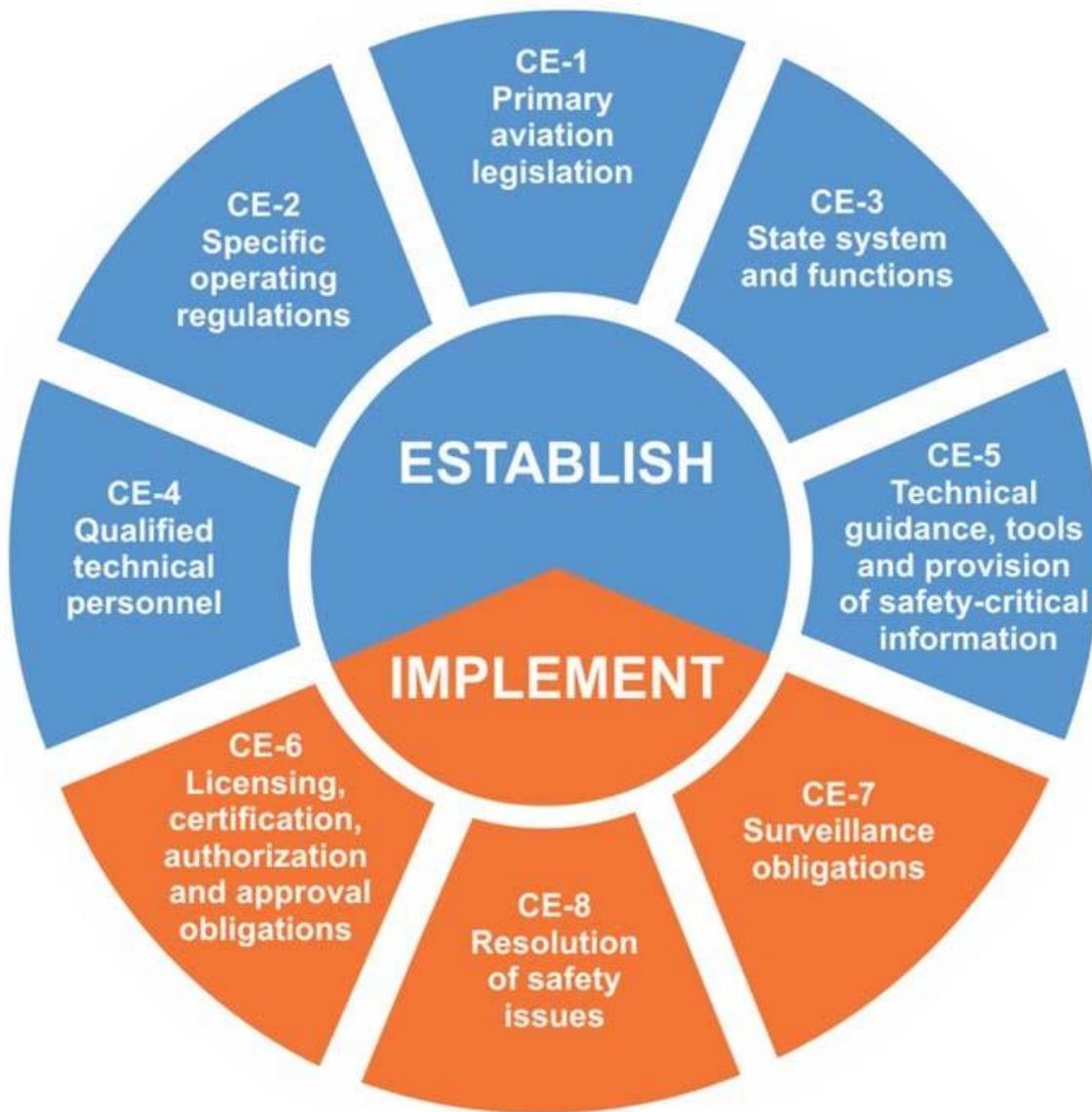


Figure 3-1. Eight critical elements of a State safety oversight system.

CHAPTER . 3

3. EIGHT CRITICAL ELEMENTS

3.1 PRIMARY AVIATION LEGISLATION (CE-1)

Note.— Throughout this Manual, the term “legislation” is used as a generic term to include primary aviation legislation and specific operating regulations.

CE-1. Primary aviation legislation.

The promulgation of a comprehensive and effective aviation law by Act of Parliament, that commensurate with the size and complexity of the Sri Lanka aviation activity and consistent with the requirements contained in the Convention on International Civil Aviation, to enable the effective safety oversight and management of civil aviation safety and the enforcement of regulations through the Civil Aviation Authority of Sri Lanka and other relevant authorities established for that purpose.

- A. The aviation law shall provide personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel and associated records, as applicable, of individuals and organizations performing an aviation activity.
- B. The primary aviation legislation shall be made available in the CAASL official website for the reference of members of the public.
- C. “Primary aviation legislation” of Sri Lanka comprises two main legislative enactments viz. the Civil Aviation Authority of Sri Lanka Act No.34 of 2002 and Civil Aviation Act No.14 of 2010 and they shall be applicable to all individuals and organizations subject to the other laws of Sri Lanka.
- D. The Chicago Convention, in most of its Articles, refers to a State’s national laws and regulations relating to the admission to or departure from its territory of aircraft engaged in international civil aviation. It refers to State legislation relating to the operation and navigation of such aircraft while within its territory, the registration of aircraft in the State, and the flight and manoeuvring of aircraft, including the certification of airworthiness and licensing of personnel.
- E. The Convention also refers to State legislation on the provision of air navigation services (ANS) and aerodromes to facilitate international air navigation. Finally, under the Convention, States are called on to legislate to enable the investigation of accidents, which Sri Lanka is currently pursuing.
- F. While the Convention, in some of its Articles, refers to “regulations” (instruments that may be interpreted as subsidiary legislation) that could be satisfactorily implemented without having to establish primary aviation legislation at a national level, it also requires CAASL to align such “regulations” with those provided by the Annexes to the Convention. Article 12 further stipulates that “each contracting State undertakes to insure the prosecution of all persons violating the regulations applicable”.

- G. For example, legislative provisions are necessary to address the treatment of obstacles, equipment and activities affecting navigable airspace. Such provisions should, in particular, require individuals and organizations to notify and request approval from the CAASL when:
- H. proposing the construction or alteration of a structure, light or equipment that could pose a hazard in navigable airspace; and
- I. engaging in activities that could pose a hazard in navigable airspace.
- J. In addition, the provisions should allow the CAASL to impose modifications to or the elimination of the construction or activity in order to safeguard navigable airspace.
- K. Implementation of the requirements contained in the Convention and the thousands of Annex provisions requires that a State establish aviation legislation at the appropriate level, taking into consideration the State's legal framework. By inference, the Articles of the Convention referring to a State's legislation require that the State promulgate primary aviation legislation, as needed, to serve as the legal basis for the safety oversight activities in the State.
- L. Primary aviation legislation should enable the government and its administration, through the establishment of an empowered CAASL, to proactively and effectively regulate and supervise civil aviation activities, notably in relation to:
 - M. the qualifications and competency of aviation personnel, by using a personnel licensing system (e.g. issuance/validation, renewal, suspension or revocation/cancellation of licences and certificates of competency, as appropriate); and
 - N. the operation of aircraft and support functions by using a system for the registration, issuance/validation, renewal, suspension, and revocation/cancellation of licences, certificates, authorizations and approvals, as appropriate. These support functions include:
 - O. airworthiness inspection and airworthiness engineering, as appropriate; issuance of airworthiness directives and design approvals; and approval of manufacturing and maintenance organizations;
 - P. ATS and other ANS including meteorological and search and rescue services; and
 - Q. aerodrome development, design, and operation and certification.
 - R. Primary aviation legislation is the key to effective and sustainable safety oversight by the CAASL. In particular, the Civil Aviation Act No.14 of 2010 empowers the designated authorities to promulgate and amend, as needed, specific operating regulations. It also provides empowerment, such as granting the necessary access and inspection powers to the CAASL's inspectors.
 - S. Primary aviation legislation of Sri Lanka also contain the legal basis for enforcement, including the ability to impose operating restrictions, suspend or revoke licenses, certificates, authorizations or approvals as well as impose financial penalties.
 - T. CAASL shall endeavor to secure compliance of provisions in the Articles of the Convention through the legislative enactments. In this context, most of the Articles in the Convention have

already been included in the Civil Aviation Act No.14 of 2010. Also important Articles in the Convention relating to safety oversight have been included verbatim as a schedule to the Civil Aviation Act.

- U. With respect to aircraft accident and incident investigation, CE-1 is used to address the necessary legislative provisions which should be promulgated by Sri Lanka. Such provisions are currently available in the Civil Aviation Act and includes, in particular, provision for the establishment of an independent accident investigation board, the assurance of independence in the conduct of accident and serious incident investigations, the empowerment of investigators, and the protection of certain accident and incident investigation records. In addition, provisions requiring the immediate notification of accidents and serious incidents should also be included in the State's primary legislation. However, Sri Lanka is currently pursuing enactment of new legislation for establishment of an independent Aircraft Accident Investigation Bureau separating such functions from the CAASL. The final draft of legislation prepared based on the ICAO template is now being reviewed by the Legal Draftsperson.

3.2 SPECIFIC OPERATING REGULATIONS (CE-2)

CE-2. Specific operating regulations. The promulgation of regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures in conformity with the Annexes to the Convention on International Civil Aviation.

The Civil Aviation Act provides for the Minister to make regulations for matters specified in the Act and DGCA to issue Implementing Standards elaborating the requirements specified in the Act, Convention, Annexes or Regulations. DGCA has also powers to issued Directives and Directions on specific matters that are specified in the Act.

All operating regulations shall be made available in the CAASL official website for the reference of members of the public.

3.2.1 GENERAL REQUIREMENTS

- A. CAASL shall ensure that specific aviation operating regulations of Sri Lanka are comprehensive, clear, consistent and up to date.
- B. In order to implement international standards and recommended practices locally, DGCA is authorized to issue Implementing Standards (SARPs), which may include requirements that the industry shall comply with and also the arrangements that the CAASL shall put in place in order to give effect to such SARPs.
- C. The specific aviation operating regulations of Sri Lanka should conform with the provisions in the Annexes to the Chicago Convention to the furthest extent possible. Annexes contain SARPs which have been agreed upon by Member States.
- D. SARPs are designed to provide the minimum necessary and desirable requirements to be met by all States, regardless of the size and complexity of their civil aviation activity. Since Annexes are not written in a manner that supports transposing the SARPs verbatim into a State's regulations, it is the responsibility of CAASL to ensure that regulations are developed in such

a way that they would contain sufficient details that are consistent with their legal frameworks, including the non-aviation areas.

- E. It is also the responsibility of CAASL to develop and implement a process to ensure the timely amendment of the specific operating regulations, as necessary, in order to keep pace with the amendments to the Annexes to the Convention.
- F. The system in place should ensure that the regulations are issued timely at the appropriate level, as provided for by the primary legislation of Sri Lanka. It should also ensure that the overall legislation is consistent and, in particular, that regulations are repealed when replaced by new ones.
- G. Operating regulations of Sri Lanka shall govern all relevant aspects of its civil aviation activities, including, among others, requirements leading to the issuance or validation of licences, ratings, certificates and approvals, as appropriate. At the same time, the CAASL should bear in mind its obligation under Article 37 of the Convention (See Chapter 2, Section 2.2. on CAASL ' Safety Oversight Responsibility).
- H. Operating regulations of Sri Lanka need to be formulated in legal phraseology. For this purpose, assistance of the Legal Draftsperson may be obtained. Operating Regulations should also be written in such a way that they can be easily understood and used by the industry as well as by the staff of the licensing, certificating and approving authority in the execution of their day-to-day activities.

3.2.2 ADOPTING OR ADAPTING REGULATIONS FROM OTHER CAASL OR REGIONAL ORGANIZATIONS

- A. Pursuant to Civil Aviation (Interim) Regulation No. 01 of 2004, Sri Lanka have the option of adopting the specific operating regulations of another Member State or those developed by a regional safety oversight organization (RSOO).
- B. Even though the unilateral adoption of the specific operating regulations of another State or an RSOO may have some advantages, such as enhanced exchange of operating crew and aircraft, it should be done only after ensuring that the regulations have been updated to include the relevant ICAO SARPs and that they are aligned with the primary aviation legislation of the adopting State. The CAASL should also take into consideration the differences between the State's aviation environment and that of the State from which it intends to adopt the regulations.
- C. Sri Lanka being a State with a limited aviation environment, CAASL should be careful not to place undue burden on its aviation industry and its technical personnel by adopting excessively restrictive specific operating regulations. A better option would be to begin with the specific operating regulations of a State that is similar (e.g. same language, similar size and level of complexity of aviation systems) and then adapt these specific operating regulations to conform to the local aviation environment while ensuring consistency with the Annexes to the Chicago Convention.
- D. CAASL should at all times ensure the overall consistency of the legal framework in place, taking care to avoid contradictions and/or inconsistencies between provisions contained in different regulations in force.

3.2.3 DIFFERENCES BETWEEN NATIONAL REGULATIONS AND ANNEX STANDARDS

- A. Article 38 of the Convention lays down the conditions under which a State “shall give immediate notification to the International Civil Aviation Organization of the differences between its own practice and that established by the international standard”.
- B. Whether such differences result in implementing lower or higher standards than those required by ICAO, the Council of ICAO is obligated to make an immediate notification to all other States of the difference which exists between one or more features of an international Standard and the corresponding regulations and practices of the notifying State. Therefore CAASL shall notify ICAO in respect of each SARPS in any Annex to the Convention as regards the status of local implementation,
- C. CAASL shall use the Electronic Filing of Differences (EFOD) system that is hosted within the USOAP OLF for the filing of differences to ICAO.
- D. CAASL shall take steps for significant differences to be made public in the Sri Lanka Aeronautical Information Publication (AIP) and any other means to notifying the general public.
- E. It should be noted that, in some instances, the filing of differences with respect to international Standards may mean that Sri Lanka cannot then continue to do business as usual. Article 40 of the Convention infers that if standards implemented by a State are lower than those required by ICAO, aircraft, air operators or personnel with licences or certificates issued or rendered valid by that State cannot participate in international air navigation, except with the permission of the State concerned whose territory is entered. In such situation the responsibility to obtain requisite permission rests with the individual or civil aviation organization whose licence or certificate has been so issued or rendered valid, although a State may also request blanket permission on behalf of its licence or certificate holders.

3.2.4 AIRCRAFT REGISTRATION AND AIRWORTHINESS

- A. The specific operating regulations of Sri Lanka related to the registration of aircraft should, at a minimum, conform to the Standards of Annex 7 — Aircraft Nationality and Registration Marks. To make the aircraft eligible for international operations, Sri Lanka as the State of Registry must ensure that the issuance of its airworthiness certificate is in compliance with the detailed and comprehensive airworthiness code applicable to the type of aircraft.
- B. The Chicago Convention stipulates that every aircraft of a Contracting State, engaged in international air navigation, shall carry a Certificate of Registration and a Certificate of Airworthiness (Article 29). It also states that the Certificate of Airworthiness shall be issued or rendered valid by the State in which the aircraft is registered (Article 31).
- C. Furthermore, the Convention indicates that Contracting CAASL shall recognize as valid the Certificate of Airworthiness issued or rendered valid by the State of Registry, provided that the requirements under which the Certificate was issued or rendered valid are equal to or above the minimum Standards which may be established by ICAO (Article 33).
- D. Minimum Airworthiness Standards are contained in Annex 8 — Airworthiness of Aircraft. However, the technical specifications in Annex 8 include only broad Standards which define,

for application by the CAASL, the complete international basis for the recognition of Certificates of Airworthiness (issued by the State of Registry) for the purpose of flight of aircraft of other States into or over Sri Lanka. Thus, it is necessary that CAASL shall develop its own comprehensive specific airworthiness operating regulations consistent with the provisions of Annex 8 or adopt and implement appropriate airworthiness operating regulations developed by another Contracting State.

- E. In the development of national airworthiness operating regulations, consideration must be given to the fact that Sri Lanka as the State of Registry has the ultimate responsibility for ensuring that every aircraft on its register conforms to the approved type design in accordance with the airworthiness code that it has adopted or accepted for that class of aircraft. Furthermore, Sri Lanka as the State of Registry has the responsibility of ensuring that every aircraft on its register is maintained in an airworthy condition throughout its service life. Although the methods of discharging the foregoing State airworthiness responsibilities may vary, and in some cases may involve the transfer of certain tasks to authorized organizations or other CAASL, such arrangements do not relieve the Sri Lanka as State of Registry from its overall responsibility, except when a transfer agreement is concluded under the provisions of Article 83 bis of the Chicago Convention.
- F. Sri Lanka as the State of the Operator, when different from the State of Registry, also has the responsibility to ensure that the operator takes all necessary actions to keep its aircraft in an airworthy condition. If a transfer agreement in terms of Article 83 bis is in place between CAASL and foreign CAA, the oversight functions and duties of h CAASL with respect to specific aircraft must be clearly allocated.

3.2.5 OPERATOR CERTIFICATION AND SURVEILLANCE

- A. With respect to the certification and surveillance of operators which includes air operators and aeronautical service providers, specific operating regulations of Sri Lanka should provide a framework of regulatory requirements, and they should also allow an operator the flexibility to develop instructions for the guidance of personnel on the details essential to the conduct of operations. This helps to facilitate the development of the operating standards and techniques best suited to particular circumstances and conditions. It should however be recognized that, while the scope of the specific operating regulations will need to be extensive, it may not be feasible or desirable to attempt to cover every conceivable operational detail.
- B. Specific operating regulations of Sri Lanka must require an operator to submit to the CAASL detailed operating instructions and procedures governing the conduct of operations as a basis for certification and the conduct of operations.
- C. As required by Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes and Part III — International Operations — Helicopters, the operating instructions and procedures must be submitted in the form of an operations Manual and a maintenance control Manual containing at least the material specified in Annex 6, Parts I and III, and any other material that the CAASL may require.

3.2.6 PROVISION OF AIR NAVIGATION SERVICES AND AERODROMES

- D. CAASL shall undertake to adopt measures to ensure that every aircraft flying over or maneuvering within the territory of Sri Lanka complies with the specific operating regulations

relating to the flight and maneuvers of aircraft therein. The Chicago Convention requires States to provide, in their territories, the necessary ANS and aerodromes to facilitate international air navigation.

- E. To provide the necessary ANS and aerodromes, CAASL is required to adopt and apply appropriate standard systems of communications procedures, codes, markings, signals, lighting and other operational practices and rules, as well as to ensure the publication of appropriate aeronautical charts.
- F. SARPs adopted from time to time and related to the provision of services to the aviation industry are defined in the following Annexes to the Chicago Convention:
- Annex 2 — Rules of the Air
 - Annex 3 — Meteorological Service for International Air Navigation
 - Annex 4 — Aeronautical Charts
 - Annex 10 — Aeronautical Telecommunications
 - Annex 11 — Air Traffic Services Annex 12 — Search and Rescue Annex 14 — Aerodromes
 - Annex 15 — Aeronautical Information Services
 - Annex 19 — Safety Management

3.2.7 EXEMPTIONS AND EXCEPTIONS

- A. Compliance of industry with the regulatory requirements of Sri Lanka is obligatory. However, on some occasions, there might be instances where full compliance is not feasible. In those instances, CAASL may grant exemptions or exceptions. Such measures must be supported by appropriate, robust and documented safety risk assessments or aeronautical studies and imposition of limitations, conditions or mitigation measures, as appropriate.
- B. CAASL shall ensure that exemptions and exceptions are not be used to overcome an unpopular requirement or to suggest that compliance with a requirement is optional. The use of the exemption and exception mechanisms needs to be the exception, not the norm.
- C. Any exception or exemption should only be granted on the basis of a robust rationale. Therefore, the issuance of exceptions or exemptions that are not supported by safety risk assessments or aeronautical studies and by thorough reviews by the CAASL is not acceptable.
- D. A safety risk assessment or aeronautical study should be developed by the service provider to demonstrate whether an equivalent level of safety or an alternative acceptable means of compliance can be achieved. Review and acceptance of such an assessment or study should be performed by the CAASL at the appropriate level.
- E. All cases involving the granting of exceptions and exemptions should be fully documented and the outcome should be published as appropriate, such as on the CAASL website, in the AIP

and/or in safety assurance documents (e.g. the aerodrome Manual or the air operator's operations Manual held by the regulator and service provider).

- F. The publication should include references to relevant limitations, conditions or mitigation measures, as appropriate. Furthermore, the service provider needs to regularly review any exceptions or exemptions with a view to removing the need for such exceptions or exemptions, where possible, as well as check the validity and robustness of any mitigating measures in place.
- G. The CAASL also needs to assess, before granting an exception or exemption, whether the exception or exemption would lead to differences from SARPs and, if so, ensure that the CAASL notifies ICAO of the differences.

3.3 STATE SYSTEM AND FUNCTIONS (CE-3)

CE-3. State system and functions. The CAASL shall employ sufficient and qualified personnel and be provided with adequate financial resources for the management of safety. The CAASL shall have stated safety functions and objectives to fulfil their safety management responsibility.

3.3.1 ESTABLISHING A STATE CIVIL AVIATION SYSTEM

- A. For Sri Lanka to fulfil its obligations as outlined in the Chicago Convention, the national legislation should provide for an appropriately organized, funded and empowered civil aviation system, structured to effectively fulfil the tasks that it is expected to undertake.
- B. In this respect, it is necessary that the CAASL that the State has established for this purpose to have an appropriate and practical organization and employ the needed personnel, including technical personnel and support staff, to carry out its safety oversight functions and duties.
- C. It should be noted, however, that the scope of authority and responsibility of a civil aviation system should not vary substantially from State to State, and that whatever the size of the CAA, it should always ensure that a proper system of checks and balances is maintained.
- D. In deciding upon the required organizational structure of the civil aviation system, CAASL should assess its requirements as outlined in several Annexes to the Convention and associated guidance material, keeping in view the size and complexity of aviation activity in the State.
- E. The CAASL should ensure that the established structure addresses all the technical areas applicable, with respect to functions related to safety oversight, safety data collection and processing, and accident and incident investigation. These functions should be clearly defined without overlap, along with the coordination mechanisms between the authorities involved, when applicable.
- F. CAASL has an Aviation Medical Unit that is attached to the section in charge of personnel licensing.

3.3.2 STAFFING REQUIREMENTS

- A. To effectively fulfil its responsibilities, CAASL needs to be properly organized and staffed with qualified personnel capable of accomplishing the required wide range of technical duties

involved in safety oversight. Furthermore, they should also enjoy employment conditions which are competitive compared to those offered by the industry in the State.

- B. CAASL should take necessary measures, such as remuneration and conditions of service, to ensure that qualified personnel performing safety oversight functions are recruited and retained.
- C. All CAASL technical personnel authorized to perform licensing, certification, approval and/or surveillance functions, as applicable, need to possess appropriate credentials (with the empowering legislation indicated) identifying them as technical experts employed by the CAASL, with the right to unlimited and unrestricted access to aircraft, aviation-related documents, aerodromes, ATS and other relevant facilities and the associated inspection powers, as applicable and as provided by the primary aviation legislation of Sri Lanka.
- D. CAASL technical personnel also need to be provided with guidance that addresses ethics, personal conduct and the avoidance of actual or perceived conflicts of interest in the performance of official duties.
- E. It is essential that CAASL shall apply a methodology to determine its staffing needs for personnel performing safety oversight functions, taking into account the size and complexity of aviation activities in the State. Particular attention should be paid to ensure that the determined staffing needs enable adequate coverage of all the technical disciplines required for effective safety oversight in the various areas.
- F. The cost of recruiting and retaining qualified technical personnel who satisfactorily meet the requirements of the profession represents a significant financial commitment and may require revisions to long-standing policies and regulations regarding remuneration for qualified technical personnel. In order to recruit and retain appropriately qualified personnel who combine professionalism and integrity, it is essential that the CAASL become a competitive employer. Furthermore, CAASL should have appropriate recruitment policies, terms of employment and practices in place.
- G. It is recognized that CAASL, due to the level of commercial air transport activity being low, may not be in a position to meet its staffing requirements due to a lack of qualified local personnel.
- H. In some States, particularly when the State is also a service provider, personnel from the service provider are designated by the State to carry out fundamental State inspection functions. CAASL avoid such arrangements as it does not provide independent technical supervision and may lead to perceived or actual conflicts of interest.
- I. However, when properly controlled by the CAASL, the designation of qualified service provider personnel to assist in some inspection functions can be acceptable in terms of safety and is generally economically beneficial to both the State and the service provider.
- J. In such cases, the designated service provider personnel, when performing their designated duties, need to be kept under the supervisory and technical control of the CAA.
- K. When CAASL has determined that it is not feasible to maintain a full range of technical staff to carry out the complete CAASL safety oversight function, one option is to establish a small, technically competent and experienced nucleus of technical personnel. To augment this nucleus

and thus be able to carry out its full safety oversight responsibilities, the CAASL should consider entering into agreement with other States , COSCAPSA or with an RSOO for assistance, on a part-time or cooperative basis, in performing certain detailed tasks requiring specialized skills and experience.

- L. Alternatively, or in combination with the foregoing, the CAASL could also consider the employment of a competent commercial organization that would supply qualified personnel, as needed, to perform the required inspection functions in an advisory capacity for the CAA.
- M. It is important to note that regardless of the arrangements that CAASL makes, the CAASL is in no way relieved of its ultimate responsibility for the safe, regular and efficient conduct of aviation within its jurisdiction. It is essential that agreements or contracts for the enforcement of inspection responsibilities and duties be explicit in their requirements.

3.3.3 DELEGATION OF SAFETY OVERSIGHT FUNCTIONS AND ACTIVITIES

- A. CAASL could consider delegating specific safety oversight functions and activities to an RSOO, a regional accident and incident investigation organization or another State with the approval of the line ministry.
- B. CAASL may also consider delegating activities to other recognized entities — like trade associations, industry representative organizations or other bodies that may collect and analyze data on their behalf, provide training or conduct surveillance and monitoring activities.
- C. Although CAASL may delegate specific functions and activities, it will still need sufficient personnel to interact with the delegated entity and to process information provided by that entity. CAASL should also consider the establishment of appropriate technical and administrative processes to ensure that the delegated functions are carried out effectively.
- D. With respect to surveillance activities, the CAASL should ensure that it retains access to surveillance records with the relevant documented outcomes.
- E. CAASL should note that the ultimate responsibility for safety oversight remains with the CAASL themselves, regardless of the safety oversight-related functions and activities that it may choose to delegate. The only exception to this is the transfer of responsibility from Sri Lanka, as the State of Registry, to another State, as the State of the Operator, under the provisions of Article 83 bis of the Chicago Convention.

3.3.4 ESTABLISHMENT OF SERVICE PROVIDERS

Since the provision of ANS and/or the operation of aerodromes is vested outside the CAASL, it has to ensure effective and independent safety oversight by the CAASL in its role as the regulator.

3.4 QUALIFIED TECHNICAL PERSONNEL (CE-4)

CE-4. Qualified technical personnel. The establishment of minimum qualification requirements for the technical personnel performing safety-related functions and the provision of appropriate initial and recurrent training to maintain and enhance their competence at the desired level. CAASL shall implement a system for the maintenance of training records for technical personnel.

3.4.1 INITIAL QUALIFICATION AND EXPERIENCE REQUIREMENTS FOR TECHNICAL PERSONNEL

- A. The tasks and activities involved in aviation safety oversight include a wide range of audits, inspections, evaluations, analyses and other interventions. Effective implementation of these tasks requires the intervention of sufficiently qualified personnel during the various stages of the process.
- B. Guidance for the minimum qualifications of civil aviation inspectors is provided to CAASL in the ICAO Manual on the Competencies of Civil Aviation Safety Inspectors (Doc 10070), which can be used as a reference material in regard to staffing of the CAASL.
- C. The Doc 10070 in particular elaborates on the need for entry level and/or qualification requirements for civil aviation inspectors in the different domains that are involved in licensing, certification and surveillance activities, including those who perform tasks and functions on behalf of the CAASL. It is therefore imperative that CAASL ensure that staff, prior to being recruited, have the minimum qualifications and experience required for the position to be filled.
- D. The satisfactory execution of the various functions of the civil aviation inspectorate depends to a large extent on the qualifications, experience, competence and dedication of individual inspectors.
- E. In addition to the vital importance of technical competency in performing certification, inspection and surveillance functions, it is critical that inspectors possess a high degree of integrity, be impartial in carrying out their tasks, be tactful, have a good understanding of human nature and possess good communication skills.
- F. Considering the specialized and sensitive nature of the civil aviation inspector's mission, it is vitally important that the qualifications, previous experience and personal characteristics of each person employed, whether directly or on contract, to perform licensing, certification and surveillance duties be verified and carefully evaluated before selections are made.
- G. A civil aviation inspector should be fully qualified, with specific regulatory skills, and demonstrate a minimum appropriate level of technical knowledge. The qualifications of a civil aviation inspector should ideally match the qualifications of those who are being inspected. For example, licensing examiners involved in conducting examinations and tests should possess qualifications and experience similar to or above those of the applicants being tested or examined. However, it is not expected that, in all cases, an inspector would possess the same experience as the personnel being inspected.
- H. The CAASL as the authority in charge of safety oversight responsibility should be organizationally competent; this may require a team of inspectors with a mix of disciplines. As a team, they should be as knowledgeable, qualified and experienced in the appropriate areas of qualification and experience as the organization being inspected.
- I. The maintenance of licenses and other skills or qualifications and of an acceptable level of proficiency and knowledge of civil aviation activities, limitations, equipment, systems, operations, etc. will permit civil aviation inspectors to better assess the knowledge, techniques and overall competence of the civil aviation personnel and service providers.

- J. In the case of medical assessors, it is essential that they be suitably qualified and experienced in the practice of aviation medicine, at least to the level of the physicians responsible for the medical examinations to be conducted. Inspection of the Medical Section of the CAASL, the aviation medicine clinic accredited to the CAASL for extended health examinations of licence holders, and the network of designated medical examiners should be conducted with due respect for the appropriate confidentiality involved.

Note.— Guidance on medical assessment and procedures is found in the ICAO Manual of Procedures for Establishment and Management of a State's Personnel Licensing System (Doc 9379).

3.4.2 TRAINING OF TECHNICAL PERSONNEL

- A. To ensure that technical personnel receive the required training in an effective manner and maintain their competency, a robust training system needs to be established and implemented by the CAASL. This system should be based on a documented training policy established and signed by DGCA/CEO.
- B. The training policy should commit to provide all necessary training to all technical personnel in all areas, including initial training (e.g. induction and basic training), on-the-job training (OJT), recurrent training and specialized or advanced training. Furthermore, the training policy should require the establishment of a training programme for each technical staff position and training plans for each technical staff member.
- C. The CAASL also need to provide the necessary financial resources and time for their technical personnel to receive the required training.
- D. A training programme should be developed for each technical staff position which is called Position Competency Development Scheme (DCPS). The training programme should include all the training required for the incumbent of the position to acquire and maintain the necessary competencies for the position as well as to effectively perform the related safety oversight functions and activities. The required training includes initial training, OJT, recurrent training and all the specialized training necessary for that technical position, with the minimum content for each type of training, as applicable.
- E. For each technical staff member, a periodic training plan should be developed based on the training programme established for the staff member's position. The training plan should detail the type of training to be provided during a specified timeframe as well as the training priorities. As a principle, a staff member can only be authorized to perform safety oversight duties in the area or subject where the staff member has satisfactorily completed the required training and maintains the required competence.
- F. Training of the CAASL's technical personnel is not limited to strictly professional elements, such as the maintenance of competency and currency. In particular, it is essential that civil aviation inspectors also be provided with training on subjects such as applicable CAASL regulations, inspectors' skills, knowledge, duties and responsibilities, and CAASL procedures for the implementation and enforcement of requirements.
- G. Technical personnel should satisfactorily complete OJT before being assigned safety oversight-related tasks and responsibilities. OJT should be provided by experienced, senior technical staff

in the subject area or task, and should follow a structured process, such as observing, working under supervision, competence assessment and authorization, etc. It is important to ensure that staff are only authorized to perform tasks after having been assessed as qualified. The completion of the OJT, including the competency assessment, should be properly documented.

- H. The CAASL’s technical personnel represent the authority and, as such, require the continuing development of knowledge and skills related to their respective responsibilities. This should be accomplished through periodic training and refresher courses in all the disciplines for which the technical personnel are responsible.
- I. Participation in seminars and workshops organized by ICAO and international and regional aviation-related organizations can also enable the CAASL’s technical personnel to widen their horizons and share experience with experts from other Sri Lanka. Additional studies, such as courses in technical report writing and supervisory training, will also assist technical personnel in improving their effectiveness and efficiency.
- J. Periodic practical and theoretical specialized (technical) training will enable the CAASL’s technical personnel to achieve and maintain a high level of knowledge and expertise and thus undertake their duties and responsibilities in a more effective and efficient manner.
- K. The CAASL should establish and implement a system for the maintenance of training records for their technical personnel. This includes records of the OJT received, reflecting the various phases of the OJT completed (i.e. observation, performance of tasks under supervision and final assessments) as well as the assessment of competence of the personnel.

3.5 TECHNICAL GUIDANCE, TOOLS AND PROVISION OF SAFETY-CRITICAL INFORMATION (CE-5)

CE-5. Technical guidance, tools and provision of safety-critical information. The provision of appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety- critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner. CAASL shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

- A. The provision of sufficient guidance material serves two purposes. The first is to provide guidance to technical personnel on how to accomplish their specific functions and activities. The second is to enable management to ensure that safety oversight functions and activities are carried out in an effective and standardized manner.
- B. CAASL need to develop and publish their own technical guidance material. Technical guidance material from ICAO, another State or an RSOO can be used as a base in the preparation of the State’s guidance material, which should be customized as needed, in particular to reflect the national legislation, organization and practices. Such guidance material should address all activities of the CAASL’s aviation authority and all the tasks performed by its staff.
- C. In general, procedures for a specific task or activity should address the following question: Who does what, how, when and in coordination with whom?

Note.— This list is indicative and not exhaustive.

WHO:

- Define, as clearly as possible, the entities (e.g. CAASL department or job position concerned) in charge of each task.
- Define who has the authority to decide, particularly with respect to enforcement aspects.
- Define who has the authority to approve the results, reports, etc. or to sign letters, reports, licences, certificates, etc.

WHAT:

- Define each step of the process and each task to be performed.
- Indicate the expected result (report, licence, certificate, etc.).
- When applicable, indicate (and attach to the procedure) the template to be used or the format of the result.
- As necessary, establish the link with other procedures.

HOW:

- Provide the necessary practical details and methodology, as applicable, for each task.
- Indicate the sequence of actions.
- Indicate the type of documents to be reviewed and how.
- Describe ways and means to ensure the traceability of the activity (including the documents, often copies thereof, to be retained).
- Refer to applicable checklists or forms used for the conduct of the activity at the points in the procedure where they are to be used.

WHEN:

- If the procedure is part of a process, the step of the process at which the said procedure takes place.
- For repetitive action (e.g. Continuing surveillance), the periodicity and the maximum interval between two actions.
- The maximum time period for completion of each task or the deadline for completion of each step.

IN COORDINATION WITH WHOM — if external entities participate in the activity, they need to be identified as clearly as possible.

- D. Procedures may be supplemented, as appropriate, by checklists and/or test methods. The checklist should focus on specific aspects related to verification and each result or document to be obtained.
- E. It may be useful to develop guidance for some items of the checklists as necessary, describing:
- what is to be verified;
 - by which method (e.g. whether this item calls for a document review or a physical inspection);
 - the type of results to be obtained (e.g. physical measurement, test results to be recorded, copy of a service provider’s document, interview evaluation); and
 - how completed checklists and related documents should be filed.
- F. In general, procedures are compiled in the form of an inspector’s handbook, which should be presented in a logical and user-friendly manner and include references to appropriate checklists and templates.
- G. CAASL Inspectors and staff should be provided with the necessary tools, such as transportation as applicable, offices, telephones and other communication facilities, to enable the effective accomplishment of their tasks. Access to the Internet to supplement a technical or an electronic library is a necessity in today’s world of information and communication technology.
- H. CAASL should also develop guidance for the industry to explain how the regulatory provisions should be implemented within the State. It may also include templates and standard format for documents to be established by each service provider concerned.
- I. To foster safety in the aviation operational environment, the supply and speedy dissemination of safety-critical information, such as notice to airmen (NOTAM) and airworthiness directives, are essential. Regular amendment and updating of publications such as aeronautical maps and other aviation-related publications are also important measures for ensuring a safe operating environment.

3.6 LICENSING, CERTIFICATION, AUTHORIZATION AND APPROVAL OBLIGATIONS (CE-6)

CE-6. Licensing, certification, authorization and approval obligations. The implementation of documented processes and procedures to ensure that individuals and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization or approval to conduct the relevant aviation activity.

3.6.1 GENERAL CONSIDERATIONS

- A. Pursuant to the Chicago Convention, Sri Lanka being a Contracting State requires to issue licences and certificates, as applicable, to aircraft, organizations and personnel engaged in international air navigation. For example, Article 31 CAASL that “every aircraft engaged in

international navigation shall be provided with a certificate of airworthiness issued or rendered valid by the State in which it is registered”.

- B. Article 32 a) provides for the licensing of operating personnel. It CAASL that “the pilot of every aircraft and the other members of the operating crew of every aircraft engaged in international navigation shall be provided with certificates of competency and licenses issued or rendered valid by the State in which the aircraft is registered”.
- C. The Convention also provides for the recognition by other Contracting States of licences and certificates issued by Sri Lanka being a Contracting State (Article 33). This recognition “as valid” is achieved only if “the requirements under which such certificates or licences were issued or rendered valid are equal to or above the minimum standards which may be established from time to time pursuant to the Convention”.
- D. Certification and licensing are State functions performed by the CAASL for and on behalf of the State, enabling Sri Lanka to comply with the provisions of the Convention and its related Annexes. These functions cover a number of disciplines and functional areas.
- E. The activities involved in certification and licensing are such that they usually require the establishment of a robust organization, with specific sections (offices) and effective coordination. The organization will vary depending in particular on the size and complexity of civil aircraft operations. It is also possible, depending on the number of licences, ratings, certificates and approvals issued, to combine several activities within a single section of the CAASL.
- F. Under an effective licensing/certification/approval system, all necessary evaluations are effectively performed by qualified personnel, based on national requirements and following a formal and comprehensive process. This personnel may be from the CAASL, or in case not all required specialties and competencies exist within the CAASL, the evaluations may also be performed by external specialists through an appropriate delegation of functions. In such cases, the CAASL should formally designate the specialists after verification of their competence and of the absence of possible conflicts of interest.
- G. The CAASL should also approve the specialists’ working methodologies, define deliverables and validate results of evaluations. The outcomes of the evaluations should be properly documented and recorded, with all the pertinent records and evidence kept by the CAASL.
- H. Checklists used in the evaluation process should be properly completed and recorded. Completed checklists, together with associated records, should document the results of all the verifications performed. For each checklist item, the inspectors should document the relevant detailed references (e.g. specific references in a Manual) and facilities/equipment/other aspects reviewed on site. Copies of documentation reviewed should be kept, as needed (e.g. annotated Manuals) as well as minutes or reports of on-site audits/inspections conducted or tests performed. Such records are necessary to prove the effectiveness and ensure traceability of the certification/licensing/approval activities performed. They are also required to allow for an appropriate follow-up, as necessary. All records should be appropriately filed by the CAASL. The certification file of CAASL should include, but not be limited to, the following:
 - certification application and associated documents;

- service provider Manual;
- audit/inspection files;
- corrective action plans and evidence of implementation;
- if applicable, exception or exemption files (including safety studies and their assessment by the authority); and
- copy of the certificate (and associated specifications, if applicable), licence, authorization or approval.

3.6.2 PERSONNEL LICENSING

- A. Whether the licensing functions are discharged by a fully developed personnel licensing office or are outsourced, the final responsibility remains with the CAASL. As applicable and in compliance with national legislation and procedures, licensing activities should include, but are not limited to, the following:
- approval of training courses;
 - approval of the use of simulation training devices and the authorization for their use, in order to gain the experience or demonstrate the skill required for the issue of a licence or rating;
 - approval, designation and supervision of individuals or organizations (including medical examiners) delegated to perform specific tasks on behalf of the personnel licensing office, if applicable;
 - assessment and approval of applications for licences and ratings;
 - assessments of medical fitness relating to licence requirements;
 - issue of licences and ratings; and
 - validation and conversion of licences and ratings issued by other CAASL .
- B. The complete documentation for each licence issuance or renewal needs to be maintained confidentially and should include all correspondence, applications, assessments, examination results, medical reports, and other licensing documentation. They should be filed as required by the CAASL’s document retention policies.

3.6.3 LICENCES, CERTIFICATES AND APPROVALS

- A. Civil Aviation Act No.14 of 2010 and Annexes 1, 6, 8 and 14 to the Convention require the licence, certification or approval, as applicable, of approved training organizations, aeronautical service providers, air operators, and aircraft maintenance organizations and international aerodromes.

- B. In addition, specific aspects of flight operations (e.g. extended diversion time operations, RVSM, PBN, ADS-B, operating minima, training programmes, etc.) should be formally approved by the CAASL.
- C. Granting of Licences, certificates and approvals remains the responsibility of the CAASL, even if the CAASL may have delegated some tasks to external entities.
- D. As applicable and in compliance with national legislation and procedures, certification and approval activities should follow a comprehensive, formal and documented process, including, but not limited to, the following:
- dealing with expression of interest, including coordination with other concerned authorities;
 - initial review of the documentation submitted by the service provider, including key personnel's competence and operating procedures;
 - on-site audits and/or inspections to verify technical aspects and assess the service provider's organization, competence and implementation of its operating procedures;
 - if necessary, assessment of exemption request and supporting documents (e.g. aeronautical studies) with on-site inspections as needed, resulting in the granting (or denial) of exemptions with corresponding mitigation measures (follow-up is covered by CE-7);
 - assessment of the corrective action plans submitted by the service provider to resolve findings and non-compliances and acceptance (or rejection) of corrective actions, mitigation measures and associated timelines;
 - issuance of the certificate or approval, with indication of operating conditions (and limitations, if applicable);
 - renewal or continuing validity of the certificates after appropriate supervision; and h) transfer or surrender of certificates.
- E. Unsatisfactory conditions identified by CAASL technical experts during the certification or approval process should be brought immediately to the attention of the applicant for corrective action.
- F. All non-compliances should be identified and duly documented by the CAASL, and they should be resolved to its satisfaction or addressed by corrective action plans (with mitigation measures, as applicable) accepted by the authority, prior to the issuance of a certificate or approval.
- G. CAASL require the certification of ATS providers and other ANS providers, although such certification is not mandatory according to ICAO provisions.

3.7 SURVEILLANCE OBLIGATIONS (CE-7)

CE-7. Surveillance obligations. The implementation of documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively ensure that aviation licence, certificate, authorization and approval holders continue to

meet the established requirements. This includes the surveillance of personnel designated by the CAASL to perform safety oversight functions on its behalf.

- A. The maintenance of continued safe operations demands that CAASL establish and implement an effective and sustainable control and supervision system to ensure ongoing compliance by the licence, rating, certificate, approval or authorization holders.
- B. Surveillance activities are carried out by CAASL to proactively verify that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety required by the CAASL.
- C. These activities include the conduct of on-site inspections (announced and unannounced visits), the review of documents submitted by the service providers, meetings with concerned parties and analyses of available safety information.
- D. CAASL should establish and implement, in each area, a surveillance programme which should include, at a minimum, the elements below, which may be adapted if the CAASL is using a risk-based method:
 - the types of surveillance activities (e.g. audits, inspections, tests, safety events analyses);
 - the timeframe or frequency of the activities;
 - items to be covered or scope of the activities; and
 - related methodology/procedures, job aids and guidance on how the activity should be conducted, starting from the notification of the service provider, if applicable, to the closure of the deficiencies identified during the activities.

Note.— Inspections include scheduled, unscheduled and unannounced inspections.

- E. For each individual or organization approved to carry out aviation activities, a periodic surveillance plan should be developed based on the applicable surveillance programme.
- F. The surveillance plan should detail the type of activities to be performed and the specified timeframe as well as the scope of each activity, as applicable.
- G. In case of a certified operator, it should be ensured that all the areas covered by the certification are reviewed within a defined time period. The timeframe and frequency of surveillance activities may be adapted for each operator, based on the information available.
- H. In the determination of nature and scope of air operator surveillance plan for an air operator CAASL may be guided by the following factors. Such surveillance programmes shall include base inspections, ramp inspection, station inspection, en-route cabin inspection, en-route flight inspection and check pilot monitoring etc.
 - Number of Annual Flights
 - Total Number of Aircraft
 - Number of Aircraft Models in the fleet

- Number of Destinations being operated
 - Whether flights are Only Domestic, Only International or mix of both.
 - Average Fleet Age
 - Number of Check Pilots used
- I. ICAO publishes guidance on inspection periodicity in a number of documents and the CAASL may use them in the organization of its activities relating to this subject.
- J. In the case of an air operator, an approved maintenance organization, an approved training organization, an aerodrome operator or ANS provider, regardless of the method used for surveillance, all significant aspects of the operating procedures, safety measures, facilities and equipment should be reviewed within a defined timeframe specified by the CAASL.
- K. In addition to scheduled inspections, random or unannounced inspections should be conducted, as needed, for example, to verify the correction of identified deficiencies or to follow up on reported safety events, whistle-blower reports and significant changes.
- L. The methodologies for the various types of surveillance activities should cover the phases related to preparation, conduct, reporting and follow-up. Appropriate procedures, templates and job aids should be developed and used for each phase, as needed. The methodologies should include provisions for classifying the findings resulting from the surveillance activity, based on their severity, as this classification will determine the type of follow-up and enforcement action by the CAASL, along with the related timelines.
- M. Throughout all phases of the surveillance programme, the standards of an organization's capability and competence should be equal to or exceed those required at the time of original certification, licensing, approval or authorization. Accordingly, the CAASL technical personnel should carry out surveillance activities in a thorough manner and require the organization to convincingly demonstrate that:
- N. its functions and tasks are being conducted in accordance with the applicable requirements; and
- O. as a consequence, the privileges granted with the initial issuance of the licence/certificate/
- P. approval/authorization should continue.
- Q. The CAASL should establish and implement, for each area, a system for record-keeping and filing. Records should include, but not be limited to, the following:
- R. completed checklists, evaluation reports and associated documentation, including, as applicable, safety assessments;
- S. minutes of meetings conducted as part of surveillance; and
- T. follow-up reports on the implementation of corrective action plans.

- U. The effective and timely completion of the surveillance programme is highly dependent on the availability of sufficient qualified staff covering all areas of expertise required and on the authority vested in the CAASL and its inspectors.

3.8 RESOLUTION OF SAFETY ISSUES (CE-8)

CE-8. Resolution of safety issues. The use of a documented process to take appropriate actions, up to and including enforcement measures, to resolve identified safety issues. CAASL shall ensure that identified safety issues are resolved in a timely manner through a system which monitors and records progress, including actions taken by individuals and organizations performing an aviation activity in resolving such issues.

- A. Identification of safety issues
- B. An effective and sustainable safety oversight system should provide for the identification of non-compliances and other safety issues and for their effective and timely resolution.
- C. Safety issues identified by the CAASL shall include, but are not limited to, the following:
- non-compliances and other deficiencies identified by the CAASL;
 - analyses of reported safety events;
 - negative safety trends; and
 - results (including safety recommendations) of aircraft accident and incident investigations.
- D. The CAASL shall ensure that all stakeholders of the aviation community report all the safety events that they are aware of, through the State's mandatory reporting system established by the legislation.
- E. Data collected from the various stakeholders should be recorded in an integrated database using a standardized format and a common taxonomy (if possible, one that is compatible with the European Coordination Centre for Accident and Incident Reporting Systems (ECCAIRS) format) to facilitate thorough analysis of the collected data and events.

Note.— Details on the establishment and operation of mandatory and voluntary safety reporting systems, safety analysis and on the protection of safety data, safety information and related sources are provided in the Safety Management Manual (SMM) (Doc 9859).

3.8.1 FOLLOW-UP OF SAFETY ISSUES

If the surveillance activities reveal that the licence/rating/certificate/approval holder has failed or is unable to meet or maintain the required standards, the CAASL should:

- Promptly advise the licence/rating/certificate/approval holder of the deficiency observed.
- Provide deadlines for the submission of the corrective action plan to be taken by the service provider.

- Verify that corrective actions and related timeframes are appropriate, before formal acceptance of the corrective action plan.
- Initiate appropriate follow-up to verify the effective implementation of the corrective actions.
- Additional inspections may also be conducted whenever problems repeatedly occur in a particular area.

3.8.2 ENFORCEMENT

- A. Effective and timely actions taken by the industry should result in the effective resolution of safety issues. However, in the absence of a resolution, the CAASL should take the appropriate enforcement measures, such as the imposition of limitations, the suspension or revocation of certificates/licences/ approvals, or the imposition of financial penalties.
- B. The CAASL is empowered by the State’s primary legislation to take these enforcement measures, which should be commensurate with the safety risks caused by non-compliances or violations.
- C. If, after careful review of all circumstances involved and coordination within the CAA, there is a need to suspend or revoke the licence/rating/certificate/approval holder’s privileges, the CAASL should officially inform the licence/rating/certificate/approval holder in writing, summarizing both the proposed action and the reasons for said action.
- D. Based on national legislation and procedures, the CAASL should establish and implement clear, comprehensive and detailed enforcement policies and procedures for use by its staff. Such policies and procedures should enable an effective, proportional, gradual and consistent approach to enforcement within the CAASL.
- E. If the licence/rating/certificate/approval holder does not correct the deficiency within the established deadlines, the CAASL should take appropriate and progressive enforcement measures to ensure prompt correction of deficiencies.
- F. Follow-up of safety recommendations
- G. Accident and incident investigations also play a crucial role in the identification of deficiencies and safety issues. Safety recommendations can be issued in the course of or at the completion of an investigation.
- H. To ensure that safety recommendations are appropriately taken into account, the CAASL should establish and implement a structured process for follow-up of the recommendations. This process should include, among other things:
 - coordination between the authorities involved, in particular, the CAASL and the investigation authority;
 - communication process with the entity or entities affected by the recommendation;
 - indication of timelines; and

- procedures to monitor the progress of the actions taken in response to the safety recommendation until their full implementation, with documented traceability.

CHAPTER . 4

4. REFERENCE DOCUMENTS

4.1 PRIMARY LEGISLATION (CE-1)

The following are the primary legislation governing the subject of civil aviation

1. Civil Aviation Authority of Sri Lanka Act No. 34 of 2002
2. Civil Aviation Act No. 14 of 2010
3. Finance Act No. 25 of 2004

4.2 OPERATING REGULATIONS (CE-2)

4.2.1 REGULATIONS MADE BY THE MINISTER

1. Air Navigation Regulations of 1955 (Gazette No 10812 01 Jul 55)
2. Air Navigation Regulations of 1956 (Gazette No 10946 15 Jun 56)
3. Air Navigation Regulations of 1957 (Gazette No 11128 7 Jun 57)
4. Colombo International Airport (Katunayake) Regulations of 1968
5. Bandaranaike International Airport, Colombo Regulations of 2002 (Gazette No 1292/7 10 Jun 2003)
6. Civil Aviation (Interim) Regulations No of 2001 (Gazette No 1264/33 28 Nov 2002)
7. Regulations on Grant of Exemptions from the specified requirements relating to Civil Aviation No.01 of 2014 (Gazette No.1273/22 31 Jul 2014)
8. Safety Management Regulations No.01 of 2018
9. Fees and Charges Regulations No.01 of 2014 (Gazette No.1869/32 dated 2nd July 2014)
10. Sri Lanka Aerodromes (Zoning) Regulations of 1975
11. Zoning Instructions VCRI No 01 of 2012
12. Commissioning of Mattala Rajapaksa International Airport (Gazette No 1795/52 dated 01-02-2013)
13. VCRI Protected Area Order No 01 of 2012
14. Air Navigation (Air Defence) Regulations, No 1 of 2007 (Gazette no 1518/12 09 oct 2007)
15. Aircraft Accident Investigation Regulations (Gazette No. 1742/19 dated 25.01.2012)

4.2.2 IMPLEMENTING STANDARDS ISSUED BY THE DGCA

1. General (SN 001)
2. Flight Safety Documents Systems (SN 002)
3. Units of Measurements to be used in Air and Ground Operations (SN 003)
4. Recognition of Licenses and Certificates issued for Aircraft Operating under Article 83 Biz Agreements. (SN 004)
5. Exemptions from the Application of Requirements (SN 005)
6. Aviation Occurrence Reporting System. (SN 006)
7. Compliance to Annex 09 – Facilitation (SN 007)
8. General Provisions and Requirements and Procedures to render valid a Foreign Flight Crew License and Ratings and, to Convert a Foreign License and Ratings into a Sri Lankan Flight Crew License and Ratings. (SN 008)
9. Compliance to Annex 18 – The Safe Transport of Dangerous Goods by Air. (SN 009)
10. Flight Simulator & Qualification. (SN 010)
11. Compliance to Annex 06 - Part 1– Chapter 01 – Definitions. (SN 011)
12. Compliance to Annex 06 - Part I– Chapter 03 - General Requirements (SN 012)
13. Compliance to Annex 06 - Part I– Chapter 04 - Flight Operations. (SN 013)
14. Compliance to Annex 06 - Part I– Chapter 05 - Aero Plane Performance Operating Limitations (SN 014)
15. Compliance to Annex 06 - Part I– Chapter 06 - Aero Plane Instruments, Equipment and Flight Documents. (SN 015)
16. Compliance to Annex 06 - Part I– Chapter 07 - Requirements for Aircraft Communication and Navigation Equipment (SN 016)
17. Compliance to Annex 06 - Part I– Chapter 08 - Aircraft Maintenance (SN 017)
18. Compliance to Annex 06 - Part I– Chapter 09 - Aero Plane Flight Crew (SN 018)
19. Compliance to Annex 06 - Part I– Chapter 10 - Flight Operations Officer/ Flight Dispatcher (SN 019)
20. Compliance to Annex 06 - Part I– Chapter 11 - Manuals, Logs & Records (SN 020)
21. Conformance to Annex 06 - Part I– Chapter 12 - Cabin Crew Members (SN 021)
22. Compliance to Annex 06 - Part I– Chapter 13 - Security (SN 022)
23. Compliance to Annex 06 - Part II– International General Aviation – Aero planes (SN 023)

24. Performance Based Navigation (SN 024)
25. Compliance to Annex 11- Air Traffic Services (SN 025)
26. Compliance to Annex-2 – Rules of the Air (SN 026)
27. Electronic Flight Bag (SN 027)
28. Compliance to Annex 15 – Aeronautical Information Services (SN 028)
29. Compliance to Annex 12 – Search & Rescue Service (SN 029)
30. Aerodrome Standards in Sri Lanka (SN 030)
31. Compliance to Annex 04 – CAASL Standards on Aeronautical Charts (SN 031)
32. Criteria to Regulate the Use of a Pavement by an Aircraft with ACN Higher than the Reported PCN (Overload Operations) (SN 032)
33. Admission to Flight Crew Compartment. (SN 033)
34. Compliance to Annex 10- Aeronautical Telecommunications (Volume 1) (SN 034)
35. Prohibition of use of Alcohol or Psychoactive substances by personnel holding Licence, Rating or Certificates, engaged in safety and /or security sensitive activities relating to civil aviation. (SN 035)
36. Personnel Licensing Medical Requirements (SN 036)
37. Requirements to be Satisfied by the Aerodrome Operators for the Certification of Aerodromes in Sri Lanka. (SN 037)
38. Conformance to Annex 10- Volume II Aeronautical Telecommunication Procedures. (SN 038)
39. Conformance to Annex - 10 - Aeronautical Telecommunications Vol. III (Part 1) (Digital Data Communication Systems) (SN 039)
40. Conformance to Annex - 10 - Aeronautical Telecommunications Vol. III (Part II) (Voice Communication Systems) (SN 040)
41. Heliport Standards in Sri Lanka (SN 041)
42. Conformance to Annex - 3 - Meteorological Service for International Air Navigation (SN 042)
43. Personnel Requirements – Licenses for Flight Navigators, Flight Engineers & Flight Radio Telephone Operators : Compliance to Annex 01 – Chapter 3 (SN 043)
44. Conformance to Annex-10 Aeronautical Telecommunications Vol. V (Aeronautical Radio Frequency Spectrum Utilization) (SN 044)
45. Public Health Emergencies involving Operation of aircraft (SN 045)
46. Requirements for Issue of License for Ground Handling Arrangements, Facilities and / or Services to Aircraft. (SN 046)

47. Conformance to Annex-10 Aeronautical Telecommunications Vol. IV (Surveillance and Collision Avoidance Systems) (SN 047)
48. Personnel Licensing Requirements - Aeronautical Station Operator Licence & Aeronautical Meteorological Personnel. Compliance to Annex 01- Chapter 4 (SN 048)
49. Personnel Licensing Requirements - Flight Operations Officer/Flight Dispatcher Licence. (SN 049)
50. Personnel Licensing Requirements- Definitions and General Rules (SN 050)
51. Personnel Licensing Requirements- Licence and Rating for Pilots (SN 051)
52. Voluntary and Confidential Aviation Incident Reporting System. (SN 052)
53. Requirements for Operation of Pilotless Aircraft (Unmanned Aerial Vehicles/Unmanned Aircraft Systems/Remotely Piloted Aircraft/Drones) (SN 053)
54. Limitations on Flight Time, Duty Periods and Rest Periods of Flight Crew Members and Cabin Crew Members Conducting commercial operations.(SN 054)
55. Compliance to Annex 1-Chapter 4,4.3-4.5- Personnel Licensing Requirements-Licence and Ratings for Air Traffic Controllers (SN 055)
56. Requirements to be satisfied by Aircraft Maintenance Organizations for Approval (SN 056)
57. Compliance to Annex 06 -Part (01) - Chapter 14 - Dangerous Goods (SN 057)
58. ICAO Annex 6 Part (1) - Operation of Aircraft International Air Transport- Aeroplanes (SN 058)
59. ICAO Annex -6 Part (iii)- Operation of Aircraft International Operations – Helicopters (SN 059)
60. Requirement for Facilities and Services to be Provided Aerodrome Operator (SN 060)
61. Certificate of Airworthiness for Export. (SN 061)
62. Continuing Airworthiness Requirements for EDTO (SN 062)
63. Requirements for Calibration of Flight Data Recorders and Cockpit Voice Recorders (SN 063)
64. Automatic Dependent Surveillance Broadcast Out (ADS-B OUT) Operations (SN 064)
65. Requirements to be satisfied by maintenance Training organization for Approval (SN 065)
66. Personnel Licensing Requirements – Aircraft Maintenance Licence (SN 066)
67. Requirements for Establishment, Operations and Maintenance of a Flying Training Organization (SN 067)
68. Specifications for Personal Licences (SN 068)
69. Requirements for Continuing Airworthiness (SN 080)
70. Aircraft Noise (SN 081)

71. Aircraft Engine Emissions (SN 082)
72. Common Technical Requirements and Administrative Procedures for the Airworthiness and Environmental Certification of Products, Parts and Appliances (Airworthiness Code of Sri Lanka) (SN 084)
73. Mass and Balance requirements for Aircrafts (SN 085)
74. Aircraft Nationality & Registration Marks (SN 086)
75. Requirements to be satisfied for the Certification of Air Navigation Service Providers (SN 087)
76. Requirements for Approval of Instructors and Training Programmes (SN 090)
77. Requirements and Guidelines for Lease and charter operations of Aircraft engaged in Commercial Air Transport Operations. (SN 091)
78. English Language Proficiency Requirements for Radiotelephony Communication. (SN 092)
79. Manned Hot Air Balloons (SN 093)
80. Airworthiness Directives (AD), Mandatory Modifications/Mandatory Inspections. (SN 094)
81. Operations Derived Equipment Requirements. (SN 095)

4.2.3 AVIATION SAFETY NOTICES ISSUED BY THE DGCA

1. Procedure to be followed by pilot in command in the event of a suspected or actual tyre burst on takeoff. (ASN 004)
2. Conversion of the Aircraft Maintenance Engineers (AME) Basic Licence Without Type Rating issued prior to May 2000 to a AME Basic Licence specific to an aircraft on request. (ASN 005)
3. Mandatory carriage of ACAS II and pressure altitude reporting Transponders in Sri Lanka airspace. (ASN 007)
4. Administrative Procedures for the conduct of Aircraft Maintenance Engineer – Basic Licence (AME-BL) examinations. (ASN 008)
5. Certificate of Airworthiness for Export. (ASN 011)
6. Introduction of Safety and Security measures to prevent any person having access to the flight deck to interfere with the safe operation of the aircraft. (ASN 013)
7. Development of a regulatory frame work for implementation of GPS for the use in Sri Lanka airspace as an Navigational /approach aid. (ASN 018)
8. Validation of Foreign Approved Maintenance Organizations (ASN 019)
9. Voluntary Disclosure Reporting Procedures (ASN 024)
10. Issue of Aviation Safety Notices. (ASN 025)
11. Standardization of the serial numbers of the ASN. (ASN 026)

12. Requirements to be satisfied by applicants seeking authorization from DGCA for aerial work operations special Aviation Events-Balloon Festival. (ASN 029)
13. Mandatory carriage of EGPWS{(Enhanced Ground Proximity Warning System) GPWS with predictive terrain hazard Warning} in aircraft landing/taking off from any airfield in Sri Lanka. (ASN 030)
14. Disinsection of Aircraft operating to Sri Lanka. (ASN 031)
15. Communication, Navigation and Surveillance equipment to be carried in Sri Lanka registered aircraft and foreign registered aircraft operated by Sri Lanka AOC holder/Flying School Licence holder/Private operator authorization holder. (ASN 032)
16. State limitations for Duty Time, Flight time and Rest periods for Flight Crew members, Cabin Crew members and Cabin Wardens employed by holders of Airline Licences issued by the DGCA for Operations of Domestic passenger Air Services. (ASN 035)
17. Application for Joint Aviation Requirements in Sri Lanka to secure compliance with ICAO requirement relating to Personnel Licensing, Operation of Aircraft and Airworthiness. (ASN 038)
18. Standardization of the serial numbers of Manuals published by CAA. (ASN 040)
19. Banning smoking on Civil Aircraft. (ASN 041)
20. Guidance for operators for conducting constant descent final approach (CDFA) / stabilized approach for Non-precision approaches.
21. Issuance of Civil Pilot Licence on Recognition of Military Flying Experience. (ASN 062)
22. Guidance for operators for Conducting constant descent final approach (CDFA) / stabilized approach for Non-precision approaches. (ASN 063)
23. Guidance for operations on training programmes for the use of terrain awareness and warning systems (TAWS) (ASN 066)
24. Standard operating procedures for Flight Deck Crew Members. (ASN 067)
25. Crew Resource Management Training (ASN 068)
26. Communication and coordination Between Flight and Cabin Crews members. (ASN 069)
27. Line Operational Simulations: Line Oriented Flight Training, Special Purpose Operational Training. (ASN 070)
28. Dispatcher / Flight Operations Officer Resource Management Training. (ASN 071)
29. Development of Safety Department. (ASN 072)
30. Establishment of a Flight Data Analysis (FDA) Programme. (ASN 073)
31. Requirements to be considered in establishment of a Flight Safety Documents System. (ASN 074)

32. Information to Operators on RNAV (GNSS) Non Precision Approach Procedures based on GPS. (ASN 075)
33. Requirements to be considered for Approach and Landing Accident Reduction (ALAR) and Controlled Flight into Terrain (CFIT) Prevention Training (ASN 076)
34. Access to information on Aircraft Manufacturer's Website. (ASN 078)
35. Requirements for grant of Basic RNAV (RNP-5) Approval. (ASN 089)
36. Safety Management Requirements to be satisfied by the ATS Service Providers, Aerodrome Operators, Aircraft Operators and Aircraft maintenance Organization in Sri Lanka. (ASN 092)
37. Requirements for the approval of reduced vertical separation minimum (RVSM) as per ASN 046 paragraph 2.4. (ASN 095)
38. Administrative procedures for the conduct of Aircraft maintenance license examination (AML) and conversion of existing aircraft maintenance engineers basic License (AME-BL) to AML. (ASN 097)
39. Requirements for calibration of flight data recorders and cockpit voice recorders. (ASN 102)
40. Guidance for maintaining the effectiveness of ground proximity warning system (GPWS) equipment. (ASN 103)
41. Guidance for operational procedures and training requirements of airborne collisions avoidance system (ACAS) equipment. (ASN 104)
42. Registration of 406MHz Beacons used in aircraft registered in Sri Lanka. (ASN 106)
43. Guidance on Flight crew procedures during taxi operations. (ASN 109)
44. Guidance on single pilot procedures during taxi operations. (ASN 110)
45. Authenticity and Serviceability of Aircraft Parts. (ASN 120)
46. Requirements for Maintenance of Continuous Validity, Renewal and Reactivation of Pilot License (Aero Plane, Helicopter, Powered – Lift, Air Ship, Balloon and Glider) and Ratings. (ASN 122)
47. Requirements for Helicopters engaged in Commercial and General Aviation Operations. (ASN 123)
48. Requirements to comply with the instructions in the event of an interception /flying over airspace of foreign State. (ASN 129)
49. Criteria to be followed to establishment of Aerodrome operating minima in Development of Instrument Flight Procedures. (ASN 130)

4.2.4 DIRECTIVES ISSUED BY THE DGCA

1. Directives on Air Transport
2. Directive OSS/01/2009 – Air Transport (Passengers) Tariff Regulations No. 01 of 2008

3. CAASL/AT/01/2009- Provision of GDS connections
4. Directive on Insurance Requirements for Airlines and Aircraft Operations
5. Requirements to be satisfied for registration of persons providing ground support services alias fixed based operator) at airports in Sri Lanka.
6. Requirements to be satisfied for registration of persons providing ground support services (alias fixed based operator) at airports in Sri Lanka.
7. Directives on Passenger Embarkation Levy
8. Direction to scheduled /charter carriers operation flights into and out of Sri Lanka: Collection of embarkation levy.
9. EL/01/2012-Supplement-01- Direction to scheduled /charter carriers operation flights into and out of Sri Lanka (Supplement 01): Collection of embarkation levy.
10. Directives on Overseas Sales Surcharge
11. OSS/01/2013- Air transport (Passengers) Traffic Regulations N0.01 of 2008
12. OSS/01/204- Collection and Remittance of Overseas Sales Surcharge.
13. Directives on Flight Safety
14. GD 005- Compliance to Annex-18 – The Safe Transport of Dangerous Goods by Air
15. SLCAD: 007- Medical Requirements and Examination for Cabin Crew members
16. SLCAD-008- Personnel Certification for Non Destructive Testing of Aircraft, Engines, Components and materials
17. SLCAD-009- Guidelines for Aircraft Acceptance for Importation
18. SLCAD-010- Light Aircraft Piston Engine Overhaul Periods
19. SLCAD-011- Import / Export of Aircraft Spares
20. SLCAD-012- Certification of Aircraft Welders
21. SLCAD-013- Authenticity and Serviceability of Aircraft Parts
22. SLCAD-14- Service Difficulty Reporting System

4.2.5 GENERAL DIRECTIONS ISSUED BY THE DGCA

1. SLCADG-003- Guidance for air operators in establishing a flight safety documents system.
2. SLCADG-002- Mode awareness and energy state management aspects of flight desk automation
3. SLCADG-006- Brace for impact positions during an emergency for aeroplanes and helicopter occupants.
4. SLCADG-007- Requirements for approval of instructors and training programmes.

5. SLCADG-008- REQUIREMENTS TO OBTAIN A PRIVATE AIRCRAFT OPERATOR PERMIT.

4.3 ORGANIZATION

1. CAASL Board Resolutions
2. Manual on State Safety Oversight System Policies and Principles (SLCAP-0001)
3. CAASL Corporate Plan (SLCAP- 5350)
4. Manual on Staff Rules and Administrative Procedures (SLCAP-5000)
5. Disciplinary Procedures Manual (SLCAP-5050)
6. Record Management Manual (SLCAP-5150)
7. CAASL Client's Charter (SLCAP-9000)
8. CAASL Office Manual (SLCAP-5250)
9. CAASL Organizational Chart and Functional Responsibilities
10. CAASL Schemes of Recruitments and Job Descriptions (SLCAP-5005)
11. CAASL Salary Scales
12. CAASL Technical Allowance Scheme
13. CAASL Annual Work Programme
14. CAASL Programme Budget
15. CAASL Procurement Plan
16. CAASL Credentials and Empowerment
17. CAASL Safety Policy
18. Aviation Enforcement Policy and Procedures Manual (SLCAP-0005)
19. Personnel and Training
20. CAASL Staff List
21. CAASL Training Policy (SLCAP-5080)
22. CAASL Position Competency Development Scheme
23. CAASL Employee Competency Development Scheme
24. CAASL Employees Triennium Training Plan
25. CAASL Employees Annual Training Plan

4.4 CAASL GUIDANCE MATERIAL

4.4.1 PERSONNEL LICENSING

1. SLCAP 3010-Personnel Licensing Procedure Manual (PLPM)
2. SLCAP 3040-English Language Proficiency Check (ELPC) Procedure Manual
3. SLCAP 3050-Flight Test Examiner Manual (FTEM)
4. SLCAP 3060-Air Traffic Controller Assessment ATC Procedures Manual (ATCPM)
5. SLCAP 3070-Aircraft Maintenance Licence Assessment Procedure Manual (AML APM)
6. SLCAP 3080-Personnel Licensing Examination Procedures Manual (PLEM)
7. SLCAP 3090- Flying School Certification Manual (FSCM)
8. SLCAP 3100-Perpetual Licence Assessment Procedure Manual (PLAPM)
9. SLCAP 3150- Acceptable Means of Compliance (AMC) and Guidance Material (GM) to SLCAIS 66

4.4.2 AIRCRAFT OPERATIONS

1. SLCAP 4010-Manual on Regulatory Audit
2. SLCAP 4100-Air Operator Certification Manual
3. SLCAP 4105-Foreign Air Operator Certificate
4. SLCAP 4200-Operations Inspector Handbook
5. SLCAP 4205-Designated Check Pilots Manual
6. SLCAP 4210-State Limitation of Flight Time Duty periods & Rest periods of FCM & CCM
7. SLCAP 4215-Master Minimum Equipment List / Minimum Equipment List Policy & Procedures Manual
8. SLCAP 4220-Flight Data Analysis Programme
9. SLCAP 4225-Operations Inspector Training Manual
10. SLCAP 4300-Cabin Crewmember Manual Standard
11. SLCAP 4305-Cabin Crewmember Training Standard
12. SLCAP 4400-Manual on Transport of Dangerous Goods
13. SLCAP 4410-Dangerous Goods Inspector Guidance Manual
14. SLCAP 4500-Preparation and Certification of Operations Manual
15. SLCAP 4510-Manual of All Weather Operations

16. SLCAP 4515-Aircraft Performance Code
17. SLCAP 4520-Performance Based Navigation Manual
18. SLCAP 4525-Manual for Extended Diversion Time Operation
19. SLCAP 4535-Electronic Flight Bag Manual
20. Aircraft Registration and Airworthiness
21. SLCAP 6100-AW Office Procedures Manual
22. SLCAP 6200-AW Inspectors Hand Book

4.4.3 AERODROMES

1. SLCAP 2100-Airside Operation Safety Manual 1st Edition 20 11 2008
2. SLCAP 2000-Manual of Aerodrome Certification Procedures
3. SLCAP 2200-Aerodrome Inspector Handbook
4. SLCAP 2300-Manual On Exemption Procedures for Non Compliances at Aerodromes
5. SLCAP 2500-Safety Risk Assessment Manual

4.4.4 AIR NAVIGATION SERVICES

1. SLCAP 2300-ANS Inspector Manual
2. SLCAP 2700-SAR Manual

5. MODEL RISK BASED SURVEILLANCE PLAN

CAASL may use the following criteria in the development of opinion about the service providers/ air operators' compliance with the regulatory requirements when developing the Surveillance Plans. Based on the result

Safety Management

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q01-01: The operator/service provider has a formal safety data collection and processing system (SDCPS) for effectively collecting information about hazards in operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-02: The operator/service provider has a formal process in place to ensure due analysis, assessment and control of the safety risks in operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-03: The operator/service provider's safety performance, as well as the effectiveness of safety risks controls, are continuously monitored.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-04: The operator/service provider has identified and analyzed changes within its organization which may affect established processes and services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-05: The operator/service provider has developed and maintains an internal safety investigation process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-06: The operator/service provider has developed a documented process to identify training requirements so that personnel are trained and competent to perform the SMS duties.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-07: The operator/service provider has communication processes in place that permit the safety management system to function effectively.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-08: The operator/service provider has adequate measures in place to manage risks associated with operational personnel/ crew members' fatigue.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q01-09: The operator has developed and maintains an adequate Flight Data Analysis Program (FDAP) as part of its SMS.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Organization

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q02-01: The operator/service provider's personnel have an excellent attitude to all aspects of safety within the operator/service provider.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-02: The operator has designed and constructed flight schedules and timetables, taking into account all relevant variable factors without pressure on safety.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-03: Key safety management positions have remained stable for the last 24 months.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-04: People at all key safety positions are experienced and qualified.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-05: People at all key safety positions work full time for the operator/service provider.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-06: The operator/service provider's personnel feel motivated and identify with the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-07: Employees and managers have a good professional relationship and trust each other.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-08: The operator/service provider is adequately staffed to deal with both normal and abnormal situations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q02-09: The organization is financially healthy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Infrastructure

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q03-01: The operator has a modern fleet of aircraft.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-02: The general conditions and maintenance of flight and ground equipment and tools are considered to be above the minimum industry standards.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-03: The fleet is composed of one single type of aircraft.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-04: The fleet composition has remained stable for the last 24 months.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-05: All airports served have an adequate level of Rescue and Fire Fighting Services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q03-06: All airports served have a straight—in approach available.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-07: Technical training is of high quality and effective.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-08: All aircraft of the same type are mostly identically configured.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-10: The operator/service provider continuously invests in new technology and efficiency of its fleet/equipment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q03-09: The operator adopts the safety improvements proposed by the aircraft /equipment manufacturer.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Compliance

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q04-01: The operator/service provider accepts regulatory access without question and has an open, cooperative and transparent attitude.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-02: The operator/service provider exceeds rules requirements; views rules holistically as the general good for everyone and, therefore, complies with the rules even if it disagrees with them.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-03: The operator/service provider has fully adopted the IATA Operational Safety Audit (IOSA)/ ACI standard.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-04: Surveillance results are usually satisfactory and any finding is analyzed and resolved in a timely manner.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-05: The operator/service provider has a clean and positive safety record in the last 5 years.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-06: No major sanctions have been imposed on the operator/service provider in the last 5 years.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-07: No MEL extensions have been granted to the operator in the last 24 months.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q04-08: Foreign ramp inspections performed to the operator are satisfactory.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q04-09: The State of the operator has adequate safety oversight capability.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Practices

Statement	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly Agree
Q05-01: The operator has an effective Upset Prevention and Recovery Training (UPRT) that is compliant with ICAO Doc 10011.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-02: The operator has an effective CFIT prevention training in place.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-03: The operator has effective ACAS procedures training.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-04: The operator has an adequate computerized flight dispatch system to determine aircraft performance and CG position for all phases of flight.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-05: The operations manual does not allow VFR operations during commercial operations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-06: The operator does not operate in extreme weather operations, or specific initial and recurrent training is provided for each extreme weather operation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-07: The operations manual does not allow for mixed fleet flying operation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-08: The operator has developed and maintains an adequate Stabilized Approach criteria and procedures.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Q05-09: The operator/service provider has a formal Lithium Battery Risk Mitigation policy, procedures and training.					