



CIVIL AVIATION AUTHORITY OF SRI LANKA

PROCEDURE FOR INITIAL/CHANGE/CONTINUATION OF MTO APPROVAL

1. PURPOSE

- 1.1. The purpose of this is to establish procedures to be followed by Airworthiness Section of Civil Aviation Authority of Sri Lanka (CAASL), for initial issue, change and continuation of Maintenance Training Organization (MTO) approvals in accordance with the IS-147.

2. SCOPE

- 2.1. The procedure describes how CAASL will internally handle the approval of IS-147 maintenance training organizations in accordance with the provisions of IS-147.
- 2.2. This procedure also describes how CAASL will handle the initial, continuation, change, revocation, limitation and suspension of the approvals of domestic MTOs according to the provisions of IS-147.

3. CORE RESPONSIBILITIES

- 3.1. All cases pertaining to initial issue, continuation and change in approvals for IS-147 organizations are to be processed by Airworthiness Section as described below. The approval will however be given by Director Airworthiness, CAASL based on the recommendations received from the Airworthiness Section on CAASL Form-22.

The Airworthiness Section shall perform, but not limited to, the following tasks:

1. Scrutiny of Maintenance Training organization Exposition (MTOE)
 2. Processing of courses and management personnel approval case/s
 3. Conduct of audit and preparation of audit report
 4. Follow-up for closure of findings. etc
- 3.2. Director Airworthiness shall be responsible to grant initial approval / change / continuation to a Maintenance Training Organization (MTO) as IS-147 organization.

4. DESCRIPTION

4.1. PROCEDURE FOR INITIAL APPROVAL

The procedure for initial approval of domestic IS-147 Maintenance Training Organizations is explained systematically in a Flow Chart attached at **Appendix 'A'** and elaborated below:

4.1.1. Submission of Application Package: The Application Package for grant of maintenance training organization approval under IS-147 should be submitted to concerned Airworthiness Section. The Application Package is to be submitted under a covering letter containing:

- a. CAASL Form 12 duly signed by the Accountable Manager.
- b. CAASL Form 4s for Management Personnel (Head of Training, Head of Quality Assurance and Head of Examination).
- c. Draft Maintenance Training Organization Exposition (MTOE) prepared in line with “Guidance for Preparation of MTOE” along with duly filled Checklist CAA/AW/CL/04 (1 hard + soft copy)
- d. Associated MTOE Documents – Training syllabuses (Theoretical and Practical)
- e. Sample Of Training Material
- f. Sample Of Examination Questions
- g. Assessment Process
- h. Evidence of remittance of necessary Fee.

4.1.2. Evaluation of Application Package: The application package (refer 5.4.1.1) shall be evaluated in the Airworthiness Section for consistency. Director Airworthiness (D(AR&AW)) shall assign an Airworthiness Inspector to process the application.

4.1.3. The Airworthiness Inspector will acknowledge receipt of applications to the organization within 7 working days following the date of receipt by CAASL. If any discrepancy is noted, the organization shall formally be informed, to rectify the same. If required, a meeting with the Management Personnel may be convened to brief the approval process.

4.1.4. The nominated Airworthiness Inspector will check the applications for any incorrect or incomplete information and if found, it shall be notified to the applicant as soon as possible by a letter or email detailing the omissions and errors.

4.1.5. When eligibility has been fully assessed, the nominated Airworthiness Inspector will inform the applicant of the following within a month following receipt of the correct application:

- a) Whether its application is accepted for further action by CAASL or not
- b) If accepted, projected date for meeting with organization officials to explain how CAASL will carry out the approval process.

4.1.6. A meeting as per Para 5.4.1.5(b) shall be arranged between the officials of applicant organization and Airworthiness Inspector to determine, if the applicant's training activities justify the investigation for issue of IS-147 approval and to ensure that the applicant understands what needs to be done in the process for IS-147 approval.

- 4.1.7. Scrutiny of MTOE & Course Approval Package:** Consequent to successful evaluation of application package, the review of MTOE and Applications Forms shall be initiated by Airworthiness Section to verify the compliance of requirements mentioned in IS 147, Guidance for preparation of MTOE, Checklist and Guidelines on Course Approval Package. If required, review sessions can be arranged with representatives (Quality Manager and/ or subject matter experts) of the applicant organization.
- 4.1.8. Rectification of Discrepancies:** The applicant organization shall then rectify the pointed out deficiencies in the submitted documents. After satisfactory evaluation of the MTOE, Airworthiness Inspector shall keep the accepted MTOE (01 copy) along with duly filled MTOE compliance checklist CAA/AW/CL/04
- 4.1.9. Processing Of CAASL Form 4:** Scrutiny of CAASL Form 4 for Management Personnel and their interviews shall be carried out to verify that the nominated personnel are suitable for the posts and fulfill the requirements mentioned in IS 147 and MTOE finalized draft. The process of acceptance of Management personnel is spread over the complete IS-147 approval process.
- 4.1.10. Audit Preparation:** A ‘Compliance Statement’ by Quality Manager of the organization shall then be submitted to CAASL confirming that processes/ procedures, facilities, documentation and personnel of the organization are in compliance with requirements of IS-147 and procedures finalized in draft MTOE which have been verified through internal audit. This means that appropriate corrective actions have been taken against all findings before issuing ‘Compliance Statement’. The statement shall also include the proposed timeframe for CAASL physical audit.
- 4.1.11. CAASL Physical Audit:** Once the organization is prepared, CAASL Physical Audit shall be conducted to verify the compliance status of requirements stated in IS-147, other CAASL regulations, MTOE procedures and course approval package. The duration of the audit shall be dependent upon applied scope of work, size & complexity of the organization.
- a. In consultation with D(AR&AW), the nominated Airworthiness Inspector will compose a team depending upon size and complexity of the organization
 - b. Assigned Inspector shall inform the applicant organization on the schedule of audit and seek concurrence on same.
 - c. On the first day of physical audit, the audit team shall brief the organization on the following:
 - o Introduction of Audit Team
 - o Scope of Audit
 - o Schedule of Audit
 - o Administrative support (if required)
 - d. During Physical Audit, the auditing team shall verify that the organization is in compliance with the requirements of IS-147 and

MTOE as per Part 2 and Part 3 respectively of latest revision of CAASL Form 22.

- e. The guidance for Part 2 of CAASL Form 22 shall be taken from latest revision of checklist and signed by the auditors. CAASL auditing team should always ensure that a nominated Quality Manager or senior member of the applicant organization accompanies them throughout the audit.

***Note:** For organizations having their Principal location of business where Airworthiness Section is not present, the organization shall be responsible to make all necessary logistic arrangements for the CAASL inspector. (i.e. return ticket (business class), and other CAASL approved Travel allowances etc.).*

4.1.12. Levels of Findings: For an initial audit, the findings shall not be classified as Level 1 or 2, as the maintenance training organization is not approved. It is mandatory that all findings be rectified to the full satisfaction of CAASL before approval may be issued.

4.1.13. Post Audit Debrief: It is mandatory that significant aspects of the audit area to be discussed with the Accountable Manager in presence of nominated personnel. Quality Manager shall be responsible to arrange the said debrief.

4.1.14. Audit Findings Report: The Audit Findings Report shall be prepared by Airworthiness Section [*all findings shall be entered as observation for initial/change in approval*] and will be conveyed to the Organization within 02 weeks of completion of audit.

4.1.15. Preparation of CAP: A comprehensive Corrective Action Plan (CAP) shall be prepared by the organization and submitted to CAASL. The CAP shall specify the actions to address the pointed out Audit Findings. If the actions require time, a realistic & acceptable Target date for completion shall be mentioned.

4.1.16. Acceptance of CAP: The CAP shall be evaluated by CAASL for acceptance. If any ambiguity is found, the organization shall be informed to rectify the same.

4.1.17. Implementation of CAP: Once an agreement between CAASL and the organization is reached on CAP, the organization shall implement the CAP within the agreed timeframe.

4.1.18. Verification Audits: Verification audit(s) is conducted to ensure correct implementation of CAP and to verify the status of pointed out discrepancies. There may be many verification audits depending upon the CAP status submitted and verified by CAASL. The organization may be asked to take additional actions if CAASL is not satisfied by actions on certain aspects.

4.1.19. Processing of Final Recommendation:

- a. When the full investigation for compliance of the applicant with IS-147 has been satisfactorily determined, the D(AR&AW) shall carry out a quality review of the following documentation:
 - o The completed CAASL Form 22 (all 5 parts) along with signatures of the head and all members of the auditing team
 - o The Approved MTOE
 - o Copy of accepted CAASL Form 4
 - o Consistency of CAASL Form 12 with the CAASL Form 22 and the MTOE
- b. After satisfactory review, the nominated Inspector along with D(AR&AW) shall sign on Part 5 of CAASL Form 22.
- c. The CAASL Form 22 along with 03 copies of MTOE and course approval package shall be forwarded to HQs. Airworthiness Directorate.
- d. The findings and subsequent closure record shall also be updated on AMS by the Detailed Inspector.

4.1.20. Issuance of 147 Approval: On receipt of positive recommendations and confirmation of necessary CAASL fee, Director Airworthiness on behalf of DGCA shall issue Maintenance Training Organization Approval on CAASL Form-11.

4.1.21. Upon approval of the case from D(AR&AW), the nominated Inspector shall prepare “Approval Certificate” (CAASL Form 11) in for signatures of D(AR&AW). The approval schedule shall be based on the scope recommended by Airworthiness Section.

4.1.22. After D(AR&AW) signatures, the nominated Airworthiness Inspector should retain one copy of approval certificate to Airworthiness Section original CAASL Form 11 to “applicant Organizaton”.

4.1.23. All the documentation used during the approval process along with CAASL Form 12, CAASL Form 22, copies of CAASL Form 4 and CAASL Form 11 shall be retained under the allocated CAASL approval number and in accordance with CAASL filing system.

Note: For initial audit, it is mandatory that all findings are rectified fully to the satisfaction of CAASL before approval is issued.

4.1.24. CAASL Reference Number: The Organization will be allocated a CAASL organization Reference number, which shall be quoted by the organization for all related correspondence with CAASL.

4.1.25. Validity of Approval: The Approval shall be valid for a maximum period up to one year and limited to the scope specified on Form 11, under 'Approval Schedule' and chapter 1.9 of MTOE.

4.2. PROCEDURE FOR CONTINUATION (RENEWAL) OF APPROVAL

4.2.1. Submission of Application Package: The Application Package for Continuation of maintenance organization approval under IS-147 shall be submitted two (02) months prior to expiry of approval to Airworthiness Section under a covering letter containing:

- a. CAASL Form 12 duly signed by the Accountable Manager
- b. Current Approval Certificate
- c. Authorization of fee

4.2.2. Performance Monitoring of the Organization through Surveillance Audits: The performance of Approved Maintenance Training Organization within a period of 12 months shall form basis of its Continuation of Approval. Airworthiness Section through Annual Surveillance Plan (Scheduled and unscheduled) shall monitor the performance of the organization giving special emphasis to Level 1 & 2 Findings. The scheduled surveillance plan shall cover all sections of all locations of the organization within last one year of approval. Airworthiness Sections shall circulate the plan of scheduled audits to the concerned. Nevertheless, Airworthiness Sections may conduct any additional audit if deemed necessary.

4.2.3. Based on the performance of AMTO during the scheduled/ unscheduled surveillance audits, Sections may choose to go for a complete audit or rely on Surveillance audit reports of the organization in the preceding last year, before recommending the continuation of approval.

4.2.4. However, each approved station of all organizations shall be completely audited for compliance with the IS-147 at periods not exceeding 24 months. This shall include monitoring of at least one training course and one examination performed by the MTO.

4.2.5. The Airworthiness Section shall coordinate with other Sections (if applicable) on receipt of the application for continuation of approval (CAASL Form 12). Based on the CAASL Form 22 AW Section shall develop a consolidated 'Recommendation Report' CAASL Form 22.

- a. Action shall be taken by auditor to revoke, limit or suspend in whole or part, the approval, in case of failure to complete the rectification within **three (03)** days of written notification for any "**Level 1**" finding

- b. Action shall be taken by auditor to revoke, limit or suspend in whole or part, the approval, in case of failure to comply within the mutually agreed **time scale** for any “Level 2” finding.
 - c. In case of a level 2 finding, auditor may give up to 6 months’ notice of the need for rectification. However, dependent upon seriousness of the level 2 finding(s) Airworthiness Inspector may choose a notice period less than 6 months.
 - d. When allocating Airworthiness Inspector a 6 months period, the initial notification should be of 3 months duration to the quality assurance manager followed by the final 3 months’ notice to the accountable manager.
- 4.2.6.** When the full investigation for compliance of the applicant with IS-147 has been satisfactorily determined, D(AR&AW) shall carry out a quality review of the following documentation:
- a. The completed CAASL Form 22 along with signatures of all the members of the auditing team
 - b. The Approved MTOE
 - c. Consistency of the Form 12 with the Form 22 and the MTOE
- 4.2.7.** After satisfactory review of Para 5.4.2.6, D(AR&AW) shall sign Part 5 of CAASL Form 22.
- 4.2.8.** The completed CAASL Form 22 from Airworthiness Inspector shall be forwarded for continuation approval of the organization.
- 4.2.9.** Issuance of Continued IS-147 “Approval Certificate”– (CAASL Form 11):
- a. Based on the recommendation under Part 5 of CAASL Form 22 received , the nominated Airworthiness Inspector shall put up the case for continuation of organization approval to D(AR&AW) along with dully filled checklist CAA/AW/CL/04 and after ensuring that no dues are outstanding against the organization.
 - b. Upon approval of the case from D(AR&AW), the nominated Airworthiness Inspector shall prepare new CAASL Form 11 for signatures of D(AR&AW). The approval schedule shall be based on the scope recommended by the Section.
 - c. After signatures of D(AR&AW), the nominated Inspector shall retain all copies of applicable CAASL forms completed in relevant Airworthiness Section file and Original CAASL FORM 11 will be dispatched to the applicant organization.

4.3. PROCEDURE FOR CHANGE IN THE ORGANIZATION

4.3.1. Application – (CAASL Form 12)

- a. Application for change to scope of approval shall be received in Airworthiness Section on latest revision of CAASL Form 12. The CAASL Form 12 shall be accompanied with the amendment in MTOE (two copies) and previously issued Approval Certificate (CAASL Form 11)
- b. D(AR&AW) shall assign an Airworthiness Inspector to process the application.
- c. The assigned Airworthiness Inspector will acknowledge receipt of applications to the organization within three working days following the date of receipt by CAASL.
- d. The assigned Airworthiness Inspector shall check the applications for any incorrect or incomplete information and if found, he shall notify the applicant as soon as possible by a letter or email detailing the omissions and errors.
- e. The assigned Airworthiness Inspector shall determine the change requested and its impact on the approval earlier issued to the organization. The consequent changes in MTOE, CAASL Form 11 & Form 4 shall be identified for necessary action with respect to change.

4.3.2. Change in Scope of Approval

- a. A change in the Scope of approval requires a physical Audit as per Para 5.4.1.11.
- b. The assigned Airworthiness Inspector shall ensure that necessary amendments in MTOE are incorporated and approved as per Para 5.4.4.
- c. Subsequently, 'Post Audit Work' is to be carried out as per Para 5.4.1.13 to 5.4.1.19 and new CAASL Form 11 "Approval Certificate" is issued as per Para 5.4.1.20 to 5.4.1.23.
- d. Change of scope of approval requires the MTO to make a new application to CAASL together with applicable CAASL forms and submission of an amended exposition.
- e. The assigned Airworthiness Inspector should follow the procedure of Para 5.4.3.1(a) through 5.4.3.1(c) as far as the change affects MTOE procedures.

4.4. MTOE AMENDMENTS

- 4.4.1. For amendment in MTOE, the Inspector shall ensure that the procedures specified in the exposition are in compliance with the intent of IS-147.
- 4.4.2. When the evaluation of amended MTOE for the change has been satisfactorily completed in accordance with checklist CAA/AW/CL/04, the assigned Inspector shall forward 2 sets of amended MTOE pages in sheet protector along with recommendations for approval to Director Airworthiness.
- 4.4.3. Upon approval from D(AR&AW), the nominated Inspector shall retain one copy of the approved amendment in Airworthiness Section and forward one copy to the applicant organization.

Appendix A – Procedure for Initial Approval



