Civil Aviation Authority of Sri Lanka

Approved Training Organization Certification Manual

Third Edition – 2024

Issued under the authority of the Director General of Civil Aviation and Chief Executive Officer

Approved Training Organization Certification Manual

Third Edition – 2024

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CIVIL AVIATION AUTHORITY OF SRI LANKA

PERSONNEL LICENSING SECTION

LIST OF GUIDANCE MATERIAL ISSUED BY THE PERSONNEL LICENSING SECTION

PERSONNEL LICENSING PROCEDURES MANUAL (SLCAP 3010)		**OFFICE PROCEDURES MANUAL (SLCAP 3030)**
ELPC PROCEDURES MANUAL (SLCAP 3040)		**FLIGHT TEST EXAMINERS MANUAL (SLCAP 3050)**
ATC LICENCE PROCEDURES MANUAL (SLCAP 3060)		**AML PROCEDURES MANUAL (SLCAP 3070)**
EXAMINATION PROCEDURES MANUAL (SLCAP 3080)		**APPROVED TRAINING ORGANIZATION CERTIFICATION MANUAL (SLCAP 3090)**
PERPETUAL LICENCE PROCEDURES MANUAL (SLCAP 3100)		

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Foreword

Being members of the International Civil Aviation Organization (ICAO), each Contracting State has an obligation to the international community to ensure that civil aviation activities under its jurisdiction are being carried out in strict compliance with International Standards and Recommended Practices (SARP's) as specified in ICAO Annex 1 to Annex19.

Applicable standards for certification of Approved Training Organization (ATO)s are stipulated in ICAO Annex 1,which specifies the SARPs on Personnel Licensing has been implemented in Sri Lanka in terms of the Civil Aviation Act, No. 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other specific operating regulations. The associated requirements and procedures necessary for the purpose of implementing the International Civil Aviation Organization (ICAO) Annexes and Air Navigation Regulations (ANRs) are published by the Director General of Civil Aviation Authority, as implementing standards and Aviation Safety Notices

The Civil Aviation Act No 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other specific operating regulations, requires a person or institution to establish an Aviation Training Institutions/ Approved Training Organization to provide training courses in respect of activities prescribed in section 67 of the above act, where DGCA Sri Lanka is satisfied as to the adequacy of the course content, the suitability of the training equipment and facilities and the competency of the instructors.

Prior to issue such licence or permit which is hereinafter referred to as Approved Training Organization license, the organization needs to demonstrate compliance to Civil Aviation Act No 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 & other operating regulations and procedures stipulated in this Manual "ATOCM" cited as SLCAP3090.

ATO licence and associated Operations Specifications (Ops Specs) defines the nature and scope of the operations authorized to conduct together with relevant conditions and limitations. Furthermore this authorization shall be revoked or cancelled, if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.

Compilation of Approved Training Organization Certification Manual - SLCAP 3090 shall be considered as a dire need for the guidance of an applicant seeking a ATO License. It is noteworthy to mention that the purpose of this manual is to explain the administrative procedure involved, for the issue and renewal of an ATO License and to indicate the requirements to be met by an applicant for such a certificate. Every application is considered on its merits.

It is not the case, that failure to comply with every detail outlined in this manual will result in refusal to grant an ATO License. It is possible that failure to comply with a particular requirement described in this booklet will be addressed and fulfilled in some way, thereby enabling the Authority to be satisfied with the overall competence of the applicant. It is expected that the applicant of an ATO License will be benefited by this manual as it explains the administrative procedures involved so that the process would be independent and transparent.

This Authority may, without any prior notice, change the contents of this manual as appropriate, to suit the administrative requirements. This is a living document providing freedom for change, in the form of amendments corresponding with the introduction of new regulations by Civil Aviation Authority. Right to change any part of this manual or portion of a procedure is reserved.

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Date: 20 June 2024

List of Abbreviations

A	Aeroplane
ACAS	Airborne collision avoidance system
AD	Airworthiness directive
AFM	Airplane Flight Manual
AFTN	Aeronautical Fixed Telecommunication Network
AIH	Airworthiness Inspector Handbook
AIS	Aeronautical information service
AM	Accountable manager
AMC	Acceptable Means of Compliance
ANR	Air Navigation Regulations of Sri Lanka
AOC	Air Operator Certificate
ARA	Authority requirements for aircrew
ATA	Air Transport Association
ATC	Air traffic control
ATO	Approved training organization
ATPL	Airline transport pilot licence
AVSEC	Aviation Security
BITD	Basic instrument training device
BPL	Balloon pilot licence
CAA	Civil Aviation Authority
CBT	Computer-based training
CFI	Chief flying instructor
CM	Compliance monitoring
CMP	Compliance monitoring program
CMS	Compliance monitoring system
CSI	Cabin Safety Inspector
COP	Code of practice
C of A	Certificate of Airworthiness
C of R	Certificate of Registration
CRM	Crew resource management
CS-FSTD(A)	Certification Specifications for aeroplane flight simulation training devices
CS-FSTD(H)	Certification Specifications for helicopter flight simulation training devices
CTKI	Chief theoretical knowledge instructor
DCP	Designated Check Pilot
DG	Dangerous goods
DGCA	Director General of Civil Aviation
EC	European Community
ERP	Emergency response plan

EROPS	Extended Range of Operations
ETOPS	Extended range operations with twin-engine aeroplane
FATO	Final approach and take-off area
FFS	Full flight simulator
FI	Flight Instructor
FMGS	Flight management and guidance computer
FMS	Flight management system
FNPT	Flight navigation and procedures trainer
FOI	Flight Operations Inspector
FOIH	Flight Operations Inspector Handbook
FOM	Flight Operations Manual
FSL	Flying School Licence
FSTD	Flight simulation training device
FTD	Flight training device
FTE	Full-time equivalent
FTI	Flight test instructor
GM	Guidance Material
GMP	General medical practitioner
H	Helicopter
HEMS	Helicopter emergency medical service
HHO	Helicopter hoist operation
HT	Head of training
ICAO	International Civil Aviation Organization
IFR	Instrument flight rules
IMC	Instrument meteorological conditions
IOS	Instructor operation station
IS	Implementing Standard
LAPL	Light aircraft pilot licence
LIFUS	Line flying under supervision
LOFT	Line Oriented Flight Training
LVO	Low visibility operation
MCC	Multi-crew cooperation
MCM	Maintenance Control Manual
MEL	Minimum Equipment List
MMEL	Master Minimum Equipment List
MOU	Memorandum Of Understanding
MPA	Multi-pilot aeroplane
MPL	Multi-crew pilot licence
NOTAM	Notice to Airman
NVIS	Night vision imaging system
OPC	Operator proficiency check
ORA	Organisation requirements for aircrew

OSD	Operational suitability data
OTD	Other training device
Ops Specs	Operations Specifications
PA	Public Administration
PBN	Performance-based navigation
PF	Pilot flying
PIC	Pilot-in-command
POH	Pilot Operating Handbook
PPL	Private pilot licence
QTG	Qualification test guide
QM	Quality Manager
Rev	Revision
SARPs	Standards and Recommended Practices
SLCAP	Sri Lanka Civil Aviation Publication
SMM	Safety management manual
SOP	Standard Operating Procedure
SPL	Student pilot licence
TAWS	Terrain awareness warning system
TRE	Type rating examiner
TRI	Type rating instructor
TRTO	Type Rating Training Organization
USOAP	Universal Safety Oversight Audit Programme
VDR	Validation data roadmap
ZFTT	Zero flight-time training

Definitions

When the following terms are used in the Standards and Recommended Practices for Personnel Licensing, they have the following meanings:

Accredited medical conclusion.
The conclusion reached by one or more medical experts acceptable to DGCA Sri Lanka for the purposes of the case concerned, in consultation with flight operations or other experts as necessary.

Adapted competency model.
A group of competencies with their associated description and performance criteria adapted from an ICAO competency framework that an organization uses to develop competency-based training and assessment for a given role

Aeroplane.
A power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces, which remain, fixed under given conditions of flight.

Aircraft.
Any machine that can derive support in the atmosphere from the reactions of the air other than the reactions of the air against the earth's surface.

Aircraft avionics.
A term designating any electronic device —including its electrical part — for use in an aircraft, including radio, automatic flight control and instrument systems.

Aircraft — category.
Classification of aircraft according to specified basic characteristics, e.g. aeroplane, helicopter, glider, free balloon.

Aircraft certificated for single-pilot operation.
A type of aircraft, which the State of Registry has determined, during the certification process, can be operated safely with a minimum crew of one pilot.

Aircraft required to be operated with a co- pilot.
A type of aircraft that is required to be operated with a co-pilot, as specified in the flight manual or by the air operator certificate.

Aircraft — type of.
All aircraft of the same basic design including all modifications thereto except those modifications which result in a change in handling or flight characteristics.

Airmanship.
The consistent use of good judgment and well-developed knowledge, skills and attitudes to accomplish flight objectives.

Airship.
A power-driven lighter than air aircraft

Appropriate airworthiness requirements.
The comprehensive and detailed airworthiness codes established, adopted or accepted by a Contracting State for the class of aircraft, engine or propeller under consideration

Approved training.
Training conducted under special curricula and supervision approved by DGCA Sri Lanka.

Approved training Organization.
An organization approved by and operating under the supervision of DGCA Sri Lanka in accordance with the requirements of, this IS to perform approved training.

ATS surveillance service.
A Term used to indicate a service provided directly by means of ATS surveillance system.

ATS surveillance system.
A generic term meaning variously, ADS-B, PSR, SSR or any comparable ground based system that enables the identification of aircraft.

Note.-
A comparable ground-based system is one that has been demonstrated, by comparative assessment or other methodology, to have a level of safety and performance equal to or better than monopulse SSR.

Balloon.
A non-power-driven lighter-than-air aircraft.

Note.-
For the purposes of this IS, this definition applies to free balloons.

Certify as airworthy (to).
To certify that an aircraft or parts thereof comply with current airworthiness requirements after maintenance has been performed on the aircraft or parts thereof.

Command and control (C2) link. **
The data link between the remotely piloted aircraft and the remote pilot station for the purposes of managing the flight

** Applicable until 25 November 2026

C2 Link. ***
The data link between the remotely piloted aircraft and the remote pilot station for the purposes of managing the flight

*** Applicable after 26 November 2026

Commercial air transport operation.
An aircraft operation involving the transport of passengers, cargo or mail for remuneration or hire.

Competency.
A dimension of human performance that is used to reliably predict successful performance on the job. A competency is manifested and observed through behaviors that mobilize the relevant knowledge, skills and attitudes to carry out activities or tasks under specified conditions.

Competency-based training and assessment.
Training and assessment are characterized by a performance orientation, emphasis on standards of performance and their measurement, and the development of training to the specified performance standards.

Competency standard.
A level of performance that is defined as acceptable when assessing whether or not competency has been achieved.

Conditions.
Anything that may qualify a specific environment in which performance will be demonstrated.

Co-pilot.
A licensed pilot serving in any piloting capacity other than as pilot-in-command but excluding a pilot who is on board the aircraft for the sole purpose of receiving flight instruction.

Credit.
Recognition of alternative means or prior qualifications.

Cross-Country.
A flight between a point of departure and a point of arrival following a pre-planned route using standard navigation procedures.

Detect and avoid.
The capability to see, sense or detect conflicting traffic or other hazards and take the appropriate action.

Dual instruction time.
Flight time during which a person is receiving flight instruction from a properly authorized pilot on board the aircraft, or from a properly authorized remote pilot using the remote pilot station during a remotely piloted aircraft flight.

Error.
An action or inaction by an operational person that leads to deviations from organizational or the operational person's intentions or expectations.

Note.-See Chapter 1 of Annex 19 – Safety Management for a definition of operational personnel

Error management.
The process of detecting errors and responding to them with countermeasures that reduce or eliminate the consequences of errors and mitigate the probability of further errors or undesired states.

Note.— See Chapter 6 of Part II, Section 1 of the Procedures for Air Navigation Services — Training (PANS-TRG, Doc 9868) and Circular 314 — Threat and Error Management (TEM) in Air Traffic Control for a description of undesired states.

Flight crewmember.
A licensed crew member charged with duties essential to the operation of an aircraft during a flight duty period.

Flight plan.
Specified information provided to air traffic services units, relative to an intended flight or portion of a flight of an aircraft.

Flight procedures trainer.
See Flight simulation training device.

Flight simulation training device (FSTD).
Any one of the following three types of apparatus in which flight conditions are simulated on the ground:

A flight simulator,
which provides an accurate representation of the flight deck of a particular aircraft type or an accurate representation of the RPAS to the extent that the mechanical, electrical, electronic, etc. aircraft systems control functions, the normal environment of flight crew members, and the performance and flight characteristics of that type of aircraft are realistically simulated;

A flight procedures trainer,
which provides a realistic flight deck environment or realistic RPAS environment, and which simulates instrument responses, simple control functions of mechanical, electrical, electronic, etc. aircraft systems, and the performance and flight characteristics of aircraft of a particular class;

A basic instrument flight trainer,
which is equipped with appropriate instruments, and which simulates the flight deck environment of an aircraft in flight or the RPAS environment in instrument flight conditions.

Flight simulator.
See Flight simulation training device.

Flight time — aeroplanes.
The total time from the moment an aeroplane first moves for the purpose of taking off until the moment it finally comes to rest at the end of the flight.

Note.-

Flight time as here defined is synonymous with the term "block to block" time or "chock to chock" time in general usage which is measured from the time an Aeroplane first moves for the purpose of taking off until it finally stops at the end of the flight.

Flight time – helicopters.
The total time from the moment a Helicopter's rotor blades start turning until the moment the Helicopter finally comes to rest at the end of the flight, and the rotor blades are stopped.

Flight time — remotely piloted aircraft systems. ***
The total time from the moment a command and control (C2) link is established between the remote pilot station (RPS) and the remotely piloted aircraft (RPA) for the purpose of taking off or from the moment the remote pilot receives control following a handover until the moment the remote pilot completes a handover or the C2 link between the RPS and the RPA is terminated at the end of the flight.

*** Applicable until 25 November 2026

Flight time — remotely piloted aircraft systems.****
The total time from the moment a C2 Link is established between the remote pilot station (RPS) and the remotely piloted aircraft (RPA) for the purpose of taking off or from the moment the remote pilot receives control following a handover until the moment the remote pilot completes a handover or the C2 Link between the RPS and the RPA is terminated at the end of the flight.

**** Applicable after 26 November 2026

Glider.
A non-power-driven heavier-than-air aircraft, deriving its lift in flight chiefly from aerodynamic reactions on surfaces, which remain, fixed under given conditions of flight.

Glider flight time.
The total time occupied in flight, whether being towed or not, from the moment the glider first moves for the purpose of taking off until the moment it comes to rest at the end of the flight.

Handover.
The act of passing piloting control from one remote pilot station to another.

Helicopter.
A heavier-than-air aircraft supported in flight chiefly by the reactions of the air on one or more power-driven rotors on substantially vertical axes.

Human performance.
Human capabilities and limitations, which have an impact on the safety and efficiency of aeronautical operations.

ICAO competency framework.
A competency framework, developed by ICAO, is a selected group of competencies for a given aviation discipline. Each competency has an associated description and observable behaviours.

Instrument flight time.
Time during which a pilot is piloting an aircraft or a remote pilot is piloting a remotely piloted aircraft solely by reference to instruments and without external reference points.

Instrument ground time.
Time during which a pilot is practicing, on the ground, simulated instrument flight in a flight simulation training device approved by DGCA Sri Lanka.

Instrument time.
Instrument flight time or instrument ground time.

Licensing Authority.
The DGCA Sri Lanka who is the designated authority by the state as responsible for the licensing of personnel.

Note.-
In the provision of this IS, DGCA Sri Lanka is been given the following responsibilities by the statute:

a) *assessment of an applicant's qualifications to hold a licence or rating;*
b) *issue and endorsement of licences and ratings;*
c) *designation and authorization of approved persons;*
d) *approval of training courses;*
e) *approval of the use of flight simulation training device and authorization for their use in gaining the experience or in demonstrating the skill required for the issue of a licence or rating; and*
f) *validation of licences issued by other Contracting States.*

Likely.
In the context of the provisions in IS 036, likely means with a probability of occurring that is unacceptable to the Medical Assessor.

Maintenance.
The performance of tasks required to ensure the continuing airworthiness of an aircraft, including any one or combination of overhaul, inspection, replacement, defect rectification, and the embodiment of a modification or repair.

Medical Assessment.
The evidence issued by DGCA Sri Lanka that the licence holder meets specific requirements of medical fitness.

Medical assessor.
A physician, appointed by DGCA Sri Lanka, qualified and experienced in the practice of aviation medicine and competent in evaluating and assessing medical conditions of flight safety significance.

Note 1.-
Medical Assessors evaluate medical reports submitted to DGCA Sri Lanka by medical examiners.

Note 2.-
Medical Assessors are expected to maintain the currency of their professional knowledge.

Medical examiner.
A physician with training in aviation medicine and practical knowledge and experience of the aviation environment, who is designated by DGCA Sri Lanka to conduct medical examinations of fitness of applicants for licences or ratings for which medical requirements are prescribed.

Monitoring.
A cognitive process to compare an actual to an expected state.

Note.– Monitoring is embedded in the competencies for a given role within an aviation discipline, which serve as countermeasures in the threat and error management model. It requires knowledge, skills and attitudes to create a mental model and to take appropriate action when deviations are recognized.

Night.
The hours between the end of evening civil twilight and the beginning of morning civil twilight or such other period between sunset and sunrise, as prescribed by DGCA Sri Lanka.

Note.-
Civil twilight ends in the evening when the centre of the sun's disc is 6 degrees below the horizon and begins in the morning when the centre of the sun's disc is 6 degrees below the horizon.

Observable behaviour (OB).
A single role-related behaviour that can be observed and may or may not be measurable.

Performance criteria.
Statements used to assess whether the required levels of performance have been achieved for a competency. A performance criterion consists of an observable behaviour, condition(s) and a competency standard.

Pilot (to).
To manipulate the flight controls of an aircraft during flight time.

Pilot flying (PF).
The pilot whose primary task is to control and manage the flight path. The secondary tasks of the PF are to perform non-flight path related actions (radio communications, aircraft systems, other operational activities, etc.) and to monitor other crew members.

Pilot-in-command.
The pilot designated by the operator, or in the case of general aviation, the owner, as being in command and charged with the safe conduct of a flight.

Pilot-in-command under supervision.
Co- pilot performing, under the supervision of the pilot-in-command, the duties and functions of a pilot-in-command, in accordance with a method of supervision acceptable to DGCA Sri Lanka.

Pilot monitoring (PM).
The pilot whose primary task is to monitor the flight path and its management by the PF. The secondary tasks of the PM are to perform non–flight path related actions (radio communications, aircraft systems, other operational activities, etc.) and to monitor other crew members.

Powered-lift.
A heavier-than-air aircraft capable of vertical take-off, vertical landing, and low speed flight that depends principally on engine-driven lift devices or engine thrust for the lift during these flight regimes and on non-rotating aerofoil (s) for lift during horizontal flight.

Problematic use of substances.
The use of one or more psychoactive substances by aviation personnel in a way that:

a) Constitutes a direct hazard to the user or endangers the lives, health or welfare of others; and/or
b) Causes or worsens an occupational, social, mental or physical problem or disorder.

Psychoactive substances.
Alcohol, opioids, cannabinoids, sedatives and hypnotics, cocaine, other psycho stimulants, hallucinogens, and volatile solvents, whereas coffee and tobacco are excluded.

Quality system.
Documented organizational procedures and policies; internal audit of those policies and procedures; management review and recommendation for quality improvement.

Rated air traffic controller.
An air traffic controller holding a licence and valid ratings appropriate to the privileges to be exercised.

Rating.
An authorization entered on or associated with a licence and forming part thereof, stating special conditions, privileges or limitations pertaining to such licence.

Remote co-pilot.
A licensed remote pilot serving in any piloting capacity other than as remote pilot-in-command but excluding a remote pilot who is in the RPS for the sole purpose of receiving flight instruction

Remote flight crew member.
A licensed flight crew member charged with duties essential to the operation of a remotely piloted aircraft system during a flight duty period.

Remote pilot.
A person charged by the operator with duties essential to the operation of a remotely piloted aircraft and who manipulates the flight controls, as appropriate, during flight time.

Remote pilot-in-command.
The remote pilot designated by the operator as being in command and charged with the safe conduct of a flight.

Remote pilot station (RPS).
The component of the remotely piloted aircraft system containing the equipment used to pilot the remotely piloted aircraft.

Remotely piloted aircraft (RPA).
An unmanned aircraft which is piloted from a remote pilot station.

Remotely piloted aircraft system (RPAS).***
A remotely piloted aircraft, its associated remote pilot station(s), the required command and control links and any other components as specified in the type design.

*** Applicable until 25 November 2026

Remotely piloted aircraft system (RPAS).****
A remotely piloted aircraft, its associated remote pilot station(s), the required C2 Link(s) and any other components as specified in the type design.

**** Applicable after 26 November 2026

Rendering (a licence) valid.
The action taken by DGCA Sri Lanka, as an alternative to issuing its own licence, in accepting a licence issued by any other Contracting State as the equivalent of its own licence.

Rotorcraft.
A power-driven heavier-than-air aircraft supported in flight by the reactions of the air on one or more rotors.

Sign a maintenance release (to).
To certify that maintenance work has been completed satisfactorily in accordance with appropriate airworthiness requirements, by issuing the maintenance release referred to in IS 017 (in the case of a release not issued by an approved maintenance organization) or IS 056 (in the case of a release issued by an approved maintenance organization)

Significant.
In the context of the medical provisions in IS 036, significant means to a degree or of a nature that is likely to jeopardize flight safety.

Solo flight time.
Flight time during which a student pilot is the sole occupant of an aircraft.

Solo flight time — remotely piloted aircraft systems.
Flight time during which a student remote pilot is controlling the RPAS, acting solo.

State Safety Programme (SSP).
An integrated set of regulations and activities aimed at improving safety.

Threat.
Events or errors that occur beyond the influence of an operational person, increase operational complexity and which must be managed to maintain the margin of safety.

Note.-
See Chapter 1 of Annex 19 – Safety Management for a definition of operational personnel

Threat management.
The process of detecting threats and responding to them with countermeasures that reduce or eliminate the consequences of threats and mitigate the probability of errors or undesired states.

Note.— See Chapter 6 of Part II, Section 1 of the Procedures for Air Navigation Services — Training (PANS-TRG, Doc 9868) and Circular 314 — Threat and Error Management (TEM) in Air Traffic Control for a description of undesired states.

CHAPTER 1 – ATO INTRODUCTION

1.1. General

The purpose of this manual is to provide guidance on procedure for certification of Approved Training Organization (ATO) and procedure for issuance and renewal of ATO certificate.

ATO certificate and associated Operations Specification (Ops Spec) specify the nature and scope of the operations authorized to each ATO. Furthermore DGCA is authorized to suspend / revoke the ATO certificate issued, if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.

Prior to issuing the ATO certificate, the applicant shall comply with all the requirements of Civil Aviation Act No. 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulation No. 01 of 2018 and other specific operating regulations made thereunder and ICAO Doc 9841 guidance for safe, secure, efficient and regular conduct of proposed services;

- The ATO shall provide adequate servicing and maintenance of the aircraft and established an effective system of maintenance control for this purpose;

- The ATO shall provide an effective means of operational control of the training aircraft that they intend to operate;

- The organizational structure of the ATO need to appropriate and the nominees for the key post holders shall have adequate experience and required qualifications and are acceptable and approved by the DGCA;

- Detailed procedures, techniques and guidance are included in ATO Training Manual, Organization Management Manual and Operations Manual giving specific instructions / information as to how the ATO personnel are required to carry out their duties and functions and such manuals shall receive approval / acceptance from the DGCA;

- Qualified and trained staff shall be available in sufficient number for initial and recurrent training programs is required to obtain approval of DGCA for training programs, where necessary.

- Type(s) of aircraft are approved for the proposed class(es) and are suitable for the proposed operations and they are available in sufficient number;

- Facilities and ancillary services required for the proposed operations have been organized to ensure safe, secure, efficient and regular operations;

- All required training programs, instructors and training infrastructure are been approved by DGCA, where applicable;

- Potential and actual liabilities of the ATO in respect of aircraft, crew, students and third party are covered with an insurance policy through local agent;

- An effective accident prevention, threat and error management and safety management system acceptable to the DGCA are been implemented;

- Any other element identified as a requirement during the certification process is in place and is sufficient to ensure the operation of the ATO.

- Adequate financial resources are available for the Training Organization to fulfill the actual and potential obligations arising from the proposed operation for a minimum period of three years.

The ATO certificate and the associated operations specification specify only the nature and scope of the authorizations in relation to the technical competency of the ATO for safe, secure, efficient flying training services. Therefore the ATO should be mindful of the additional requirements essential for the operations, such as financial, staffing etc.

Approved Training Organization should follow the guidance provided by ICAO Doc 9841 (3rd edition).

The application for the issue of an ATO certificate need to be prepared in accordance with the requirements prescribed in of this manual and the application form can be download *(Refer Appendix A for a sample of the application*) from the CAASL web.

1.2. Continued Compliance

Once certified, the operator is responsible for the continued compliance with the initial conditions of certifications, applicable legislative requirements and DGCA's requirements promulgated from time to time. The CAASL will maintain regular surveillance on the ATO's activities to ensure continued compliance, additionally CAASL will carry out formal and detailed audits, where the ATO's actual operations are checked against procedures as mentioned in Implementing Standard 67. Therefore the failure on the part of the ATO to comply with the applicable published requirements may result in either the imposing of administrative penalties or suspension / cancellation of the ATO Certificate.

If operations are conducted in breach of conditions of the ATO Certificate, such operations are construed to be unauthorized and the operator is liable for enforcement action by the CAASL as per SLCAP 0005, Aviation Enforcement Policy and Procedures Manual.

1.3. Display of Certificate

- A holder of an ATO shall display the ATO certificate (privilege) and Operations Specification (scope) issued by DGCA at a conspicuous place within the school premises for the notice of all concerned.

- A holder of an ATO Certificate shall;

  - Promptly remove from vacated premises, all signs indicating that the organization was licensed by DGCA.

  - The ATO should refrain from using any ensign/logo that indicates that it is licensed by DGCA.

1.4. Authorized evaluations and checks carried out by the ATO

When DGCA has authorized an ATO to conduct the testing required for the issuance of a licence or rating in accordance with the Training Manual and Operations Manual, it should include a list of approved instructors and surveillance should be carried out on authorized evaluations and checking for compliance. Requirements and guidance can be found on ICAO Doc. 9841 chapter 10.

1.5. Approval of a foreign ATO

When DGCA Sri Lanka approve a foreign ATO, the same approval process should be followed. DGCA Sri Lanka may rely on the approval and surveillance system of the host state to supplement their effort as per the Chapter 11 of ICAO Doc. 9841. Accreditation of the foreign ATO may also be done accordingly.

1.6. Suspension, Revocation or Cancellation of ATO Certificate

As per powers vested upon DGCA under the Civil Aviation Act No 14 of 2010 and other operating regulations, DGCA shall revoke a Certificate or suspend a Certificate for such period as he thinks fit, if he is satisfied ;

- that the holder of the Certificate or accountable manager of the organization has failed to establish a safe, efficient and reliable service ; or

- with regard to the financial resources of the holder of the Certificate or the accountable manager or the losses incurred by him, he cannot be relied upon to continue the training in a safe, efficient or reliable manner ; or

- that irrefutable charges have been brought against the ATO, as to render it necessary or expedient in the public interest, or in the interest of safety, to suspend or revoke the Certificate

- that any of the conditions of the Certificate has not been complied with and that such noncompliance is due to willful act or negligence, or default on the part of the Certificate holder or the accountable manager of the organization;

- that the Certificate has been obtained fraudulently.

1.7. Holder of ATO Certificate shall ensure that

- No passengers to be carried in training flights
- Any aircraft authorized to be used for flying training purposes only, is not used for any other purpose than training, without the approval of the DGCA.
- If the ATO closes for a temporary period decided by the ATO management, shall notify the DGCA.
- ATO shall not close down prior notifying the DGCA.
- Any of the equipment, personnel, facilities, program, procedures or practices that have been approved by DGCA, shall not be changed without the written approval of DGCA.

1.8. Closing down of an ATO (Ceasing operations of an ATO)

Unless the ATO is suspended by the DGCA, any operator wishing to cease operations of the ATO, shall inform the CAASL at least 90 days prior to the intended closer. A detailed plan and description of how the remaining students' training courses would be completed or alternate arrangements made to complete them shall be presented to the CAASL.

CHAPTER 2 – BACKGROUND

2.1 Certification Process

The certification process requires the DGCA to ascertain through a systematic process whether or not, a prospective applicant has both the required aptitude and resources to comply with the applicable legislative requirements and to fulfill the applicant's actual and potential obligations for operation of safe, secure, efficient and regular flying training, as proposed. The DGCA performs this task in fulfilling one of its primary obligations to the members of the public in regard to the entry certification of prospective applicants for training in order to ensure the provision of safe and dependable air services. This process involves *five distinct* phases as detailed below:

2.1.1 Pre-application:

During this phase, the applicant conducts initial studies, prepares plans, makes inquiries from the DGCA in regard to the opportunities available under the operations of desired training and seeks advice as to the validity of different proposals. The prospective applicant at this stage is required to submit a Letter of Intent to the DGCA, outlining the proposals and the DGCA will then invite the applicant for a pre-application meeting. After that, based on the initial information provided to the DGCA by the applicant, an estimate of costs for the certification will be computed according to the schedule of fees.

2.1.2 Formal Application:

The formal application phase requires, the applicant to submit the completed application (Appendix – A) to the DGCA together with the cost of certification evaluation established as per the *phase 2.1.1* along with the relevant documents to support the intended operation. The DGCA will make a formal assessment of the completeness of the applicant's proposal and then invite the applicant for a Formal Application meeting, where the details relating to the certification process would be formally discussed.

2.1.3 Document Evaluation:

Through this document during the evaluation phase the DGCA will undertake a detailed study of the applicant's manuals and other documents, which accompanied the formal application. The documentation must be complete, accurate and current to satisfy the DGCA's requirements before the inspection phase can commence. During this phase it will imply a series of discussions between the DGCA and the nominated post holders of the training organization in regard to establishing the validity / acceptability of the applicant's proposals.

It should be understood that the documents shall reflect precisely the mode and manner in which the applicant intends conducting the proposed operations and once approved, they shall form a part of the understanding between the DGCA and the ATO in regard to future functioning of the ATO.

2.1.4 Inspection Prior to Certification:

The inspection prior to certification phase will require the applicant to demonstrate to the DGCA that the applicant is in a position to conduct the proposed operations in accordance with the procedures detailed in the documents / manuals reviewed as per *phase 2.1.3* utilizing the personnel / facilities / equipment identified in the formal application. The qualifications and experience of the nominees for Designated Post holders will be evaluated and then interviewed. Also the aircraft, maintenance facilities and arrangements will be inspected. Furthermore the training facilities, programmes, training personnel for flying training and theoretical knowledge will be evaluated. The ATO's organizational structure, channels of communication, delegation of powers, financial strength and sources of funding will be subjected to detailed scrutiny to ensure that the company has sufficient resources, effective arrangement and control to satisfy its obligations. In order to proceed to the certification phase, all these elements should be satisfactorily completed.

2.1.5 Certification:

Upon satisfactory completion of all the above four phases the DGCA will take the necessary administrative action to approve formally, the nominees for Designated Post holders, the aircraft, facilities and procedures specified in the Training Manual, Management Manual, Operation Manual, Maintenance Control Manual and other related documents. It should be borne in mind that although the CAASL inspectors may indicate to the applicant regarding acceptability of the applicant's arrangements in respect of personnel, equipment, facilities, services, procedures or process in relation to the proposed operations as and when evaluations on such matters are completed, the final decision of the DGCA with regard to such arrangement would be conveyed to the ATO formally only during the certification process.

2.2 Responsibility of the Approved Training Organization

A major objective of the ATO certification is to ensure that an applicant for an ATO Certificate is fully aware and has clearly understood at the very outset about the actual & potential obligations arising out of the proposed operations (*specially the legal & social responsibilities*) and the financial commitments required to sustain the proposed operations in conformity with the published Civil Aviation requirements. Accordingly, an ATO Certificate will not be issued until the CAASL is fully convinced and satisfied beyond any doubt that all requirements for issue of an ATO Certificate have been confirmed prior to commencement of the proposed operations and that the Approved Training Organization has both the required aptitude and resources to maintain proposed services without compromising any of the initial requirements / conditions of certification.

Furthermore, the "Civil Aviation Act No. 14 of 2010" , Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other specific operating regulations devolve on the DGCA the power to refuse an application if;

- the applicant fails to satisfy the DGCA in regard to;
- the need for flying training in the area concerned with special reference to the potential demand for flying training industry ;
- economic strength required to fulfill actual and potential obligations for a period of at least three years;
- aircraft proposed to be flown;
- competence of technical personnel;
- Procedures and arrangements as an ATO;
- maintenance facilities and arrangements;
- arrangements in place for provision of safe, secure and efficient flying training in compliance with the published requirements;

In the event, an application is refused by the DGCA due to one or more reasons mentioned above, the applicant will have to forfeit the processing fees, paid with the formal application fees.

2.3 Equivalent Safety

The Equivalent safety relates to a situation where the applicant does not comply with the requirements as specified in the legislation but is in a position to demonstrate that the same or better level of safety intended by such legislative requirements can be satisfied by adoption of alternative methods of compliance. A determination of equivalent level of safety may allow the certification process to be satisfied in that aspect. This process however, is not automatic

requiring the operator the burden of proving to the satisfaction of the DGCA that the equivalent level of safety can be met, continued and maintained.

2.4 Authorization for the Issue of an ATO Certificate

The initial issue of an ATO Certificate (privilege) together with the Operations Specification (scope), which is required for the intended operations, will be issued once the certification team makes the required recommendations to the DGCA to that effect.

The recommendation for the issue of the ATO Certificate will be made by the Team Manager / Director in charge of the certification process after receiving required recommendations from the Team Leaders in charge of Airworthiness and Training Organization and Personnel Licensing.

The initial ATO certificate issuance will only be upto Private Pilot Licence (PPL) or Commercial Pilot Licence(CPL), Commercial Pilot Licence with Instrument Rating (CPL/IR). DGCA Sri Lanka will upgrade the Approved Training Organization scope by a request and / or the surveillance / capabilities of the ATO.

2.5 Responsibility of the Applicant with regard to the training of CAASL Inspectors and Examiners

The type of aircraft proposed, if not previously registered in Sri Lanka, may require the applicant to provide the CAASL staff with class/type specific training. The applicant will be responsible for the cost of training of at least a combination of two Flight Test Examiners/TOPL Inspectors and Airworthiness Inspectors who are attached to the CAASL. It should be noted that the class/ type endorsement training would involve at least minimum required flight time in the aircraft or simulator as may be determined by the DGCA. The inspector(s) must have completed their training either before any member of the operator commences their training or at the same time that the first crewmembers of the prospective operator receives their training.

2.6 Schedule of Events

This is a written statement to be provided by the applicant in a form as specified in *Appendix – B*, containing a list of items, documents, manuals, activities, aircraft, and/or facility acquisition or procurements of which the applicant must accomplish or make ready, including the dates on which they will be submitted to the CAASL for approval or will be ready for the CAASL inspection. The Schedule of Events shall be pre-coordinated with the Team Manager/ Director in charge of the certification process.

2.7 Statement of Compliance (Declaration of Conformance)

A Statement of compliance is a declaration by an applicant that the applicant is aware of and has a plan that is approved by CAASL to satisfy all pertinent regulatory matters and applicable safety standards promulgated by the DGCA. The statement is in the form of a detailed list of Regulations that will be applicable to the operations proposed. The applicant is required to provide a brief narrative, describing the intended method of compliance, which shall be achieved against each item of the regulatory requirements. The format of the compliance statement to be completed by an applicant is found in *Appendix - C.*

Where the ATO does not or cannot comply with the normal requirements and seeks a concession in lieu, the Compliance Statement should reflect that a particular concession has been sought. Under these conditions, approval of the Compliance Statement is contingent on approval of each requested concession.

It is imperative that an applicant after receiving the formal authorization for flying training through an ATO Certificate (privilege) and associated Operations Specification (scope), inform the DGCA of arrangements in place in order to conform to the regulatory requirements that would be published by the CAASL through subsequent Implementing Standards.

2.8 Certification Team

A certification team is a group of CAASL Inspectors appointed to carry out inspections and assessments required prior to certifying an applicant is suitable to hold an ATO Certificate. The size of the team will vary according to the size and complexity of the task(s) involved.

NOTE: The CAASL Inspectors will be using the relevant checklists to evaluate the applicant's arrangements for the proposed operations during the Document Evaluation Phase and Inspection prior to Certification Phase. These checklists are in Appendix - D.

During the certification process, the applicant who requests meeting with the inspectors for the clarifications, should do with prior appointment. The applicant and the inspector shall fill and sign the mandatory "Work Sheet"(*as shown in Appendix – E),*for each and every meeting held.

CHAPTER 3 - INITIAL ISSUE OF ATO CERTIFICATE

3.1 General

The issuance of the ATO Certificate is an outcome of several combined activities that should be performed throughout various stages of the process. In order to provide the applicant with an understanding of these activities a flow chart outlining all the activities are provided in Appendix F. An applicant is free to make contact with the CAASL without making a commitment to determine the feasibility of a proposal. Also an application will be required to formally notify the CAASL in writing when the applicant is reasonably certain of going ahead with the process of obtaining an ATO Certificate.

3.2 The Pre-Application phase

Before submitting the Letter of Intent, the applicant should carry out the following tasks and be satisfied with the outcome.

- Market Survey / analysis on intended flying training for the next three (3) years.
- Economic feasibility report covering above item on the operating cost (profit/loss) basis as against projected expenditure;
- Business Plan;
- Risk associated with the implementation of the Business Plan and mitigatory measures;
- Proposed method of financing the implementation of the business plan taking into account the obligations of the organization to ensure a safe, efficient and regular operation as per Air Navigation Regulation, SARPS and associated local requirements made by DGCA from time to time, in terms of Implementing Standards;
- Projected balance sheet after three (3) years.

The applicant shall be able to submit documentary proof on all above during the process of evaluation for the grant of ATO Certificate.

3.2.1 Pre- Application - Statement of Intent

The applicant will be asked to provide a Pre-Application “Statement of Intent” when the applicant is reasonably certain of proceeding to certification. This statement should be in the form of a letter and contain at least the following information:

- The type of operation;
- The class(es)/type(s) of aircraft and/or equipment;
- Aircraft owned or leased; (Note: details relating to leased aircraft operations is found in the Appendix – G.

- Type and duration of the lease agreement;
- The aircraft registration;
- The areas(s) of operation and route(s) proposed;
- Operational control mechanism planned;
- The nature of aircraft and / or simulator training and operational facilities;
- Location of administrative, maintenance and operational facilities;
- The planned company trading name; and
- The approximate date of commencement.

The CAASL will peruse the details provided by the applicant and will propose a date for a pre-application meeting.

3.2.2 Pre-Application Meeting

The purpose of this meeting is to ensure that the applicant has a clear understanding of the certification process. Therefore the following points will be discussed during this meeting:

- The qualifications and experience required for the nominated post holders;
- The specific requirements particular to the proposed operation;
- Applicable Civil Aviation Act No 14 of 2010 and other specific operating regulations;

It is essential that the applicant understands which regulatory requirements are relevant.

3.2.3 The certification process

The applicant must be aware of the division of responsibility between company personnel and the CAASL and also the applicant must be aware of the desirability of submitting required items as soon as they become available and advising the certification team of any problem or change in the operation as proposed.

The required form and content of the Formal Application and its attachments

The application and its attachments must be submitted at least 90 days before the date of intended revenue operation. Ninety (90) days will only provide adequate time to handle the application if all aspects are correct and complete at the time of submission. This does not mean that the CAASL will be able to complete the certification process within this time span. The completion of the certification process would not only depend on the completeness of the application, and the willingness of the applicant to satisfy the CAASL requirements but also the workload already undertaken by the CAASL inspectors under its annual work programme.

Therefore, it is advisable to submit the application as far in advance of the intended start date as possible. Furthermore it is imperative that the applicant understands that no revenue operations shall be permitted until the ATO Certificate is issued.

The fee which shall accompany the formal application will not be refunded and is based on the completion of all the work within 12 months of the formal application. If certification has not been completed within that period due to either a lapse or a delay on the part of the applicant, the application may be deemed to have expired. It is therefore very much in the applicant's interest to avoid delays.

The following are examples of situations that can result in delays of certification;

- Not meeting the schedule of events;
- Not providing lease agreements or other documentation as required by CAASL;
- Unreasonable timing in the schedule of event or failing to provide adequate buffers to cover possible delays;
- Submission of incomplete or unacceptable material or other required documents that must be returned for correction;
- Nomination of unacceptable personnel as Nominated Post Holders, lack / inadequacy of proficiency of crewmembers or maintenance personnel;
- Unsatisfactory standards as revealed by inspections and / or demonstrations,
- Untimely or unsatisfactory development of the maintenance programs and / or delays in obtaining a conformity inspection for the aircraft;
- Non availability of applicable manuals, records and other documents which are required to be completed / approved or accepted prior to certification. These should be drafted and completed prior to the submission of the formal application;
- There is a distinction between general advice from the CAASL (which is free), formal advice from the CAASL (for which a fee is charged) and specialist advice (which is available from consultants attached to CAASL);

Special additional requirements, where an applicant is introducing a type of aircraft that is not already in service in Sri Lanka. (See Appendix H).

3.3 The Formal Application Phase

3.3.1 General

The formal application phase commences when the applicant forwards the application with its accompanying documentation. The application should be signed by either the owner (when applying as an individual) or all members of the Board of Directors when applying as a company. It should be remembered that all activities associated with the certification have to be completed within twelve months from the date the fee is paid.

When the formal application is received, the CAASL will arrange a formal application meeting. This arrangement is practical as CAASL can make sure that all relevant documents have been submitted and are in order, before commencement of the meeting of on a pre-arranged date.

The formal application must be submitted at least ninety (90) days before date of intended revenue operations. A brief description, applicable attachments and a detailed check-list of items to be covered in the formal application are placed at Appendix - A.

Note: Approval of line Ministry is to be obtained after handing over of the Formal Application.

3.3.2 The Sequence of Events

This is a list of items, activities, aircraft, and/or facility acquisitions which must be accomplished or made ready, including the dates on which they will be ready for the CAASL to inspect. It is important that the schedule be realistic and contains sufficient flexibility to allow for unforeseen contingencies. A factor which must be considered when the schedule of events is forwarded is whether the CAASL has operations and airworthiness inspectors already trained on the proposed aircraft type and if not, how long will it take to train them.

3.3.3 Manuals and Documents to be produced with the formal application

The following documents and manuals (2 copies each) must accompany the application.

- Training Manual, Organization Manual & Operations Manual;
    1. Organization Management Manual
    2. Operations Manual
    3. Training Manual

  Note: Can incorporate above into a one Manual or submit separately.

- Schedule of Events;
- Declaration of Conformance / Compliance Statement;
- Course Materials;
- Simulator Technical Manual for Simulator Training / Type Rating Training Organization if applicable;
- Market Survey;
- Business Plan;
- Financial Statements for past three years;
- Board of Investment (BOI) Approval if applicable (mandatory if an involvement of foreign investment);
- Business Registration;
- Articles of Association

Detail on the contents of the various manuals is provided in the section related to the document evaluation phase. In addition the applicant is required to provide details of the planned organization, general policies, duties and responsibilities of personnel, channels of communication (hierarchy), airworthiness control policy, operational control policy and procedures. Such matters are usually provided in Training Manual, Organization Manual & Operations Manual.

3.3.4 Statement of Compliance

The compliance statement (Refer Appendix C) should be in the form of a detailed listing of specific operating regulations that will be applicable to the proposed operation with either a brief narrative description of compliance.

If the method of compliance has not been fully developed, a statement of intent should be provided indicating the intent to comply. At this stage of the certification process, the applicant is expected to have considered the proposal in detail and there should be a few areas, if any, in which precise compliance information is not available. The Documents that may be referred to in the compliance statement includes the Training Manual, Organization Manual & Operations Manual, the Aeroplane Flight Manual / POH, MMEL / MEL (if applicable) and the Simulator Operations Manual.

3.3.5 Qualifications of Nominated Post Holders

ATO shall have an Accountable Manager and key managerial personnel as per Implementing Standard 067, SLCAP 3090 and ICAO Doc 9841.

The application (Please refer appendix M for application) should be accompanied with Job description and resumes. It shall be sent along with formal application.

- Accountable Manager
- Head of Training
- Chief Flight Instructor
- Chief Theoretical Knowledge Instructor
- Safety Manager
- Compliance Monitoring Manager

After conducting the interviews at CAASL, approval letters shall be issued providing the appointment letters of the ATO is submitted to CAASL.

The guide to the qualifications expected of the nominated post holders and the application is given in the Appendix – I.

Change of post holder

The CAASL inspector will evaluate the candidature of the new post holder, based on the applicable requirements and the documents provided by the ATO. AM shall nominate the new post holder with the application (Please refer appendix M for application) with relevant documents.

CASE 1 : The candidate competences do not match the requirements and will not be accepted.
CASE 2 : Supplementary training is required to fulfil the requirements. The ATO will be notified.
CASE 3 : The candidate is accepted and then Invite for the Interview.

3.3.6 Third Party Providers (Outsourcing)

Outsourcing of personnel, facilities and equipment can pose some challenges in terms of the Compliance Monitoring of the processes of the ATO. Further guidance can be found in Chapter 8 of ICAO Doc. 9841.

3.3.7 Aircraft Facilities and Services

The class / type of aircraft intended to be used for the operation shall receive prior approval from the DGCA. The applicant shall follow the separate instructions issued by the CAASL in this regard. In this attachment, evidence should be provided that the aircraft, facilities and service will be available to conduct the proposed operations. The evidence should be in the form of;

- Proof of purchase; or
- Formal contracts; or
- Financial lease agreements.

The ATO should have at least three aircraft of same category and class, of which two should be of the same type. All aircraft should be of Sri Lankan registration. It shall be noted that the validity of the ATO Certificate would become null and void automatically in the event that the ATO does not have at least one serviceable Sri Lanka registered aircraft in its fleet. If the formal documents are not available at this stage, letters showing the having purchase/lease agreement will be satisfactory, until the formal documents are available. It will also be necessary to provide documents showing details of insurance for the aircraft, its occupants and third parties. The insurance scheme should be in compliance with the applicable convention(s) and / or local legislation.

In the case of a Simulator Training School (Type Rating Organization), the requirement of at least having one equipment in Sri Lankan registry is mandatory. The scope of operation will

be limited to that equipment. In the event simulator school is planning to outsource its training to another facility or intends using another facility oversees on dry lease to conduct training, certification process requires extreme caution & shall be exercised to ascertain CAASL's oversight capabilities. CAASL certification requirements of inspection on facilities shall be accommodated by the applicant in full, covering logistical commitments as well.

After the certification & issuance of ATO Certificate, conducting post certification inspections & annual planned safety oversight & surveillance inspections is mandatory.

3.4 The Document Evaluation Phase

3.4.1 General

During this phase, the Civil Aviation inspectors will inspect the documents provided in support of the formal application. The documents must specifically relate to the proposed operations.

3.4.2 Lease Agreements

Civil Aviation Authority of Sri Lanka does not recognize leasing agreements with operators, registered in certain Countries due to operational difficulties. Hence it is advised that the applicant inquires from CAASL prior to entering in to lease agreements with the Operators based or registered in such Countries. The CAASL's advice on such Countries will be based primarily on the Reports issued by the International Civil Aviation Organization (ICAO) under the Universal Safety Oversight Audit Programme (USOAP) and other safety related information gathered by the CAASL through Accident Investigation Reports. Any lease agreement entered into, must be evaluated by Civil Aviation Authority of Sri Lanka to make a determination as to who has "operational control" of the aircraft that are to be leased, in relation to ICAO Annex 1, Annex 6 and Annex 8. Lease agreements would be accepted only if the CAASL approves its contents and any amendments thereto must be effected only with the approval of Civil Aviation Authority of Sri Lanka. The provisions of the lease agreements which shall specify who will perform, what, when, where and how, are of interest to the CAASL in granting the approval.

3.4.3 Manuals & Manual Standards

All the Manual /Document prepared by an applicant for the approval of the CAASL or to satisfy its regulatory requirements shall contain the following in order to ensure effective production, amendment, distribution and/or uniform use of, or compliance with information relating to the company requirements.

Reference Number used to identify the Document:
This number shall be printed on top right hand corner of the cover page and on each page of the Manual / Document for the purpose of identification.

Trade Mark / logo of the applicant:
This shall be printed on the cover page and top left-hand corner on each page of the Manual / Document.

Title of the Manual / Document:
This shall be printed on the cover page and the immediate inner page after the cover page.

Edition Number & Year of edition:
This shall be printed on the cover page and the immediate inner page after the cover page.

Record of Revision:
This shall contain three running columns to indicate the Revision Number, date entered and name of the person making the revision. A single page can have two such tables.

History of Revision:
Manual / Document, if amended after the initial issue, shall contain a History of revision which outlines the reasons for revision. It shall contain a table of four (4) columns indicating the revision number, source for revision, major areas revised and the effective date.

List of effective pages:
This shall contain two running columns to indicate the Page Number and last date of revision or effective date. A single page can have three such tables.

Preamble/Foreward:
This shall at least contain information relating to the purpose of the Manual in brief, the level of compliance expected from the user, mode and manner used to update the document, the person responsible for update/amendment. The preamble of a Manual / Document shall be signed by the Accountable Manager and counter signed by an authorized CAASL personnel.

Table of Contents:
The table of contents shall be expanded to cover at least two sublevels with page numbers placed on section basis.

Abbreviations:
All abbreviation and acronyms used in the Manual / Document should be clearly explained in full;

Definitions:
All words, which have or require specific meaning in relation to the place of use, shall be defined clearly in order to avoid ambiguities. Also in all Manual / Document, the following words shall have the meanings as given below.

a) The words 'must' or 'shall' indicate that compliance is compulsory.
b) The word 'should' indicates a recommendation.
c) The word 'may' indicates an option.
d) The word 'will' is used to express the future.

Separation of sections/chapters:
Manual /Document should be divided into chapters or sections based on topics being dealt with in view of the necessity of future updating requirements. Each new chapter or section shall start with a new page and such sections/chapters shall be identified with distinctive separators.

Header:
There shall be a header for each page of a Manual / Document and it shall contain the Trade mark/logo and name of the organization. The font size of the header shall be 10.

Trade mark/logo	Name of the Approved Training Organization

Footer:
There shall be a footer for each page which shall contain the revision number, date of revision, Document name, Section, Chapter and Page. The font size of the footer shall be 10.

Name of the Manual	Chapter & Page No	Edition No
Name of the Section	Rev. No.	Date

Index:
It is required that the Manual / Document shall include an index for important terms for ease of reference.

Master Distribution Record:
There shall be a Master Distribution Record in relation to the production and distribution of the Manual/Document and its subsequent amendments. The Master copy which shall contain control number zero cero (00) shall be retained in the Section which produces the Manual / Document.

Binding:
All Manual / Document which contain information/instructions which are subject to periodic change shall be compiled in a loose binder (ring binders) and All Manuals / Documents shall be printed on papers of A4 – size, unless otherwise decided by the DGCA specifically.

Fonts:

The fonts used for the body text of the Manual / Document shall be “Calibri (body)” and size of fonts shall be 12, unless a variation is required due to unavoidable reasons.

Appendixes:

If a subject matter to be addressed under a particular chapter or item requires a large volume of space and if the information itself is somewhat in detail or takes a different nature, it is advisable to place them in Appendixes, without prejudice to the generality of the text of the Manual / Document.

Page Number:

The pages of a Manual / Document shall be numbered using the inbuilt facility of the software package. It is advisable to have page numbers along with the applicable Chapter numbers. Page numbers up to and including the Table of Content shall be in Roman numerals. Pages of the Index shall be numbered using English alphabet.

Margin requirements:

When printing the text, the Manual / Document shall have the following margins on A-4 papers

Top : point zero five (0.5”) inch
Bottom : point zero five (0.5”) inch
Left: one and quarter (1.25”) inches
Right : point zero three (0.3”) inches
Header : point zero five (0.5”) inches
Footer : point zero two (.02”) inches.

All Manuals / documents submitted by the applicant to the CAASL shall be in duplicate so that one copy will be returned with the appropriate attestation, on approval. The relevant page or pages of the original document which carries the CAASL attestation shall be submitted, whenever an amendment is forwarded to the CAASL for approval.

All Manuals / documents which contain information/instructions which are subject to change shall be compiled in a loose binder (ring binders) and any manual /document to be used in the flight deck shall be printed on papers of A5 size.

3.4.4 Training Manual, Organization Manual and Operations Manual

The Training Manual, Organization Manual and Operations Manual shall contain information/instructions relating to the topics listed in the Implementing Standard 67, Implementing Standard 72 and appendix J of this manual. The applicant may divide the manual to a single or more volumes depending on the size and/or nature of information/instructions which are required to be presented. It is essential that the manual meets the requirements of Civil Aviation Act No. 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other specific operating

regulations, Annex 1 “Personnel Licensing” to the Convention on International Civil Aviation, Implementing Standard 67 and SLCAP 3090. The DGCA may require the applicant to include any additional or particular information in the Training Manual, Organization Manual and Operations Manual, as deemed necessary.

There are two ways of presenting information in the Training Manual, Organization Manual and Operations Manual. One way is to place the information directly in to the text of the Training Manual, Organization Manual and Operations Manual or alternatively to incorporate by reference. This means that the portion so “incorporated by reference” could be issued in a separate volume with an appropriate subtitle with a “reference” to the Training Manual, Organization Manual and Operations Manual identifying its relation or contribution to the main Training and Operations Manual. Then in the table of contents of the Training Manual, Organization Manual and Operations Manual there would be an entry in the appropriate place (between volume 7 and 9 in this example) for the listing of what volume 8 consisted of. Furthermore for the Contents of the Training Manual, Organization Manual and Operations Manual (Appendix J).

3.4.5 Airplane Flight Manual (AFM) / Pilot’s Operating Handbook (POH) / Simulator Operations Manual

The Aircraft Flight Manual / Pilot’s Operating Handbook is a document that is approved by the respective Civil Aviation Authority of the State of the manufacturer. There is usually no requirement for this manual to be approved by the CAASL unless there have been substantial modifications to the aircraft by other than means approved by the State of the manufacturer. The manual shall be in English or if it’s a translation it shall be signed by the State of the manufacturer as a true translation. The AFM / POH should contain information and instructions relating to the following;

- The identification of the aircraft
- The operating procedures and limitations of the aircraft
- Normal and Emergency Operating Procedures
- The performances and loading of the aircraft.
- Simulator Approval

Civil Aviation Authority of Sri Lanka requires all applicants to pay attention when requesting authorization of Flight simulators for their training organizations. The certification process of Flight simulators is guided by ICAO publications documents and Implementing Standard 67.

3.4.6 Training Programmes

The training programmes shall form as a part of the Training Manual, Organization Manual and Operations Manual. Yet may or may not be in the same binder.

The training programme is subject to DGCA approval and must address all aspects of training pertaining to students, instructors, operational personnel and any other personnel involved in aircraft operations. The applicants are advised to liaise with the Training Organization and Personnel Licensing (TOPL) Section of the CAASL in developing the required training programmes. The ATO may include additional materials for guidance and information for ATO personnel over and above the information required by the DGCA.

3.4.7 Course Syllabus / Student Course Material / Training Curriculum

The Training Manual, Organization Manual and Operations Manual must contain information on the course syllabus applicable for a licence, Student Course Material and Training Curriculum. An ATO shall not use a training programme that has already approved for the use of another ATO until such time that the course is evaluated and approved by the DGCA.

All instructors, simulators and simulator facilities, pertaining to aircraft flight operations, shall have prior approval of the DGCA.

The ATO's arrangements for checking of the competence of the flight instructors/ theoretical knowledge instructors shall be in conformity with the procedures specified in the Implementing Standard 67 issued by the DGCA.

It is essential that the ATO shall organize not only initial training for its operational staff but also recurrent training programmes at regular intervals, as advised by the DGCA.

3.4.8 Accident Prevention Programme

An operator shall develop an Accident Prevention and Safety Management System (SMS) to ensure that all reasonable measures have been taken in order to identify possible risks inherent in the system and human errors that may adversely affect flight safety and to mitigate such risks and errors. The guidance material is in addition to mandatory requirements published in terms of applicable regulation for the formulation of Safety Management System.

3.4.9 Threat and Error Management

An operator shall develop threat and error management to ensure that all reasonable measures have been taken in order to identify possible risks inherent in the system and human errors that may adversely affect flight safety and to mitigate such risks and errors.

This process of detecting and responding to the threats with countermeasures that reduce or eliminate the consequences of threats, and mitigate the probability of errors or undesired states is mandatory. Further details are specified in Attachment C to Chapter 3 of the Procedures of Air Navigation Services – Training (PANS – TRG, Doc 9868) and Circular 314

Threat and Error Management (TEM) in Air Traffic Control (in preparation) for a description of undesired states.

3.4.10 Upset Prevention and Recovery Training (UPRT)

An operator shall conduct Upset Prevention and Recovery Training for required pilots as per Implementing Standard 67 and Implementing Standard 72.

Procedures for upset prevention and recovery training are contained in the procedures for Air Navigation Services - Training (PANS TRG,Doc 9868). Guidance on upset prevention and recovery training is contained in the Manual on Aeroplane Upset Prevention and Recovery Training (Doc 10011).

The Manual of Criteria for the Qualification of Flight Simulation Training Devices (Doc 9625) provides guidance on the approval of flight simulation training devices for upset prevention and recovery training.

The aeroplane upset prevention and recovery training may be integrated in the type rating programme or be conducted immediately after, as an additional module.

Procedures for crew incapacitation and crew coordination including allocation of pilot tasks; crew cooperation and use of checklists are also mandatory.

3.4.11 Compliance Monitoring System / Compliance Monitoring Programme

The ATO shall establish a compliance monitoring system, acceptable to DGCA Sri Lanka for approval, which ensures that training and instructional practices comply with all relevant requirements. Further requirements have been published in Implementing Standard 67 and Chapter 04 of ICAO Doc 9841.

3.4.12 Safety Management System (SMS) of Approved Training Organisations

The issuance of an approval for a training organization and the continued validity of the approval will depend upon the training organization being in compliance with the requirements specified in Implementing Standard 67, CAASL State Safety Programme, Regulations on Civil Aviation Safety Management and the relevant provisions contained in Annex 19.

Annex 19 includes safety management provisions for an ATO that is exposed to safety risks related to aircraft operations during the provision of its services. Further guidance is contained in the Safety Management Manual (SMM) (Doc 9859).
Guidance on approval of a training organization can be found in the Manual on the Approval of Training Organizations (Doc 9841).

3.4.13 Competency Based Training

Competency based training requirements have been specified in ICAO Doc 9841.

3.4.14 Synthetic Training Devices

Synthetic Training Devices should be approved by DGCA. Further guidance can be found in Implementing Standard 10. Qualification of synthetic training devices shall be in accordance with State's regulations (Doc 9625), ICAO Doc. 9841 and Implementing Standard 67.

3.4.15 Monthly Statistical Returns

Each operator holding an ATO Certificate issued by the DGCA shall implement a programme to ensure monthly statistical returns are furnished to the CAASL on or before the 10th of the next month. (Refer Appendix N).

3.5 The Pre-Certification Inspection Phase

Detailed requirements for facilities, staff, equipment and procedures are set out in Civil Aviation Act No 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018, Implementing Standard 67, Implementing Standard 72 and this manual. The purpose of the pre-certification inspection is to ensure that the requirements have been met to a satisfactory level as explained in the written procedures of the applicant. The CAASL must be satisfied that qualified and trained personnel are employed in sufficient numbers related to the courses willing to conduct as per IS 72. Amongst other requirements, adequate facilities and equipment must be provided to allow staff to carry out their duties related to the conduct of operations in compliance with regulations and specifications or instructions contained in the ATO manuals.

Some of the work involved in the conduct of operations may be contracted out. Such work may vary from non-operational aspects such as using an outside accounting firm or contract catering to essential items such as aircraft maintenance at various levels, training of staff, or even to the extent of leasing aircraft. Operational items or services of any nature that are provided under contract will normally require inspection and approval by the DGCA. The sub-contracting of services can be accomplished only from another organization(s) acceptable to the DGCA.

When an ATO decides to outsource performance of a certain task to an outside organization, such contracts shall be accomplished only through a properly drawn up MOU which is approved by the CAASL, prior to implementation. Quality of such services has to be monitored by the principle organization and the responsibility and the accountability of such service outsourced shall be with the Accountable Manager.

3.6 Certification phase

3.6.1 Final version of the Operation Specifications (Scope)

The certification team will assess the Operations specifications (scope) and review the Compliance Statement to ensure all requirements have been met satisfactorily for the grant of ATO Certificate (privilege) with Operations Specifications (scope).

3.6.2 Issue of ATO Certificate (Privilege)

When the Certification team of the CAASL is satisfied that all requirements have been met, they will prepare a certification report for the perusal of the Director General of Civil Aviation.

DGCA, if satisfied, that the certification process has been conducted according to the required standards, may approve the issuance of the ATO Certificate (privilege) along with required Operations Specifications (scope), certifying the competency of the applicant.

An operator shall hold a valid ATO Certificate, to engage in flying training.

3.7 Revalidation of ATO Certificate

An applicant who is a holder of an ATO Certificate shall comply with the requirements of this chapter for the revalidation of the ATO Certificate. The applicant must apply for revalidation to the Civil Aviation Authority of Sri Lanka, at least 30 days prior to the date of expiry. The requirements for revalidation of the Certificate shall be the same as for the initial issue.

A request for revalidation of ATO Certificate shall be forwarded to the DGCA in the prescribed form, together with the applicable fees. (Refer appendix L for the revalidation application).

3.7.1 Inspection for Revalidation of ATO Certificate

The purpose of this inspection is to ensure that the applicant has maintained the initial conditions of certifications and is in a position to continue maintaining the applicable certification standards.

It will be necessary for the Civil Aviation Authority of Sri Lanka team to look in to any or all aspects of the training to ensure that the ATO has continued to maintain the standards that were required for initial certification. In particular the safety surveillance records, (training records of students and instructors), regularity audits and incidents / accidents reports etc.

If any aircraft not utilized to conduct flying training during the past year, aircraft shall be removed from the scope.

3.8 Renewal of ATO Certificate

If an ATO Certificate has expired, shall follow the same as for the initial issue.

3.9 Amendment to the ATO Certificate

An applicant who is a holder of an ATO Certificate shall comply with the requirements below, for amendment to the ATO Certificate. The applicant must apply for the amendment, to the CAASL, at least 30 days prior to the proposed change/s.

3.9.1 Amendment of training programme/s in the ATO Certificate

Request for amendment to the training programme/s of the scope shall be forwarded to the DGCA in the prescribed form together with the applicable fees. (Refer appendix O for the Certificate amendment application).

3.9.2 Add aircraft / FSTD to the ATO Certificate

Request of aircraft to add to the scope shall be forwarded to the DGCA in the prescribed form together with the applicable fees. (Refer appendix O for the Certificate amendment application).

CHAPTER 4 COURSE ADMINISTRATION

4.1 Student Enrollment

When a student is enrolled for an approved course of training, the student shall be furnished with the following information and material;

- A certificate of enrolment containing the course name in which the student is enrolled and the date of enrolment. Copy shall be forward to DGCA Sri Lanka with next monthly returns.
- A copy of the approved training syllabus.
- A copy of the safety procedures and practices developed by the school; for example, licensing procedures, fire drill instructions, procedures for the use of training aids, off limits areas, handling of aircraft, parking instructions, and other safety instructions deemed necessary by the school.
- A copy of the Organizations' refunding policy of fees obtained.

The maximum aircraft to student ration shall not exceed 1:15.

4.2 Student Evaluation

All ATOs shall provide appropriate written evaluations in every subject to students to complete that particular subject in the approved curriculum.

Written evaluation shall cover the necessary items in the curriculum so that the student will be able to pass the required DGCA examination for the Licence and/or Rating he/she seeks.

4.3 Validity of Flying Training and Theoretical Knowledge Training

4.3.1 Validity of Flying Training

No person other than an approved and licensed Flight Instructor, who has the Ratings and the minimum qualifications specified in the approved training course outline, may give a student flying instructions under an approved course of training.

Student pilots may not commence solo practice flight from an aerodrome unless authorized by licensed Flight Instructor physically present at the ATO.

Each Instructor assigned to a training course shall complete, at least once every 12 calendar months, an approved Flight Instructor refresher course and shall pass a standardization test.

4.3.2 Validity of Theoretical Knowledge Training

Each instructor who is assigned to conduct a theoretical knowledge training course shall hold a Flight Instructor licence or an authorization from CAASL, with the appropriate Rating for that course of training.

A Knowledge Instructor of an ATO shall pass a standardization test given by the ATO before exercising the privilege.

A person who does not meet the above requirements may be assigned theoretical training duties, if;

- The Chief theoretical knowledge Instructor assigned to that, finds the person suitable; and
- Training is carried out under the supervision of the CTKI, who is present at the facility.

4.4 Graduation Certificate

Each graduate of an ATO is entitled to a graduation certificate in a form prescribed by the school. Such a graduation certificate shall be issued to each student who successfully completes an approved course of training. Each graduation certificate shall contain at least the following information.

- The name of the school including the ATO certificate number
- The name of the graduate to whom the certificate is issued.
- The course of training for which it is issued.
- The date of graduation.
- A statement that the student has satisfactorily completed each required stage of the approved course of training including the tests for those stages.
- A certification of the information contained in the certificate by the Head of Training or Chief Flight Instructor and Chief Theoretical Knowledge Instructor for that course of training.

ATO shall send a student's graduation examination results, which has to be signed by HoT or CTKI to the DGCA before appearing for the Licensing/Rating examination conducted by DGCA.

4.5 Pre Solo Examination

ATOs shall conduct a pre-solo examination prior to sending student on First "Solo Flight"

ATOs shall make a copy of pre-solo test/examination in the student's training record.

4.6 Change of Approved Training Organization

If an applicant wants to change from the already enrolled ATO to another, a request shall be forwarded to CAASL, with the relevant payment to obtain a “no objection” letter.

CHAPTER 5 OVERSIGHT

5.1 The holder of ATO certificate;

- Shall ensure that all flying and theoretical knowledge training are carried out according to the Training, Organization & Operation Manual approved by DGCA.
- Shall ensure that each student pilot is medically and physically fit before sending them on solo flight each day.
- Shall ensure that each student pilot is proficient in the English Language and Radio telephony is able to converse in that language fluently.
- Shall provide each student pilot with ab-initio flight/ theoretical knowledge instruction by engaging qualified flying instructors/ theoretical knowledge instructors, approved by DGCA.
- Shall comply with AIC, Implementing Standards, NOTAMs, issued by DGCA, as applicable.
- Shall comply with other written and / or oral instructions and directions that may be issued from time to time by the Director General or his authorized officers with regard to safety, security, regularity or efficiency of flights.
- Shall maintain individual records in respect of trainees and furnish regular monthly returns with flying rosters to DGCA.
- Shall allow the examiners appointed by Director General of Civil Aviation to access aircraft of the school to conduct practical examinations.
- Shall inform the DGCA (TOPL) promptly, if any of the training aircraft are grounded for scheduled or nonscheduled maintenance for more than three days.
- Notify the DGCA forthwith any service deficiency of an aircraft, deviation from procedure or any aircraft occurrence including accidents.
- Ensure that aircraft, trainees or instructors do not engage in activities that would pose a threat to national security, to members of public or to people on ground.

5.2 Oversight

(a) General

(1) compliance with the requirements applicable to organizations or persons prior to the issue of an organization certificate, approval, FSTD qualification certificate or personnel licence, certificate, rating, , as applicable;

(2) Continued compliance with the requirements applicable to the persons holding licences, ratings and certificates, the organizations it has certified, the holders of a FSTD qualification

(3) Implementation of appropriate safety measures mandated by the CAASL

(b) This verification:
   (1) is supported by documentation specifically intended to provide personnel responsible for safety oversight with guidance to perform their functions;
   (2) provide the persons and organizations concerned with the results of safety oversight activity;
   (3) be based on audits and inspections, including ramp and unannounced inspections.

(c) The scope of oversight defined in (a) and (b) above are take into account the results of past oversight activities and the safety priorities.

(d) Where the activity of a person or organization involves more than one State, the CAASL responsible for the oversight under (a) may agree to have oversight tasks performed by the authority (ies) of the (Relevant) State(s) where the activity takes place. Any person or organization subject to such agreement are informed of its existence and of its scope.

(e) The CAASL collects and processes any information deemed useful for oversight, including for ramp and unannounced inspections.

5.2.1 Evaluation of Approved Training Organizations' operational safety risk assessment

As part of the initial certification or the continuing oversight of an ATO, the CAASL normally evaluates its safety risk assessment processes related to hazards identified by the ATO as having an interface with its operations. These safety risk assessments should be identifiable processes of the ATO's management system. As part of its continuing oversight, the CAASL also remains satisfied as to the effectiveness of these safety risk assessments.

General methodology for operational hazards

The CAASL evaluating the safety risk assessment processes of the ATO's management system. When related to operational hazards, the CAASL's evaluation under its normal oversight process should be considered satisfactory if the ATO demonstrates its competence and capability to:

   (1) understand the hazards identified and their consequences on its operations;
   (2) be clear on where these hazards may exceed acceptable safety risk limits;
   (3) identify and implement mitigations including suspension of operations where mitigation cannot reduce the risk to within safety risk limits;
   (4) develop and execute effectively, robust procedures for the preparation and the safe operation of the flights subject to the hazards identified;
   (5) assess the competence and currency of its staff in relation to the duties for the intended operations and implement any necessary training; and
   (6) ensure sufficient numbers of qualified and competent staff for such duties.

The CAASL take into account:

(1) the ATO's recorded mitigations for each unacceptable risk identified are in place;
(2) the operational procedures specified by the ATO with the most significance to safety appear to be robust; and
(3) that the staff on which the ATO depends in respect of those duties necessary for the intended operations are trained and assessed as competent in the relevant procedures.

5.2.2 Oversight Programme

(a) The CAASL establishes and maintains an oversight program covering the oversight activities.

(b) For organizations certified by the CAASL and FSTD qualification certificate holders, the oversight program are developed taking into account the specific nature of the Organisation, the complexity of its activities, the results of past certification and/or oversight activities and are based on the assessment of associated risks. It includes within each oversight planning cycle:

(1) audits and inspections, including ramp and unannounced inspections as appropriate; and

(2) meetings convened between the accountable manager and the CAASL to ensure both remain informed of significant issues.

(c) For organizations certified by the CAASL and FSTD qualification certificate holders an oversight planning cycle not exceeding 12 months is applied. The oversight planning cycle may be reduced if there is evidence that the safety performance of the organization or the FSTD qualification certificate holder has decreased.

(d) For persons holding a licence, certificate, or rating, issued by the CAASL the oversight programme includes inspections, including unannounced inspections, as appropriate.

(e) The oversight programme includes records of the dates when audits, inspections and meetings are due and when such audits, inspections and meetings have been carried out.

(f) Notwithstanding points (b), and (c), the oversight programme of ATOs is developed taking into account the specific nature of the organization, the complexity of its activities and the results of past oversight activities and shall be based on the assessment of risks associated with the type of training provided. The oversight activities include inspections, including unannounced inspections, and may, as deemed necessary by the CAASL, include audits.

5.2.2.1 Specific Nature and Complexity of The Organisation, Results of Past Oversight

(a) When determining the oversight programme for an organization the CAASL should consider in particular the following elements, as applicable:

(1) the implementation by the organization of industry standards, directly relevant to the organization's activity subject to the applicable Regulation;

(2) the procedure applied for and scope of changes not requiring prior approval;

(3) specific approvals held by the organization;

(4) specific procedures implemented by the organization related to any alternative means of compliance used.

(b) For the purpose of assessing the complexity of an organization's management system, IS 067 should be used.

(c) Regarding results of past oversight, the CAASL also takes into account relevant results of ramp inspections of organizations it has certified that were performed.

5.2.2.2 Audit

(a) The oversight programme should indicate which aspects of the approval will be covered with each audit. At the beginning an initial meeting shall be conducted to inform the purpose of the audit.

(b) Part of an audit should concentrate on the organization's compliance monitoring reports produced by the compliance monitoring personnel to determine if the organization is identifying and correcting its problems.

(c) At the conclusion of the audit, an exit meeting shall be conducted and subsequently an audit report should be completed by the auditing inspector, including all findings raised.

5.2.2.3 Industry Standards

(a) For organizations having demonstrated compliance with industry standards, the CAASL may adapt its oversight programme, in order to avoid duplication of specific audit items.

(b) Demonstrated compliance with industry standards should not be considered in isolation from the other elements to be considered for the CAASL's risk-based oversight.

(c) In order to be able to credit any audits performed as part of certification in accordance with industry standards, the following should be considered:

(1) the demonstration of compliance is based on certification auditing schemes providing for independent and systematic verification;

(2) the existence of an accreditation scheme and accreditation body for certification in accordance with the industry standards has been verified;

(3) certification audits are relevant to the requirements defined in IS 067 and other applicable Regulations;

(4) the scope of such certification audits can easily be mapped against the scope of oversight in accordance with IS 067;

(5) audit results are accessible to the CAASL and open to exchange of information in accordance with Civil Aviation Act No: 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other operating regulations;

(6) the audit planning intervals of certification audits, in accordance with industry standards are compatible with the oversight planning cycle.

5.2.2.4 Oversight Planning Cycle

(a) When determining the oversight planning cycle and defining the oversight programme, the CAASL assesses the risks related to the activity of each organization and adapt the oversight to the level of risk identified and to the organization's ability to effectively manage safety risks.

(b) The CAASL establish a schedule of audits and inspections appropriate to each organization. The planning of audits and inspections should take into account the results of the hazard identification and risk assessment conducted and maintained by the organisation as part of the organisation's management system. Inspectors should work in accordance with the schedule provided to them.

(c) When the DGCA Sri Lanka, having regard to an organisation's safety performance, varies the frequency of an audit or inspection it should ensure that all aspects of the organisation's activity are audited and inspected within the applicable oversight planning cycle.

(d) The section(s) of the oversight programme dealing with ramp inspections should be developed based on geographical locations, taking into account aerodrome activity, and focusing on key issues that can be inspected in the time available without unnecessarily delaying the operations.

(e) For each organisation certified by the DGCA Sri Lanka and each FSTD qualification certificate holder all processes are completely audited at periods not exceeding the

applicable oversight planning cycle. The beginning of the first oversight planning cycle is normally determined by the date of issue of the first certificate. If the DGCA Sri Lanka wishes to align the oversight planning cycle with the calendar year, it should shorten the first oversight planning cycle accordingly.

(f) The interval between two audits for a particular process should not exceed the interval of the applicable oversight planning cycle.

(g) Audits include at least one on-site audit within each oversight planning cycle. For organisations exercising their regular activity at more than one site, the determination of the sites to be audited should be considered by the results of past oversight inspections, the volume of activity at each site, as well as main risk areas identified.

(h) For organisations holding more than one certificate, the CAASL may define an integrated oversight schedule to include all applicable audit items. In order to avoid duplication of audits, credit may be granted for specific audit items already completed during the current oversight planning cycle, subject to four conditions:

(1) the specific audit item should be the same for all certificates under consideration;

(2) there should be satisfactory evidence on record that such specific audit items were carried out and that all corrective actions have been implemented to the satisfaction of the DGCA Sri Lanka;

(3) the DGCA Sri Lanka satisfies that there is no reason to believe that standards have deteriorated in respect of those specific audit items being granted credit;

(4) the interval between two audits for the specific item being granted credit should not exceed the applicable oversight planning cycle.

5.2.2.5 Persons Holding A Licence, Certificate, Rating

The oversight of persons holding a licence, certificate, and rating should normally be ensured as part of the oversight of organisations. Additionally, the DGCA Sri Lanka verifies compliance with applicable requirements when endorsing or renewing ratings.

To properly discharge its oversight responsibilities, the CAASL performs a certain number of unannounced verifications.

5.2.3 Changes – Organizations

(a) Upon receiving an application for a change that requires prior approval, CAASL verifies the organisation's compliance with the applicable requirements before issuing the approval. The CAASL prescribes the conditions under which the organisation may operate during the change, unless the CAASL determines that the organisation's certificate needs to be

suspended. When satisfied that the organisation is in compliance with the applicable requirements, the CAASL approves the change.

(b) Without prejudice to any additional enforcement measures, when the organisation implements changes requiring prior approval without having received CAASL approval as defined in (a), the CAASL shall suspend, limit or revoke the organisation's certificate.

(c) For changes not requiring prior approval, the CAASL assesses the information provided in the notification sent by the organisation in accordance with IS 067 to verify compliance with the applicable requirements. In case of any non-compliance, the CAASL;

(1) Notifies the organisation about the non-compliance and request further changes; and

(2) in case of level 1 or level 2 findings, acts in accordance with 5.2.4.

5.2.3.1 General

(a) Changes to nominated personnel:

The CAASL should be informed of any changes to personnel specified in IS 067 that may affect the certificate or terms of approval schedule attached to it. When an organisation submits the name of a new nominee for any of the persons nominated as per IS 067, the CAASL requires the organization to produce a written résumé of the proposed person's qualifications. The CAASL reserves the right to interview the nominee or call for additional evidence of his/her suitability before deciding upon his/her acceptability.

(b) A simple management system documentation status sheet should be maintained, which contains information on when an amendment was received by the CAASL and when it was approved.

(c) The organization should provide each management system documentation amendment to the CAASL, including for the amendments that do not require prior approval by the CAASL. Where the amendment requires CAASL approval, the CAASL, when satisfied, should indicate its approval in writing. Where the amendment does not require prior approval, the CAASL should acknowledge receipt in writing within 10 working days.

(d) For changes requiring prior approval, in order to verify the organisation's compliance with the applicable requirements, the CAASL should conduct an audit of the organisation, limited to the extent of the changes. If required for verification, the audit should include interviews and inspections carried out at the organisation's facilities.

5.2.3.2 Change of Name of The Organisation

(a) On receipt of the application and the relevant parts of the organisation's documentation as required by IS 67, the CAASL re-issues the certificate.

(b) A name change alone does not require the CAASL to audit the organisation, unless there is evidence that other aspects of the organisation have changed.

5.2.4 Findings and Corrective Actions – Organizations

(a) The CAASL for oversight in accordance with 5.2 (a) have a system to analyze findings for their safety significance.

(b) A level 1 finding is issued by the CAASL when any significant non-compliance is detected with the applicable requirements of Civil Aviation Act No: 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other operating regulations and its Implementing Standards, with the organization's procedures and manuals or with the terms of an approval or certificate which lowers safety or shows serious hazards to flight safety.

The level 1 findings include:

(1) failure to give the CAASL access to the organisation's facilities as defined in IS 067 during normal operating hours and after two written requests;

(2) obtaining or maintaining the validity of the organisation certificate by falsification of submitted documentary evidence;

(3) evidence of malpractice or fraudulent use of the organisation certificate; and

(4) the lack of an accountable manager.

(c) A level 2 finding are issued by the CAASL when any non-compliance is detected with the applicable requirements of Civil Aviation Act No: 14 of 2010 and other operating regulations and its Implementing Standards, with the organisation's procedures and manuals or with the terms of an approval or certificate which could lower safety or shows serious hazards to flight safety.

(d) When a finding is detected during oversight or by any other means, the CAASL , without prejudice to any additional action required by Civil Aviation Act No: 14 of 2010 and other operating regulations and its Implementing Standards, communicates the finding to the organisation in writing and request corrective action to address the non-compliance(s) identified. Where relevant, the CAASL informs the State in which the aircraft is registered.

(1) In the case of level 1 findings the CAASL takes immediate and appropriate action to prohibit or limit activities and, if appropriate, it takes action to revoke the certificate or specific approval or to limit or suspend it in whole or in part, depending upon the extent of the level 1 finding, until successful corrective action has been taken by the organisation.

(2) In the case of level 2 findings, the CAASL:

(i) Grants the organization a corrective action implementation period appropriate to the nature of the finding that in any case initially shall not be more than 3 months. At the end of this period, and subject to the nature of the finding, the CAASL may extend the 3-month period subject to a satisfactory corrective action plan agreed by the DGCA Sri Lanka; and

(ii) Assesses the corrective action and implementation plan proposed by the organization and, if the assessment concludes that they are sufficient to address the non-compliance(s), accept these.

(3) Where an organization fails to submit an acceptable corrective action plan, or to perform the corrective action within the time period accepted or extended by the CAASL, the finding shall be raised to a level 1 finding and action taken as laid down in (d)(1).

(4) The CAASL records all findings it has raised or that have been communicated to it and, where applicable, the enforcement measures it has applied, as well as all corrective actions and date of action closure for findings.

5.2.5 Findings and Enforcement Measures – Persons

(a) If, during oversight or by any other means, evidence is found by the CAASL responsible for oversight in accordance with 5.2 (a) that shows a non-compliance with the applicable requirements by a person holding a licence, certificate, or rating issued in accordance with Civil Aviation Act No: 14 of 2010 and other operating regulations and its Implementing Standards, the CAASL will raise a finding, record it and communicate it in writing to the licence, certificate, or rating holder.

(b) When such finding is raised, the CAASL carries out an investigation. If the finding is confirmed, it shall:

(1) limit, suspend or revoke the licence, certificate, or rating as applicable, when a safety issue has been identified; and

(2) take any further enforcement measures necessary to prevent the continuation of the non-compliance.

(c) Where applicable, the CAASL informs the person or organisation that issued the medical certificate or attestation.

(d) Without prejudice to any additional enforcement measures, when the CAASL acts under the provisions of 5.2 (d) finds evidence showing a non-compliance with the applicable requirements by a person holding a licence, certificate, and rating issued by the authority of any other State, it shall inform that authority.

(e) If, during oversight or by any other means, evidence is found showing a non-compliance with the applicable requirements by a person subject to the requirements laid down in Civil Aviation Act No: 14 of 2010 and other operating regulations and its Implementing Rules and not holding a licence, certificate, or rating issued in accordance with that Regulation and its Implementing Standards, the CAASL that identified the non-compliance takes any enforcement measures necessary to prevent the continuation of that non-compliance.

5.2.5.1 Enforcement Measures in Case of Non-Compliance with IS 072

If the holder of a licence, rating, or certificate does not or no longer complies with the applicable requirements, the CAASL, when acting in accordance with point 5.2 (b), takes enforcement measures which should be commensurate with the nature of the non-compliance. For example, if the training required for the issuing of the pilot licence was not fully completed as required, the CAASL may decide, subject to the amount and nature of the missing training elements, to suspend the licence in accordance with point 5.2.5.2 until the missing training elements and a new skill test have been completed rather than revoking the licence.

5.2.5.2 Limitation, Suspension or Revocation of Licenses, Ratings, or Certificates

(a) The CAASL shall limit, suspend or revoke as applicable a pilot licence and associated ratings or certificates in accordance with 5.2.5 in, but not limited to, the following circumstances:

(1) Obtaining the pilot licence, rating or certificate by falsification of submitted documentary evidence;

(2) Falsification of the logbook and licence or certificate records;

(3) the licence holder no longer complies with the applicable requirements of IS 072;

(4) exercising the privileges of a licence, rating or certificate when adversely affected by alcohol or drugs;

(5) non-compliance with the applicable operational requirements;

(6) evidence of malpractice or fraudulent use of the certificate; or

(7) unacceptable performance in any phase of the flight examiner's duties or responsibilities.

(b) The CAASL also limits, suspends or revokes a licence, rating or certificate upon the written request of the licence or certificate holder.

(c) All skill tests, proficiency checks or assessments of competence conducted during suspension or after the revocation of an examiner's certificate will be invalid.

(d) Any other circumstances as prescribed in CAA Act no 14 of 2010 and SLCAP 3010.

5.2.5.3 Enforcement Measures in Case of Non-Compliance with IS 067

Enforcement actions shall be taken, if the ATO does not or no longer complies with applicable requirements.

Some violations are listed below,

1. Failure to grant access to the organisation's any facility, aircraft, document, record, data, procedures or any other material relevant to its activity as defined in IS 067
2. Obtaining or maintaining the validity of the organisation certificate by falsification of submitted documentary evidence;
3. Evidence of malpractice or fraudulent use of the organisation certificate
4. The lack of an accountable manager
5. Failure to carry updated checklist operator's handbook on aircraft
6. Pilot not holding any personnel licence, rating, authorization or attestation
7. Pilot not holding a current medical certificate
8. Improper crediting to, or graduation of, student
9. Refusal to permit DGCA test, check or examination of student/ instructor
10. Unqualified instructors, unauthorized instruction
11. Failure to maintain current and accurate training record
12. Failure to maintain the capability for which the FTO has been approved
13. ATO changing post holders without informing
14. Failure to demonstrate corrective action

15. Carriage of documents/ Manuals which are not approved and sealed

16. Non compliance to the CAA act No 14 of 2010 and other specific operating regulations and approved documents

17. Failure to establish training record

18. Failure to retain training record

19. Changes to ATO Manuals without approval.

The CAASL also limits, suspends or revokes a licence, rating or certificate upon the written request of the licence or certificate holder with not limited to above and when non compliance to the operating regulations and approved documents. (Refer SLCAP 0005 Aviation Enforcement Policy and Procedures Manual).

5.2.5.4 Enforcement measures

This provision is necessary to ensure that enforcement measures will be taken also in cases where the CAASL may not act on the licence, or certificate. The type of enforcement measure will depend on the applicable national law and may include for example the payment of a fine or the prohibition from exercising.

It covers two cases:

(a) persons subject to the requirements laid down in Civil Aviation Act No: 14 of 2010 and other operating regulations and its Implementing Rules who are not required to hold a licence, or certificate - for example general medical practitioners (GMPs); and

(b) persons who are required to hold a licence, rating, or certificate, but who do not hold the appropriate licence, rating, or certificate as required for the activity they perform.

CHAPTER 06 CHIEF FLIGHT INSTRUCTOR EVALUATION PROGRAMME

6.1 Introduction

Flight training is promoted in Sri Lanka by CAASL. Therefore the training industry needs more Flight Instructors to facilitate ab-initio flight training. CAASL has taken steps to initiate flight training through a training programme which facilitates experienced instructors to become Chief Flight Instructors. As per requests from the industry, CAASL has decided to prepare this training programme for Flight Instructors who have fulfilled the Chief flight instructor requirements. The following programme will guide the applicant to be a Chief flight instructor. All flight instructors have to follow this training programme prior to their first appointment as Chief Flight Instructor of an Approved Training Organisation. Therefor this training programme is designed for flight instructors to undergo evaluation by CAASL authorized inspectors / examiners. Once the candidate has successfully completed this training programme, CAASL will initially grant Chief flight instructor approval for PPL courses , further upgrades will be granting by evaluating performance.

6.2 Requirements

Candidate should have the following requirements,

1. Should be at least 21 years of age
2. Should meet minimum requirements stated in the Implementing Standard 67
3. Valid Class 1 Medical Certificate
4. Minimum ELPC level 5
5. Safe track record as pilot and as Flight Instructor
6. The candidate should have sent at least 5 students on first solo, 5 students on first cross country solo and 3 students on night solo.

6.3 Evaluation Procedure

6.3.1 Knowledge Evaluation

1. Candidate needs to carry out long briefing of any PPL ab-initio flying exercise (using power point or other…) including maps and charts, (interactive).

2. VIVA
   a. Explanation by the applicant on preparation of the above lesson
      (Subject – Presentation)

   b. General knowledge on regulations published by CAASL
      (Primary Legislation, Subsidiary Legislation, Implementing Standards…)

   c. Training Manual, Operations Manual and Organizational Management Manual
      (CFI Duties and Responsibilities…)

   d. All relevant documentation regarding flying training
      (PPL / CPL / IR / ATPL / AFI / FI)

6.3.2 Evaluation of Instructional ability

1. CAASL inspector will act as a "student" and he will check the abilities / capabilities of the CFI candidate,

   a. General handling / circuit flying

   b. Emergency procedures

   c. Instrument flying

2. CAASL Examiner / inspector will mainly evaluate the following areas,

   a. Standard procedures

   b. Student deficiency identification

   c. Identification of tolerance limits

   d. Fault analysis and judgment

   e. Abnormal procedure identification

   f. Knowledge on CRM

   g. Understanding fatigue and safety.

6.3.3 Knowledge and Evaluation of Instructional ability panel

Knowledge evaluation panel of three members shall be selected by DGCA from the following,

1. Director Training Organization & Personnel Licensing
2. Director Aircraft Operations
3. Senior Civil Aviation Inspector - Examinations and Standards
4. Flight Test Examiner
5. Civil Aviation Inspector - Aircraft Flight Operations

6. Civil Aviation Inspector Flying Training

Evaluation of Instructional ability panel of three members shall be selected by DGCA from the following,

1. Director Aircraft Operations
2. Flight Test Examiner
3. Civil Aviation Inspector - Aircraft Flight Operations 1
4. Civil Aviation Inspector - Aircraft Flight Operations 2
5. Civil Aviation Inspector Flying Training

Refer *Appendix p* for the Assessment form.

6.3.4 The post holder interview

If the candidate successfully completes the Knowledge Evaluation and flying skill evaluation, the candidate requires to appear for a panel interview at the CAASL. The applicant needs to produce;

1. CV
2. Appointment letter
3. Job Description

After the evaluation, the Interview panel will decide on the outcome.

Appendix A – Formal Application

Applicants seeking permission to establish Approved Training Organization in Sri Lanka in pursuance of Civil Aviation Act No 14 of 2010, Civil Aviation (Licensing of Personnel and Training Institutions) Regulations No.01 of 2018 and other specific operating regulations shall submit their applications to Director- General of Civil Aviation in strict accordance with the procedures explained below, at least 90 days prior to the intended date of commencement of operations.

Applicants should be fully aware of the requirements of the Civil Aviation Authority and its procedures in the initial certification of an Approved Training Organization. Therefore applicants are advised to refer Manual and Implementing Standards (ISs) which explain in detail the requirements and procedures of the CAASL.

Note:- The application should be accompanied with the applicable fees which can be either hand delivered or sent by registered post. All documents referred to in the Application shall be submitted along with application.

APPLICATION FOR PERMISSION TO ESTABLISH ATO AEROPLANES /HELICOPTER IN SRI LANKA	For office use only **Serial Number:** **Issued To:**

Please complete this form online (prefered method) then print, sign and submit as instructed. Alternatively, print, then complete in BLOCK CAPITALS using black or blue ink.

The undersigned applies for the permission pursuant to Air Navigation Regulations to establish Approved Training Organization in Sri Lanka as herein described and certified that the facts stated in this application are complete, accurate and timely and that the copies of any documents to the application are true copies.

1. Particulars of the Applicant		
i. Registered Company Name:		ii. If a partnership/ registered company or corporation; Registration Number: Date of Registration:
iii. Business Name:		
iv. Trade Name:		
v. Mailing Address (Head Office)		Tel:
		Fax:
		Email:
vi. Mailing Address (Main Base)		Tel:
		Fax:
		Email:
vii. Name of Chief Executive Officer & Title	Nationality	Brief description of business experience in aviation

viii. Name of Directors	Nationality	Brief description of business experience in aviation / training
1.		
2.		
3.		
4.		
5.		

ix. Evidence of the present corporate existence of the applicant:

(Please attach copies of any Act, Memorandum and Articles of Association, Certificate of Incorporation or other instrument form which company or corporation derives powers and functions.)

x. Nationality / ownership and control:

(Please attach proof of the nationality of the interests holding substantial ownership and effective control of the applicant, form 48 having due regard to any existing intergovernmental air transport agreement under which the operating permission is being sought by the applicant)

xi. Training Courses requested:

- Private Pilot Licence ☐
- Commercial Pilot Licence (Modular) ☐
- Commercial Pilot Licence (Integrated) ☐
- Instrument Rating (Modular) ☐
- Commercial Pilot Licence with Instrument Rating(Integrated) ☐
- Air Transport Pilot (Modular) ☐
- Air Transport Pilot (Integrated) ☐
- Multi Pilot Licence ☐
- Other ……. ☐

1. Sites and Facilities

All training sites and facilities shall be audited/inspected for suitability in advance of any other training by the applicant organization.

	Facilities	**Location, size, Number of rooms, capacity**
a	Details of Tenure of premises	
b	Lecture rooms/CBT rooms	
c	Briefing rooms	
d	HoT's office	
e	CFI's office	
f	CTKI's office	
g	CMM's office	
h	SM's office	
i	Flight Simulation Training Devices	
j	Flight planning rooms	
k	Student rest rooms	
l	Instructor rest rooms	
m	Rooms for administration staff	
n	Library	
o	Wash rooms	

P	**Aerodrome particulars**	
	Name, ICAO designator	
	Hours of operation	
	Air Traffic Services provided	
	Navigation Aids available	

2. Economical Data

i. Rates:

(Please furnish particulars of all rates applicable to be charged on the training proposed, including particulars of ground training, flying training on hourly basis and with or without flying instructors, or per training program)

ii. Financial status:

(Please attach following documents)

Details of the financial structure of the organization

Proof for the paid up capital / capital contribution

Certified copy of the applicant's last balance sheet

Certified copy of the profit & loss account Cash flow account for the next two years

If the applicant has not yet engaged in the business of aviation, particulars of plans for financing the proposed operations

Investors (if any) and nature of their contribution Market survey and business plan
iii. Insurance: (Please attach a concise statement of present and/ or proposed insurance coverage and limits for employees, instructors, students including solo flying and liability to third parties for injury or damages)

4. Operational Details		
i. Nominated Accountable Manager:		
Name	**Qualifications**	**Experience**

ii. Organizational Structure and Nominated Post Holders of the company: At the time of submission of this application if these posts holders are not confirmed please indicate in the Schedule of Events the possible date of submission of the particulars.

Position	Name	Qualifications	Experience
Head of Training			
Chief Flight Instructor			
Chief Theoretical Knowledge Instructor			
Compliance Monitoring Manager			
Safety Manager			
Flight Instructors			

Theoretical Knowledge Instructors			

iii. Aircraft details:					
Type of aircraft					
Year of Manufacture					
Serial number					
Registration number					
Type of engines					
Maximum seating capacity					
MTOW					
Flight cycles					
Communication equipment available					
Navigation equipment available (VOR/ILS/…)					
Surveillance and safety equipment available					
acquisition of aircraft (Own or Lease)					

Details of Synthetic Flight Training Devices
Base
Manufacture
Operator(If different to applicant)
Serial No / Approval No
Level (FNPT1, FNPT2,BITD or Simulator A,B,C,D)
Aircraft represented

iv. Training programmes for operational staff including particulars of simulators intended to be used for training:

v. Training, Testing and checking arrangements for operational staff:

vi. Preflight preparations , facilities for Flight-following up and Release Procedures:

vii. Stations, staff and procedures, arrangement, facilities and services available for flight monitoring:
viii. Schedule or time table: (Ground Training & Flying Training)
ix. Scheme for flight time, duty time and rest periods of trainees and trainers
x. Minimum number of staff and method of proposed recruitment:
xi. Special approvals required:

5. Maintenance arrangements :
(Please provide following information) • In-house maintenance capabilities • Outsourced arrangements • Facilities • Stores • Personnel • Where appropriate, the technical specification(s) of the maintenance contract(s) between the operator and any approved maintenance organization • The number of airplanes
6. Manuals :
(Please provide following manuals in English language) i. Training Manual, Organization Manual & Operation Manual ii. Airplane Flight Manual and any other Manual produced by the Manufacturer in respect of each aircraft
7. Training proposals for CAA Inspectors
(The applicant shall provide complete training (class or type courses) for at least one PEL Inspector, one Flight Test Examiner and two Airworthiness Inspectors at its own expenses, if the applicant intends operating aircraft which are not familiar to CAA Inspectors)

8. Contracted Services
(Please provide details of facilities, services and equipment or personnel , which the applicant has contracted)

Names & Signatures of the Board of Directors

Name	**Signature**	**Date**

NOTE: FORWARD APPLICATION AND SUPPORTING DOCUMENTATION TO:

Director-General of Civil Aviation and Chief Executive Officer
Civil Aviation Authority of Sri Lanka
No 152/1, Minuwangoda road,
Katunayake, Sri Lanka.

Appendix B - Schedule of events

ATO Name:	

Action or Event	Date
Initial application / letter of intent	
Pre-application meeting	

Date of Submission	Action or Event	Target Date	Completed Date
	Request for ministry approval		
	Formal Application		
	Evaluation payment		
	Management Manual		
	Organization Manual		
	Training Manual/s		
	Course materials		
	……..		
	Formal application review	(Preferably 2 weeks of formal application & payment)	
	Formal application meeting		
	Evaluation of Management Manual	(preferably 2 months from formal application meeting & submission of manuals)	
	Evaluation of Organization Manual		
	Evaluation of Training Manual/s		

	Manual / training program approval		

Key Post holders

Post holder Name	CV	JD	Appoint letter	Licence copy	Target date for interview	Completed date
	Submitted date					
Accountable Manager						
Head of Training						
Compliance Monitoring Manager						
Safety Manager						
Chief Flying Instructor						
Chief Theoretical Knowledge Instructor						

Aircraft / Simulator / FSTD details

Name	C of A	C of R	Insurance	Radio licence (TRC)
	Submitted date			

Date of Submission	Action or Event	Target Date	Completed Date
	Facility Inspection		
	Inspection Report		
	Corrective action plan		
	CAP acceptance		
	Key post holder approval letters		
	ATO licence preparation		
	ATO licence Grant payment		
	Grant Certificate		

Name of Accountable Manager:- ……

Signature of Accountable Manager:- ……..

Appendix C-Compliance Statement

DECLERATION OF CONFORMANCE TO THE CIVIL AVIATION PUBLISHED REQUIREMENTS

APPROVED TRAINING ORGANIZATION

COMPLIANCE CHECK LIST FOR IS 67 & IS 72

ATO Name:- Date:

COMPLIANCE CHECK LIST FOR IS 67

Reference of the published Civil Aviation requirements		**Level of Operator's compliance** Mark first with **R** for Read, **Ustd** for Understood and **Cmpd** for Compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	**Compliance Status**		**Remarks**
No	**Section**		**Satisfactory (S)**	**Unsatisfactory (U)**	
Section I General					
1	**ORA.GEN.105**				
2	**ORA.GEN.115**				
3	**ORA.GEN.120**				
4	**ORA.GEN.125**				
5	**AMC1 ORA.GEN.125**				

6	**ORA.GEN.130**				
7	**AMC1 ORA.GEN.130**				
8	**GM1 ORA.GEN.130(a)**				
9	**GM2 ORA.GEN.130(a)**				
10	**ORA.GEN.135**				
11	**ORA.GEN.140**				
12	**ORA.GEN.150**				
13	**AMC1 ORA.GEN.150(b)**				
14	**GM1 ORA.GEN.150**				
15	**ORA.GEN.155**				
16	**ORA.GEN.160**				
17	**AMC1 ORA.GEN.160**				
Section II Management					
18	**ORA.GEN.200**				
19	**AMC1 ORA.GEN.200(a) (1);(2);(3);(5)**				
20	**AMC1 ORA.GEN.200(a) (1)**				

21	**GM1 ORA.GEN.200(a) (1)**				
22	**GM2 ORA.GEN.200(a) (1)**				
23	**AMC1 ORA.GEN.200(a) (2)**				
24	**GM1 ORA.GEN.200(a) (2)**				
25	**AMC1 ORA.GEN.200(a) (3)**				
26	**GM1 ORA.GEN.200(a) (3)**				
27	**GM4 ORA.GEN.200(a) (3)**				
28	**AMC1 ORA.GEN.200(a) (4)**				
29	**GM1 ORA.GEN.200(a) (4)**				
30	**AMC1 ORA.GEN.200(a) (5)**				
31	**GM1 ORA.GEN.200(a) (5)**				
32	**AMC1 ORA.GEN.200(a) (5)**				
33	**AMC1 ORA.GEN.200(a) (6)**				
34	**GM1 ORA.GEN.200(a) (6)**				

35	**GM2 ORA.GEN.200(a)(6)**				
36	**GM3 ORA.GEN.200(a)(6)**				
37	**AMC1 ORA.GEN.200(b)**				
38	**AMC1 ORA.GEN.200(c)**				
39	**GM1 ORA.GEN.200(c)**				
40	**GM2 ORA.GEN.200(c)**				
41	**ORA.GEN.205**				
42	**AMC1 ORA.GEN.205**				
43	**GM1 ORA.GEN.205**				
44	**ORA.GEN.210**				
45	**ORA.GEN.215**				
46	**AMC1 ORA.GEN.215**				
47	**AMC2 ORA.GEN.215**				
48	**ORA.GEN.220**				
49	**AMC1 ORA.GEN.220(b)**				

50	**GM1 ORA.GEN.220(b)**				

ATO Section I					
51	**ORA.ATO.100**				
52	**GM1 ORA.ATO.100**				
53	**ORA.ATO.105**				
54	**AMC1 ORA.ATO.105**				
55	**ORA.ATO.110**				
56	**AMC1 ORA.ATO.110(b)**				
57	**AMC1 ORA.ATO.110(c)**				
58	**ORA.ATO.120**				
59	**ORA.ATO.125**				
60	**AMC1 ORA.ATO.120(a) ;(b)**				
61	**AMC1 ORA.ATO.125**				
62	**AMC2 ORA.ATO.125**				
63	**AMC3 ORA.ATO.125**				

64	**AMC4 ORA.ATO.125**				
65	**ORA.ATO.130**				
66	**ORA.ATO.135**				
67	**AMC1 ORA.ATO.135**				
68	**ORA.ATO.140**				
69	**AMC1 ORA.ATO.140**				
70	**ORA.ATO.145**				
71	**AMC1 ORA.ATO.145**				
72	**ORA.ATO.150**				
ATO Section II					
73	**ORA.ATO.210**				
74	**AMC1 ORA.ATO.210**				
75	**AMC2 ORA.ATO.210**				
76	**ORA.ATO.225**				
77	**ORA.ATO.230**				
78	**AMC1 ORA.ATO.230(a)**				
79	**AMC1 ORA.ATO.230(b)**				

ATO Section III					
80	**ORA.ATO.300**				
81	**AMC1 ORA.ATO.300**				
82	**ORA.ATO.305**				
83	**ORA.ATO.310**				
84	**ORA.ATO.330**				
85	**AMC1 ORA.ATO.330**				
86	**ORA.ATO.335**				
87	**ORA.ATO.350**				
88	**ORA.ATO.355**				
FSTD Section I					
89	**ORA.FSTD.100**				
90	**AMC1 ORA.FSTD.100**				
91	**AMC3 ORA.FSTD.100**				
92	**GM1 ORA.FSTD.100**				
93	**GM2 ORA.FSTD.100**				

94	**GM3 ORA.FSTD.100**				
95	**ORA.FSTD.105**				
96	**ORA.FSTD.110**				
97	**AMC1 ORA.FSTD.110**				
98	**GM1 ORA.FSTD.110**				
99	**ORA.FSTD.115**				
100	**AMC1 ORA.FSTD.115**				
101	**GM1 ORA.FSTD.115**				
102	**ORA.FSTD.120**				
FSTD Section II					
103	**ORA.FSTD.200**				
104	**AMC1 ORA.FSTD.200**				
105	**GM1 ORA.FSTD.200**				
106	**ORA.FSTD.205**				
107	**ORA.FSTD.210**				
108	**ORA.FSTD.225**				

109	**AMC1 ORA.FSTD.225 (b)(4)**				
110	**ORA.FSTD.230**				
111	**AMC1 ORA.FSTD.230 (b)**				
112	**ORA.FSTD.235**				
113	**ORA.FSTD.240**				
114	**AMC1 ORA.FSTD.240**				

COMPLIANCE CHECK LIST FOR IS 72

Reference of the published Civil Aviation requirements		**Level of Operator's compliance** Mark first with **R** for Read, **Ustd** for Understood and **Cmpd** for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	**Compliance Status**		**Remarks**
No	**Section**		**Satisfactory (S)**	**Unsatisfactory (U)**	
SUBPART A					
1	**FCL.001**				
2	**FCL.005**				

3	**FCL.010**				
4	**FCL.015**				
5	**FCL.020**				
7	**FCL.025**				
8	**FCL.030**				
9	**FCL.035**				
10	**FCL.040**				
11	**FCL.045**				
12	**FCL.050**				
13	**FCL.055**				
14	**FCL.060**				
15	**FCL.065**				
16	**FCL.070**				
SUBPART C					
17	**FCL.200**				
18	**FCL.205**				

19	**FCL.210**				
20	**FCL.215**				
21	**FCL.235**				
22	**FCL.205.A PPL(A)**				
23	**FCL.210.A PPL(A)**				
24	**FCL.205.H PPL(H)**				
25	**FCL.210.H PPL(H)**				
26	**FCL.205.As PPL(As)**				
27	**FCL.210.As PPL(As)**				
28	**FCL.205.S GPL**				
29	**FCL.210.S GPL**				
30	**FCL.220.S GPL**				
31	**FCL.230.S GPL**				
32	**FCL.205.B BPL**				
33	**FCL.210.B BPL**				

34	**FCL.220.B BPL**				
35	**FCL.225.B BPL**				
36	**FCL.230.B BPL**				
SUBPART D					
37	**FCL.300 CPL**				
38	**FCL.305 CPL**				
39	**FCL.310 CPL**				
40	**FCL.315 CPL**				
41	**FCL.320 CPL**				
42	**FCL.315.A CPL**				
43	**FCL.325.A CPL(A)**				
SUBPART E					
44	**FCL.400.A MPL**				
45	**FCL.405.A MPL**				
46	**FCL.410.A MPL**				
47	**FCL.415.A MPL**				

SUBPART F					
48	**FCL.500 ATPL**				
49	**FCL.505 ATPL**				
50	**FCL.515 ATPL**				
51	**FCL.505.A ATPL(A)**				
52	**FCL.510.A ATPL(A)**				
53	**FCL.520.A ATPL(A)**				
54	**FCL.510.H ATPL(H)**				
55	**FCL.520.H ATPL(H)**				
SUBPART G					
56	**FCL.600 IR**				
57	**FCL.605 IR**				
58	**FCL.610 IR**				
59	**FCL.615 IR**				
60	**FCL.620 IR**				
61	**FCL.625 IR**				

62	**FCL.625.A IR(A)**				
63	**FCL.625.H IR(H)**				
64	**FCL.630.H IR(H)**				
65	**FCL.625.As IR(As)**				
SUBPART H					
66	**FCL.700**				
67	**FCL.705**				
68	**FCL.710**				
69	**FCL.725**				
70	**FCL.740**				
71	**FCL.720.A**				
72	**FCL.725.A**				
73	**FCL.730.A**				
74	**FCL.735.A**				
75	**FCL.740.A**				
76	**FCL.745.A**				

77	**FCL.720.H**				
78	**FCL.735.H**				
79	**FCL.740.H**				
80	**FCL.720.PL**				
81	**FCL.725.PL**				
82	**FCL.740.PL**				
83	**FCL.720.As**				
84	**FCL.735.As**				
85	**FCL.740.As**				
SUBPART I					
86	**FCL.810**				
SUBPART J					
87	**FCL.900**				
88	**FCL.915**				
89	**AMC1 FCL.915(e)**				
90	**AMC2 FCL.915(e)**				

91	**FCL.920**				
92	**FCL.925**				
93	**FCL.930**				
94	**FCL.935**				
95	**FCL.940**				
96	**FCL.945**				
97	**FCL.905.FI FI**				
98	**FCL.910.FI FI**				
99	**FCL.915.FI FI**				
100	**FCL.930.FI FI**				
101	**FCL.940.FI FI**				
102	**FCL.905.TRI TRI**				
103	**FCL.910.TRI TRI**				
104	**FCL.915.TRI TRI**				
105	**FCL.930.TRI TRI**				

106	**FCL.935.TRI TRI**				
107	**FCL.940.TRI TRI**				
108	**FCL.905.CRI CRI**				
109	**FCL.915.CRI CRI**				
110	**FCL.930.CRI CRI**				
111	**FCL.940.CRI CRI**				
112	**FCL.905.IRI IRI**				
113	**FCL.915.IRI IRI**				
114	**FCL.930.IRI IRI**				
115	**FCL.940.IRI IRI**				
116	**FCL.905.SFI SFI**				
117	**FCL.910.SFI SFI**				
118	**FCL.915.SFI SFI**				
119	**FCL.930.SFI SFI**				
120	**FCL.940.SFI SFI**				

121	**FCL.905.MCCI MCCI**				
122	**FCL.910.MCCI MCCI**				
123	**FCL.915.MCCI MCCI**				
124	**FCL.930.MCCI MCCI**				
125	**FCL.940.MCCI MCCI**				
126	**FCL.905.STI STI**				
127	**FCL.910.STI STI**				
128	**FCL.915.STI STI**				
129	**FCL.930.STI STI**				
130	**FCL.940.STI**				
131	**APPENDIX 1**				
132	**APPENDIX 2**				
133	**APPENDIX 3**				
134	**APPENDIX 4**				
135	**APPENDIX 5**				
136	**APPENDIX 6**				

137	**APPENDIX 7**				
138	**APPENDIX 8**				
139	**APPENDIX 9**				

The completed checklist of our Training Organization Training Manual, Operations Manual and Organization Management Manual is in compliance with IS 67 & IS 72.

…….
Name & Signature of the Accountable Manager

Checked by name/s and signature/s of Inspector/s

Appendix D – Checklists

CAA/PL/CL/56

CIVIL AVIATION AUTHORITY OF SRI LANKA
MAIN CHECK LIST - CERTIFICATION OF APPROVED TRAINING ORGANIZATION

Name of the Flying school / ATO:	Date of Evaluation:

		Status		Remarks
		Sat	**Unsa**	
1.	Formal Application			
2	Approval of Ministry of Defence received			
3	Approval of BOI received			
4	Training Manual, Operatios Manual & Management Manual Approved			
5	**Key post holders** Accountable Manager Head of Training Chief Flight Instructor Chief Theoretical Knowledge Instructor Compliance Monitoring Manager Safety Manager			
6.	Ground training facilities			
7	Flying training facilities			
8	Aircrafts/ flight simulation devices			

9	Maintenance facilities and Maintenance Manager			
10	Training Programmes / Student course materials approved			
11	Record keeping facilities			
12	Quality Assurance System / Compliance Monitoring System			
13	Safety Management System			
14	Scope of Approval			
15	Conditions of Ops Specs			
Remarks :				
Name of the inspector :		**Signature :**		**Date:**

CAA/PL/CL/56-a

CIVIL AVIATION AUTHORITY OF SRI LANKA
CHECKLIST FOR CERTIFICATION OF APPROVED TRAINING ORGANIZATION
EVALUATION OF APPLICATION FOR ISSUANCE

Name of the Flying school / ATO:	Date of Evaluation:

Item		Status		Remarks
		Sat	Unsat	
	Name of the Organization			
	If a partnership/ registered company or corporation Registration Number Date of Registration			
	Business Name			
	Trade Name			
	Name of Chief Executive Officer & Title - Nationality - Brief description of business experience in aviation			
	Name of Directors - Nationality - Brief description of business experience in aviation/ training			
	Mailing address (Head Office)			
	Mailing address (Main Base)			
	Principle place of business			
	Evidence of the present corporate existence of the applicant Act, Memorandum and Articles of Association Certificate of Incorporation or other Instrument form which company or corporation derives powers and functions			

	Nationality / ownership and control proof of the nationality of the interests holding substantial ownership and effective control of the applicant			

	form 48 having due regard to any existing intergovernmental air transport agreement under which the operating permission is being sought by the applicant			
	Class of Services Proposed PPL Ground CPL Ground ATPL Ground Private Pilot Flying Training for Aeroplanes Commercial Pilot Flying Training for Aeroplanes Airline Transport Pilot Flying Training For Aeroplanes Integrated Flying Training School upto CPL/IR & Multi Engine Instrument Rating Ground School Instrument Rating Flying Training Flight Instructor Ground School Flight Instructor Flying Training Integrated Flying Training School upto ATPL			
	Fares and rates			

	Financial Status 1. Details of the financial structure of the organization 2. Proof for the paid up capital / capital contribution 3. Certified copy of the applicant's last balance sheet 4. Certified copy of the profit & loss account 5. Cash flow account for the next two years 6. If the applicant has not yet engaged in the business of aviation, particulars of plans for financing the proposed operations 7. Investors (if any) and nature of their contribution 8. Market survey and bussiness plan			
	Insurance (A concise statement of present and / or proposed insurance coverage and limits for employees, passenger liability , cargo and liability to third parties for injury or damages)			
	Operation Details Nominated Accountable Manager Name Qualifications Experience			

	Organizational Structure and Nominated Post Holders of the Company: At the time of submission of this application if these posts holders are not confirmed please indicate in the Schedule of Events the possible date of submission of the Head of Training Chief Flight Instructors Chief Ground Instructors Maintenance Manager Quality Manager Safety Manager Flight Instructors			

	Ground Instructors			
	Aircraft Details Type of Aircraft Year of Manufacture Serial Number Registration Number Type of Engines Maximum seating capacity MTOW Design service goal Flight cycles Crew Requirement Communication Equipment available Navigation Equipment available Surveillance and safety equipment available			
	Method of acquisition of aircraft Dry lease Wet lease Outright purchase			
	Hangar and parking facilities available			
	Places of proposed operations and facilities and service available			
	Training programmes for operational staff including particulars of simulators intended to be used for training			
	Training ,Testing and checking arrangement for operational staff			
	Preflight preparation, facilities for Flight – Following and Dispatch Procedures			
	Station, staff and procedures, arrangement, facilities and services available for flight monitoring			

	Schedule or time table (Ground Training &Flying Training)			
	Scheme for flight time, duty time and rest periods of trainees and trainers			
	Minimum number of staff and method of proposed recruitment			
	Special approvals required			
	Maintenance arrangement The maintenance management exposition Maintenance Control Manual			
	The operator's airplane maintenance programs			
	The airplane technical log Where appropriate, the technical specification of the maintenance contract between the operator and any approval maintenance organization			
	The number of airplanes			
05	Manual Training Manual, Operations Manual, Organization Management Manual, Airplane Flight Manual/POH Minimum Equipment List and any other Manual produced by the Manufacturer in respect of each aircraft Maintenance Control Manual			
06	Schedule of Events & Declaration of Conformance			
07	Training proposals for CAA Inspectors (The applicant shall provide complete training (type courses) for at least one PEL Inspector, two Flight Operations Inspectors and two Airworthiness Inspectors at its ATO expenses, if the applicant intends operating aircraft which are not familiar to CAA Inspectors)			

08	Contracted Services (provide details of facilities, services and equipment or personnel, which the applicant has contracted) Name& Signatures of the Board of Directors…… Date……..			
Remarks:				
Name of the inspector :		**Signature :**		**Date:**

ATO Audit Checklist
General

Section 1 – General

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
ORA.GEN. 115/135	Is the ATO Certificate valid?		
ORA.GEN. 125	Does the ATO Comply with the **scope** defined in 'terms of approvals' issued by DGCA?		
ORA.GEN. 125	Does the ATO Comply with the **privileges** defined in 'terms of approvals' issued by DGCA?		
ORA.GEN. 130	Has the ATO obtained the approval to the procedures 'which do not require prior approval'?		
ORA.GEN. 130	Has the ATO followed the approved procedure on above?		
ORA.GEN. 130	Has the ATO obtained approval for the 'Changes which require prior approval'?		
ORA.GEN. 140	Has the ATO provided Access to the certified facility, Aircraft documents, records, data, procedures (flying & ground) any other material relevant to its activity		
ORA.GEN. 150	After receipt of notification of findings, has the ATO identified the 'Root cause of the non-compliances'?		

ORA.GEN. 150	Has the ATO defined the Corrective action plan (CAP)?		
ORA.GEN. 150	Has the ATO implemented the all previous CAPs within a period as agreed?		
ORA.GEN. 150	Has the ATO sent the CAP to CAASL on time?		
ORA.GEN. 160	Has the ATO reported the last occurrence to CAASL within 72 hours?		
ORA.GEN. 160	Is the report complete and accurate?		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

Section 2 – Contracted Activities, Personnel Requirements

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
Contracted activities			
ORA.GEN. 205	Are any contracted activities available?		
ORA.GEN. 205	If available, is there a Written agreement?		

ORA.GEN. 205	Has the contracted activities clearly defined		
ORA.GEN. 205	Are the contracted activities conform the applicable requirements		
ORA.GEN. 205	Has the Contracted organization have the necessary authorization by CAASL		
ORA.GEN. 205	a) Responsibility when contracting activities		
ORA.GEN. 205	Is the contracting organization responsible to ensure that all contracted activities are subject to hazard identification and risk management as required by ORA.GEN.200(a)(3) and to compliance monitoring as required by ORA.GEN.200(a)(6).		
Personnel Requirements			
ORA.GEN. 210(a)	Does the Accountable Manager have overall responsibility / accountability for the ATO?		
ORA.GEN. 210(a)	Is the AM qualified and approved?		
ORA.GEN. 210(b), ORA. ATO.110(a)	Is the Head of Training suitably approved by CAASL?		
ORA.GEN. 210(b), ORA.ATO. 210(b)	Is the CFI suitably approved by CAASL?		
ORA.GEN. 210(b), ORA.ATO. 210(c)	Is the CTKI suitably approved by CAASL?		
ORA.GEN. 210(b)	Is the Safety Manager qualified, trained and approved?		

ORA.GEN. 210(b)	Is the Compliance Monitoring Manager qualified, trained and approved		
ORA.GEN. 210(c) ORA.ATO.210	Are sufficient flight instructors / theoretical knowledge instructors available to perform the planned tasks		
ORA.GEN. 210(d)	Personal files of the key post holders, instructors are in order (experience, qualification and training records)		
ORA.GEN. 210(e) ORA.ATO.210	Nominated persons are aware of the rules and procedures relevant to the exercise of their duties (by interviewing)		
Record-keeping			
ORA.GEN. 220	Record-keeping a) Is in accordance with the approved ATO manual		
ORA.GEN. 220	b) Records are accessible within a reasonable time		
ORA.GEN. 220	c) Adequate storage available		
ORA.GEN. 220	d) Traceability of records		
ORA.GEN. 220	e) ATO ensures protection from damage, alteration and theft.		
ORA.GEN. 220	f) Are the records kept in paper form or in electronic format or a combination of both?		
ORA.GEN. 220	g) If Computer systems used, at least one back-up system is available which should be updated within 24 hours of any new entry		

ORA.GEN. 220	h. Computer systems has included safeguards against the ability of unauthorized personnel to alter the Data.		
ORA.GEN. 220	h) Are records available for 5 years		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

Section 3 – Manuals

Reference	**Audit/Inspection Area**	**Satisfactory / Unsatisfactory**	**Remarks (Level of Finding)**
ORA.GEN. 200(a) (5)	Approved Organization Management Manual Available, updated and maintained		
ORA.GEN. 200(a) (5)	Organization Management Manual Available for reference to staff		
ORA.ATO. 130	Approved Training Manual Available, updated and maintained		

ORA.ATO. 130	Training Manual Available for reference to staff		
ORA.ATO. 130	Approved Operations Manual Available, updated and maintained		
ORA.ATO. 130	Operations Manual Available for reference to staff		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

ATO Audit Checklist
Ground Training

ATO Name:

Date:

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
ORA.ATO.100	Scope Does the ATO comply with the scope of training defined in the approval certificate?		
ORA.ATO.120	Has the ATO delivered ground training syllabus to the individual student?		
ORA.ATO.120	Are the detailed and regular progress reports from the Theoretical knowledge instructors available in the individual student files? (Comprehensive records)		
	Are the assessments, and regular progress tests and Theoretical Knowledge examinations available in the individual student files (Comprehensive records)		
ORA.ATO.125	Are the Training programs available for each type of course, offered?		
ORA.ATO.125	Are the training programs approved?		
ORA.ATO.125	Does the ATO check that the student has the minimum licensing and experience requirements before starting the course?		
ORA.ATO.125	Has the UPRT training been conducted proportional to the licence / rating ?		

ORA.ATO.130	Approved training manual, the operations manual and the ATO's approval documentation, available for reference to staff and students		
ORA.ATO.135	Flight instructor (FI) training courses on aero planes are suitable for spin recovery at the developed stage		
ORA.ATO.145	Does the ATO ensure that the students meet all the pre-requisites for training established in Implementing Standard 36, Implementing Standard 72		
ORA.ATO.145	Prerequisites Does the student have enough knowledge, particularly of physics and mathematics, to be able to follow the courses of CPL students		
ORA.ATO.230	Is the recurrent training of instructors conducted at least annually		
ORA.ATO.230	Is instructor recurrent standardization training conducted at least annually		

Distance Learning

Reference	**Audit/Inspection Area**	**Satisfactory / Unsatisfactory**	**Remarks (Level of Finding)**
ORA.ATO.300	Does the ATO conduct Modular course programmes using distance learning approval		
ORA.ATO.300	Check the Academic progress of the students (assessment and progress tests)		
ORA.ATO.300	Time constraints laid down ; Minimum 10 percent of Theoretical Training conducted in the classroom One progress test for each subject for every 15 hours of study		

ORA.ATO.300	Is the course structure and sequence of / order of teaching satisfactory?		
ORA.ATO.305	Classroom instruction for approved distance learning courses		
ORA.ATO.310	Instructors are fully familiar with the requirements of the distance learning course programme.		
IS 72 requirements			
FCL Subpart H	Has the Class/Type rating training program approved		
FCL subpart H	Has the IR training program approved		
FCL subpart H	Has the ATO conducted theoretical training for issuance of Class/Type rating trainings?		
FCL.725 (b)	Is Multi engine/Multi pilot question bank/papers available? (Check 100 MCQs available MPA)		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

ATO Audit Checklist
Compliance Monitoring System

ATO Name:

Date:

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
ORA.GEN. 200(a)(6)	Has the Compliance monitoring manager(CMM) approved		
ORA.GEN. 200(a)(6)	Are the posts of CM manager and AM combined? If so, is the independence of compliance audits assured?		
ORA.GEN. 200(a)(6)	Has a formal written compliance policy statement been established, included in the CM manual and signed by the accountable manager?		
ORA.GEN. 200(a)(6)	Does the CM manager have overall responsibility and authority to: a) verify that standards are met; and b) ensure that the compliance monitoring programme is established, implemented and maintained?		
ORA.GEN. 200(a)(6)	Does the CM manager have direct access to the AM?		
ORA.GEN. 200(a)(6)	Does the CM manager have access to all parts of the organisation and as necessary any sub-contractor's organisation?		
ORA.GEN. 200(a)(6), AMC1.ORA. GEN.200 (a).(6)	Has compliance monitoring function been established by the operator?		

ORA.GEN. 200(a)(6)	Is compliance monitoring function properly documented?		
ORA.GEN. 200(a)(6)	Is the CM structured according to the size and complexity of the operator?		
ORA.GEN. 200(a)(6)	Does the CM include the following as a minimum: a) monitoring of compliance with required technical standards; b) identification of corrective actions and person responsible for rectification; c) a feedback system to accountable manager to ensure corrective action are promptly addressed; d) reporting of significant non-compliances to the competent authority; e) a compliance monitoring programme to verify continued compliance with applicable requirements, standards and procedures.		
ORA.GEN. 200(a)(6)	Are the responsibilities of the CM manager defined to include, as a minimum: a) monitoring of corrective action programme; b) ensuring that the corrective actions contain the necessary elements; c) providing management with an independent assessment of corrective action, implementation and completion; d) evaluation of the effectiveness of the corrective action programme		
ORA.GEN. 200(a)(6)	Are adequate financial, material and human resources in place to support CM?		

ORA.GEN. 200(a)(6)	Are management evaluations/reviews of CM held regularly according to the approved manual?		
ORA.GEN. 200(a)(6)	Does the management evaluation ensure that the CMS is working effectively and is it comprehensive and well documented?		
ORA.GEN. 200(a)(6)	Does the compliance monitoring programme identify the processes necessary and the persons within the organisation who have the training, experience, responsibility and authority to carry out the following: a) schedule and perform quality inspections and audits, including unscheduled audits when required; b) identify and record any concerns or findings, and the evidence necessary to substantiate such concerns or findings; c) initiate or recommend solutions to concerns or findings through designated reporting channels; d) verify the implementation of solutions within specific time scales.		
ORA.GEN. 200(a)(6)	Is there sufficient auditor resource available and can their required level of independence be demonstrated?		
ORA.GEN. 200(a)(6)	Does the defined audit schedule cover all the areas, within the period of time, as defined in the compliance monitoring manual?		
ORA.GEN. 200(a)(6)	How are audit non-compliances recorded?		
ORA.GEN. 200(a)(6)	Are procedures in place to ensure that corrective actions are taken in response to findings?		

ORA.GEN. 200(a)(6)	Are records of the compliance monitoring programme: a) accurate b) complete and c) readily accessible?		
ORA.GEN. 200(a)(6)	Is there an acceptable and effective procedure for providing a briefing on the CM to all personnel?		
ORA.GEN. 200(a)(6)	Is there an acceptable and effective procedure for ensuring that all those responsible for managing the CM receive training covering: a) an introduction to the concept of the CM; b) compliance management; c) the concept of compliance assurance; d) CM manuals; e) audit techniques; f) reporting and recording; g) how the CM supports continuous improvement within the organisation.		
ORA.GEN. 200(a)(6)	Are suitable training records maintained?		
ORA.GEN. 200(a)(6)	Are activities within the CM sub-contracted out to external agencies?		
ORA.GEN. 200(a)(6)	Do written agreements exist between the organisation and the sub-contractor clearly defining the services and standard to be provided?		
ORA.GEN. 200(a)(6)	Are the procedures in place to ensure that the necessary authorisations/ approval when required are held by a sub-contractor?		
ORA.GEN. 200(a)(6)	Are the procedures in place to establish that the subcontractor has the necessary technical competence?		

ORA.GEN. 200(a)(6)	What is the current status of the CM manual – amendment and issue date?		
ORA.GEN. 200(a)(6)	Is there a procedure in place to control copies and the distribution of the CM manual?		
ORA.GEN. 200(a)(6)	Is the CM manual signed by the accountable manager and the compliance monitoring manager?		
ORA.GEN. 200(a)(6)	Does the CM manual include, either directly or by reference to other documents, the following: (i) terminology; (ii) specified activity standards; (iii) a description of the organisation; (iv) the allocation of duties and responsibilities; (v) procedures to ensure regulatory compliance; (vi) the compliance monitoring programme, reflecting: (A) schedule of the monitoring programme; (B) audit procedures; (C) reporting procedures; (D) follow-up and corrective action procedures; and (E) recording system. (vii) the training syllabus referred to in (e)(2); (viii) document control.		
ORA.GEN. 200(a)(6)	Is there a document retention policy covering: a) audit schedules; b) inspection and audit reports; c) responses to findings; d) corrective action reports; e) follow-up and closure reports; f) management evaluation reports.		

ATO operating FSTD ORA.FSTD. 100	Does the CM manual include, either directly or by reference to other documents, the following procedures for day to day operation of the FSTD: a) defect reporting systems; b) defect rectification processes; c) tracking mechanisms; d) preventative maintenance programmes; e) spares handling; f) equipment calibration; g) configuration management of the device including visual, IOS and navigation databases; h) configuration control system to ensure the continued integrity of the hardware and software qualified; i) QTG running and function and subjective tests		
ATO operating FSTD ORA.FSTD. 100	Does the CM manual include, either directly or by reference to other documents, procedures for notification of the competent authorities of the following: a) any change in the organisation including company name, location, management; b) major changes to a qualified device; c) deactivation or relocation of a qualified device; d) major failures of a qualified device; e) major safety issue associated with the installation.		
ATO operating FSTD ORA.FSTD. 100	Does the CM manual define acceptable and effective procedures to ensure compliance with applicable health and safety regulations, including: a) safety briefings;		

	b) fire/smoke detection and suppression; c) protection against electrical, mechanical, hydraulic and pneumatic hazards; d) other items as defined in AMC1 ORA.FSTD.115		
ATO operating FSTD ORA.FSTD. 100	Does the CM manual include acceptable and effective procedures for regularly checking FSTD safety features such as emergency stops and emergency lighting, and are such tests recorded?		
ATO operating FSTD ORA.FSTD. 100	Have compliance monitoring objectives been developed from the policy statement, and included either directly or by reference in the CMS manual?		
ATO operating FSTD ORA.FSTD. 100	Does the CMS include processes to produce and review appropriate metrics data?		
ATO operating FSTD ORA.FSTD. 100	Do these compliance measures track the following: a) FSTD availability; b) numbers of defects; c) open defects; d) defect closure rates; e) training session interrupt rates; f) training session compliance rating.		
ATO operating FSTD ORA.FSTD. 100	Do the compliance measures support the compliance objectives?		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

ATO Audit Checklist
Flying Training

ATO Name:

Date:

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
ORA.ATO. 100	Scope Does the ATO comply with the scope of the training defined in the approval certificate?		
ORA.ATO. 120	Do the training records document details of flight training delivered to individual student		
ORA.ATO. 120	Are the detailed and regular progress reports from flight instructors including assessments, available in the individual student file?		
ORA.ATO. 120	Detailed and regular progress flight tests/stage checks from flight instructors including assessments, available in the individual student file?		
ORA.ATO. 120	Does the individual file contain the information on the • Valid licences and associated ratings • Valid medical certificates • Proposed training program		
ORA.ATO. 125	Are the Training programs available for each type of course, offered?		
ORA.ATO. 125	Are the training programs approved?		

ORA.ATO. 125 ORA.ATO. 145	Does the student has the minimum licensing, qualification and experience requirements for entry to the course?		
ORA.ATO. 125	UPRT proportional to licence / rating / training program?		
ORA.ATO. 130	Are the training manual available for reference to staff and students?		
ORA.ATO. 135	Did the completed training programs as per the approved training program?		
ORA.ATO.230	Are the recurrent training of flight instructors conducted at least annually?		
ORA.ATO.230	Are the recurrent standardization training conducted at least annually for instructors?		
IS 72	Training programs completed as per the approved time constraints?		
FCL.710 ORA.ATO. 125	Differences training Variance		
FCL. subpart H	Class/Type rating trainings		
FCL.625(c)	Renewal of instrument rating: Determination by the ATO of required refresher training		
FCL.740(b)(1)	Renewal of class and type ratings: Determination by the ATO of required refresher training		
FCL.740(b)(1) FCL.625(c) ORA.ATO.125	Minimum hours of flying training conducted Standard training programs conducted		

	Specific training programs conducted (Determination by the ATO of required refresher training)		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

ATO Operation

ATO Name:

Date:

Section 1

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
ORA.GEN. 215	Operations room with facilities to control flying operations		
ORA.GEN. 215	Flight planning room with a) Appropriate current maps and charts		
	b) Current aeronautical information service		
	c) Current meteorological information		
	d) Communications to air traffic control (ATC) and operations room		
	e) Any other flight safety related material		
ORA.GEN. 215	Adequate briefing rooms/cubicles of sufficient size and number for flight training students		
ORA.GEN. 215	Suitable offices for the supervisory personnel and room(s) to allow flight instructors to write reports on students, complete records and other related documentation		
ORA.GEN. 215	Furnished crew-room(s) for instructors and students		
ORA.GEN. 215	Adequate classroom accommodation for the current student population in theoretical knowledge training		
ORA.GEN. 215	Suitable demonstration equipment to support the theoretical knowledge instruction		
ORA.GEN. 215	Radiotelephony training and testing facility		
ORA.GEN. 215	Reference library containing publications giving coverage of the syllabus		

ORA.GEN. 215	Offices for theoretical knowledge instructional personnel		
ORA.ATO. 110	Flight instructor qualifications		
	Flight simulation training instructor qualifications		
SLCAP 3090	At least three aircraft available		
SLCAD 18	Aircraft Insurance		
ORA.ATO. 135	Adequate fleet of training aircraft or FSTDs appropriately equipped for the training courses provided		
ORA.ATO. 135	Training aircraft should fitted with primary flight controls that are instantly accessible by both the student and the instructor		
ORA.ATO. 135	Aircraft suitably equipped to simulate instrument meteorological conditions (IMC) and for the instrument flight training		
ASN 032	Communication , Navigation and Surveillance equipment to be carried in Sri Lanka registered aircraft		
ORA.ATO. 140	Aerodromes and operating sites		
ORA.ATO. 210	Adequate number of qualified and competent staff employed		
ORA.ATO. 210	The ratio of all students to flight instructors, excluding the HT, should not exceed 6:1		
ORA.ATO. 210	Number of theoretical knowledge students in a class should not exceeds 28		
SLCAP 3090	The ratio of all students to aircraft should not exceed 15:1		
SLCAP 3090	Whether ATO has sent monthly statistics for previous month		

Section 2

Reference	**Audit/Inspection Area**	**Satisfactory / Unsatisfactory**	**Remarks (Level of Finding)**
ORA.ATO. 230(b)	Approval of flights and authorization		
ORA.ATO. 230(b)	Command of aircraft		

ORA.ATO. 230(b)	Responsibilities of the PIC		
ORA.ATO. 230(b)	Carriage of passengers		
ORA.ATO. 230(b)	Aircraft documentation a) C of A b) C of R c) TRC		
ORA.ATO. 230(b)	Retention of documents		
ORA.ATO. 230(b)	Flight crew qualification records (licences and ratings)		
ORA.ATO. 230(b)	Revalidation a) Medical b) Ratings		
ORA.ATO. 230(b)	Flight Instructors flight duty period and flight time limitations		
ORA.ATO. 230(b)	Students flight duty period and flight time limitations		
ORA.ATO. 230(b)	Flight Instructors rest periods		
ORA.ATO. 230(b)	Students rest periods		
ORA.ATO. 230(b)	Pilots' log books		
ORA.ATO. 230(b)	Flight planning (general)		
ORA.ATO. 230(b)	Safety equipment		
ORA.ATO. 230(b)	Aircraft handling a) Checklists b) Limitations c) Maintenance and d) Technical logs, in accordance with relevant requirements		
ORA.ATO. 230(b)	Emergency procedures		
ORA.ATO. 230(b)	Radio and radio navigation aids		
ORA.ATO. 230(b)	Allowable deficiencies (based on the master minimum equipment list (MMEL), if available)		

ORA.ATO. 230(b)	Performance (legislation, take-off, route, landing etc.)		
ORA.ATO. 230(b)	Flight planning (fuel, oil, minimum safe altitude, navigation equipment etc.)		
ORA.ATO. 230(b)	Loading (load sheets, mass, balance and limitations)		
ORA.ATO. 230(b)	Weather minima (flying instructors)		
ORA.ATO. 230(b)	Weather minima (students – at various stages of training)		
ORA.ATO. 230(b)	Training routes or areas		
ORA.ATO. 230(b)	Appointments of persons responsible for standards/competence of flight personnel		
ORA.ATO. 230(b)	Initial training		
ORA.ATO. 230(b)	Refresher training		
ORA.ATO. 230(b)	Standardization training		
ORA.ATO. 230(b)	Proficiency checks		
ORA.ATO. 230(b)	Upgrading training		
ORA.ATO. 230(b)	ATO personnel standards evaluation		

Section 3

Reference	**Audit/Inspection Area**	**Satisfactory / Unsatisfactory**	**Remarks (Level of Finding)**
FCL.045	A valid licence and a valid medical certificate shall always be carried by the pilot when exercising the privileges of the licence		
FCL.045	A pilot or a student pilot shall without undue delay present his/her flight time record for inspection upon request by an authorised representative of DGCA Sri Lanka		
FCL.055	ELPC proficiency / validity		
FCL.060	Recent experience		

FCL. Subpart J	FI (restricted) privileges		
FCL. Subpart J	FI Privileges		
FCL.930	Instructor training course approval		
FCL.940	Instructor refresher training		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

Inspector Signature:

CAA/PL/Audit/06

ATO Safety Management

ATO Name:

Date:

Reference	Audit/Inspection Area	Satisfactory / Unsatisfactory	Remarks (Level of Finding)
ORA.GEN. 155	Immediate action taken to a safety problem/s		
ORA.GEN. 160	Occurrence reporting		
ORA.GEN. 200	Internal Safety Audit at least once a year		
ORA.GEN. 200(a)(1)	Safety manager approved		
ORA.GEN. 200(a)(1)	Safety review board functioning		
ORA.GEN. 200(a)(2)	Safety policy displayed		
ORA.GEN. 200(a)(2)	Functioning feedback system		
ORA.GEN. 200(a)(2)	Safety promotions		
ORA.GEN. 200(a)(3)	Safety risk management a) Hazard identification processes available with collecting, recording, analyzing, acting on and generating feedback about hazards		
	b) All reporting systems, including confidential reporting schemes, should include an effective feedback process		
	c) Risk assessment and mitigation processes- Risk Register		
	d) Internal safety investigation procedure		
	e) Safety performance monitoring and measurement- audits and surveys		
	f) Management of change (AM,CMM,SM)		
	g) The emergency response plan (ERP) available		

ORA.GEN. 200(a)(4)	Safety Training for all personnel and their records		
ORA.GEN. 200(a)(4)	Safety Communication system about safety matters		
ORA.GEN. 200(a)(4)	Safety meetings conducted as per approved manual		
ORA.GEN. 200(a)(5)	Safety management system documentation (Safety audit schedule, etc…)		
ORA.GEN. 200(a)(5)	Safety manual approval		

Additional remarks:

Note:- Complete the finding form for each unsatisfactory item.

Inspector Name:

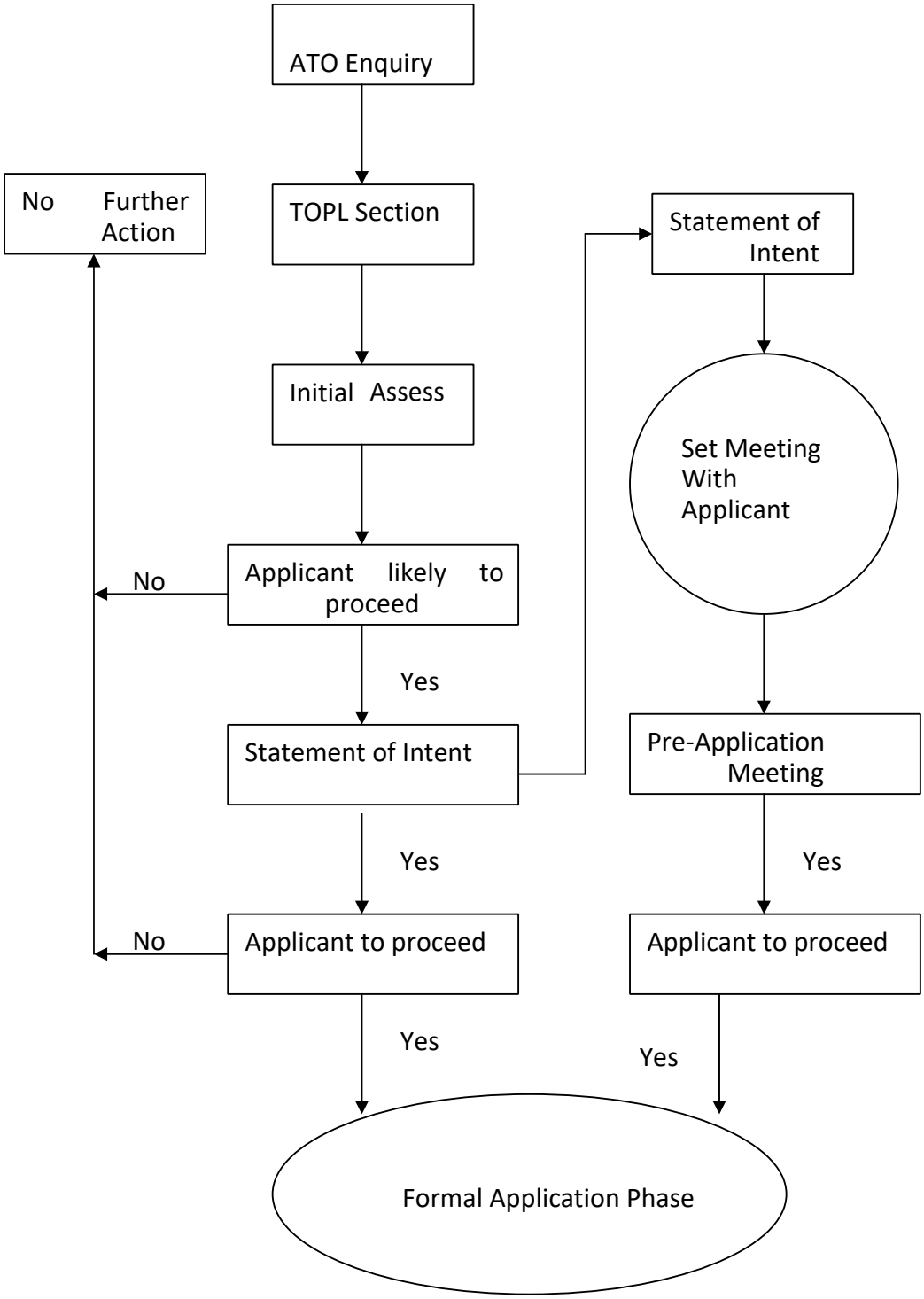
Inspector Signature:

Appendix E – Work sheet

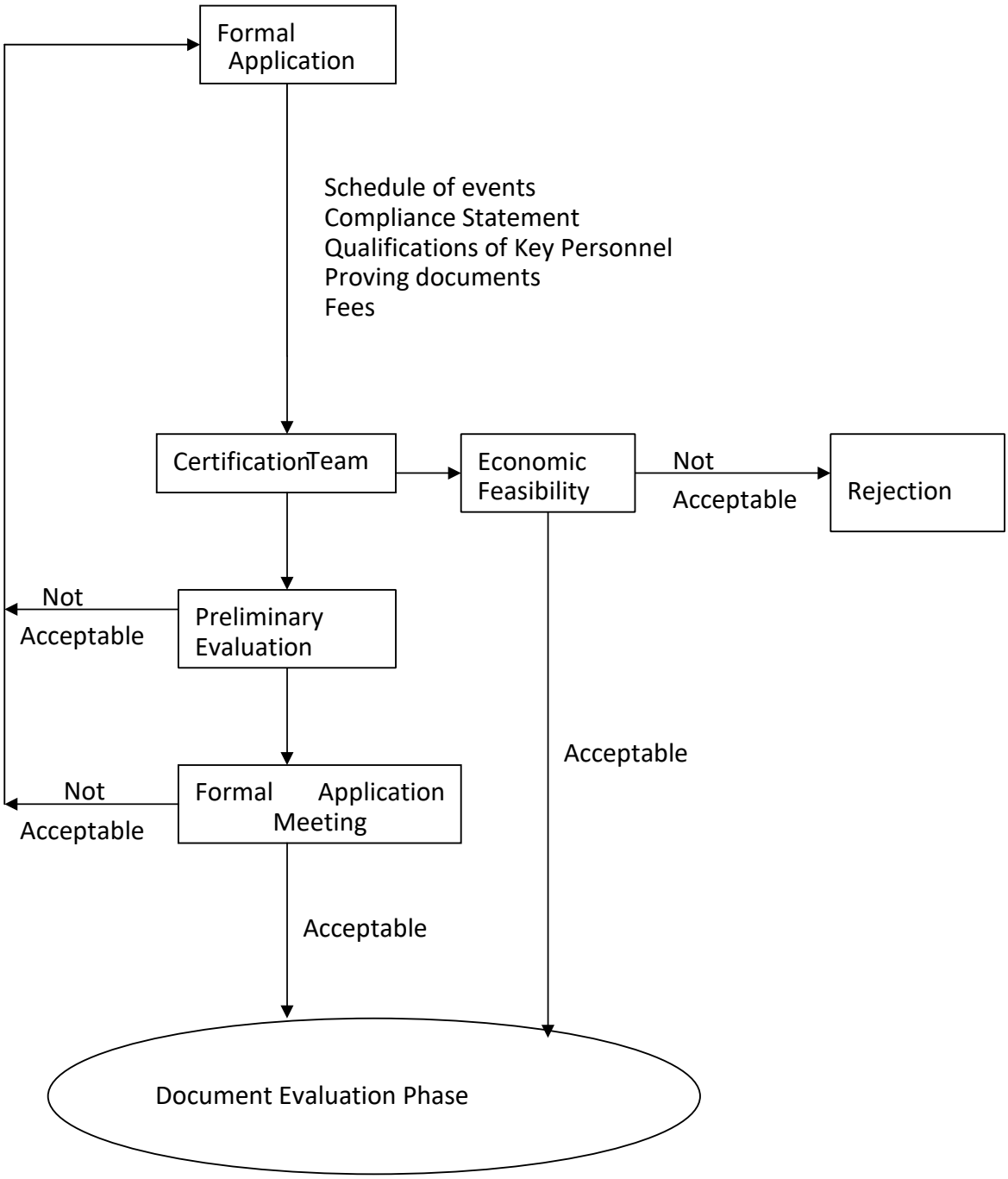
Name of the ATO	
Name of the applicant	
Date and time	
Location	
Reason for visit	
Remarks	
Applicant Signature	
Inspector Signature	

Appendix F - Certification Process

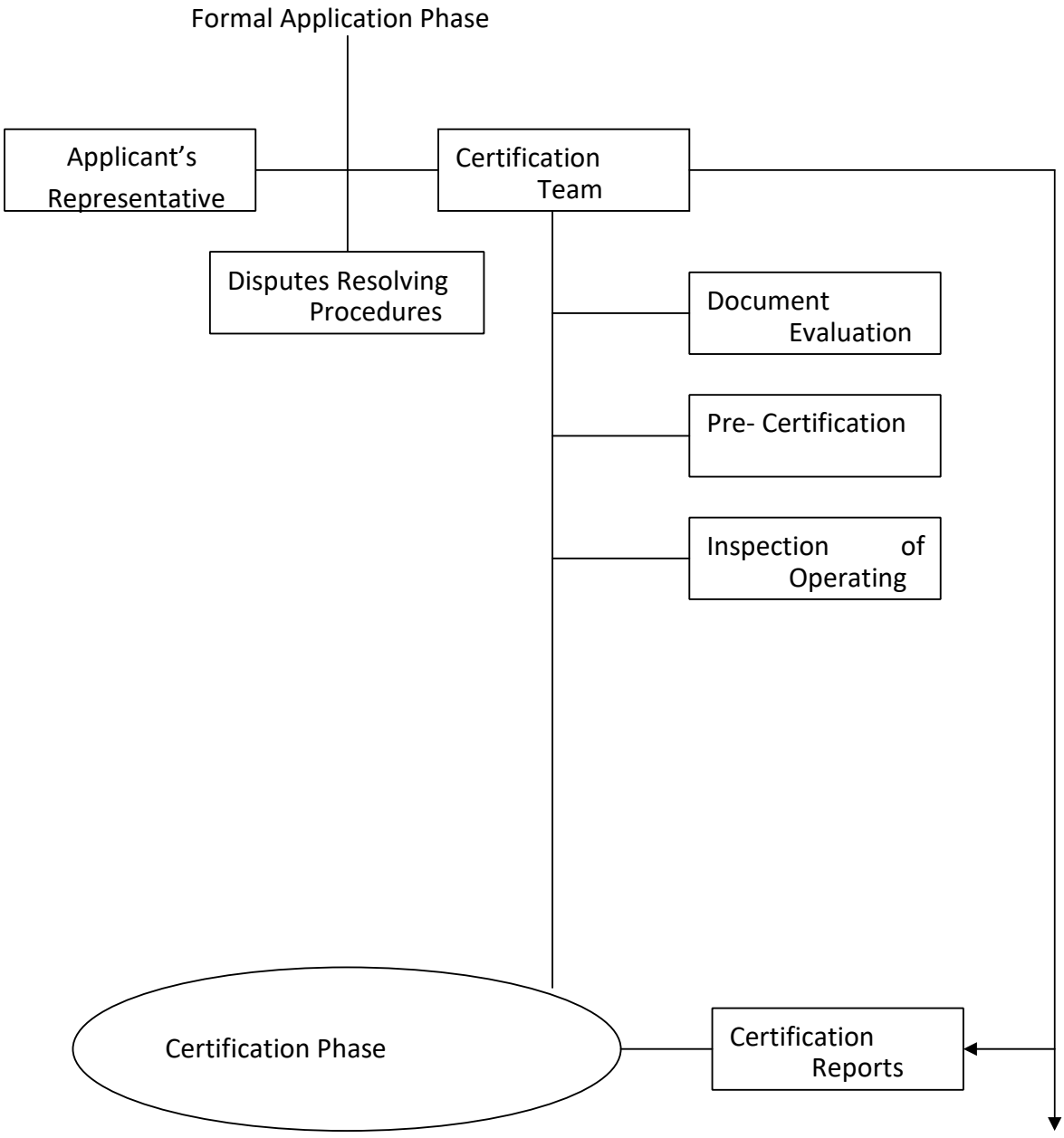
PRE-APPLICATION PHASE



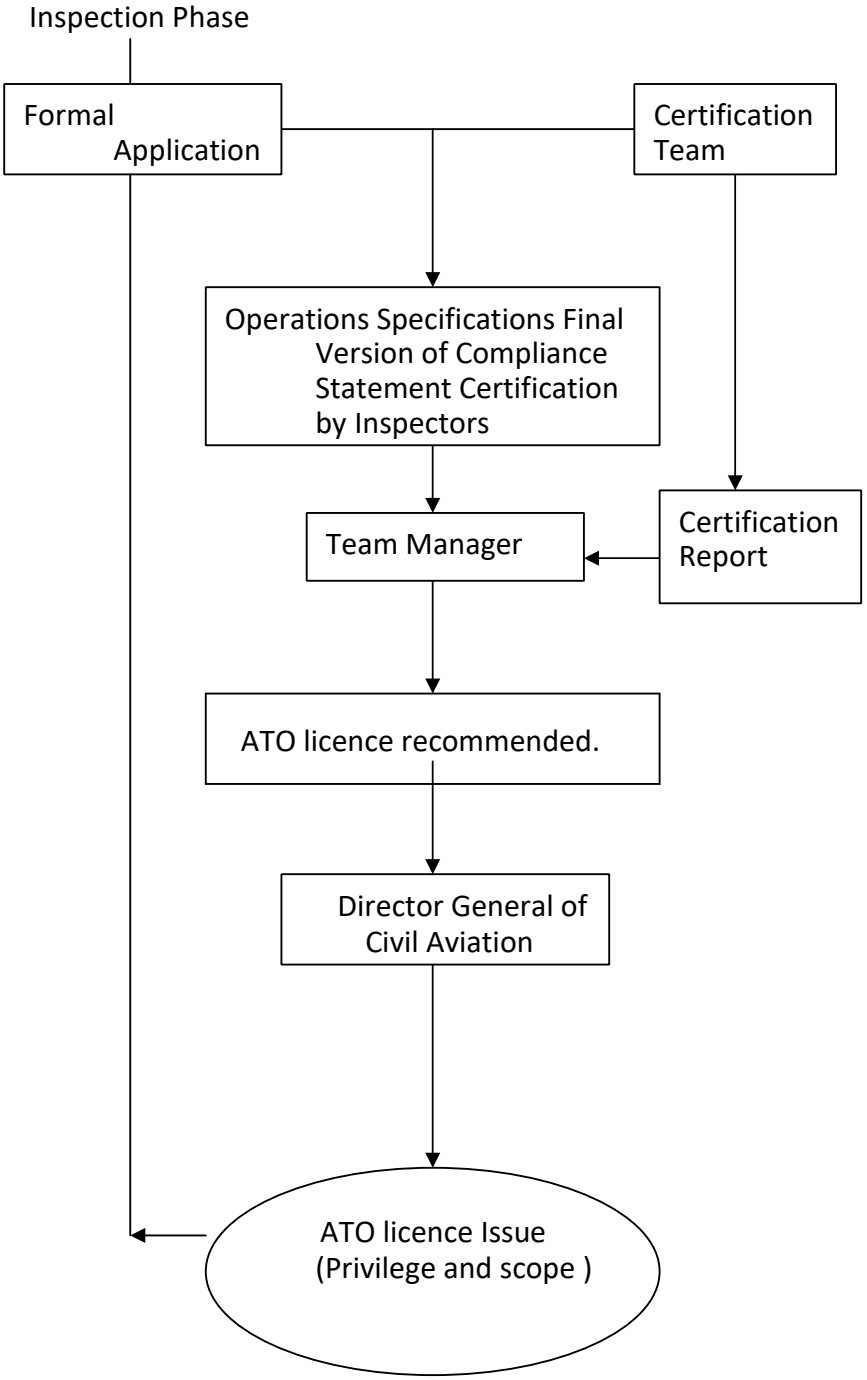
FORMAL APPLICATION PHASE



DOCUMENT EVALUATION AND INSPECTION PHASE



CERTIFICATION PHASE



Appendix G - Leased Aircraft Operations

BACKGROUND

The fundamental responsibility for the operation of an aircraft lies with the State of Registry. However, special conditions may arise as a result of aircraft leasing or interchanging agreements between an applicant or a holder of a license and an operator or leasing company in another State. Unless suitable arrangements are made, complex legal, safety and enforcement issues may arise for both the State of Registry and State of the Operator. It is therefore essential that agreement is reached on two key issues:

- If the lease agreement is for less than three months, the operational control of aircraft shall be the responsibility of the State of Registry.

- If the lease agreement is for more than three months, the State of the Operator and the State of Registry shall sign a 83 bis and the responsibility of the operational control and the safety oversight will be transferred to State of the Operator.

- It must be emphasised that the operator too has the overall responsibility of the safety oversight of the aircraft.

The above issues are interrelated responsibilities for the safe operation and airworthiness of an aircraft. These responsibilities are clearly defined in specific articles to the Chicago Convention and in Annex 6 Part 1 .In this regard the following articles are especially pertinent.

Article 12- Rules of the air.
Article 12 makes States responsible for ensuring that every aircraft carrying its nationality mark, wherever such aircraft may be, shall comply with rules and regulations relating to the flight and manoeuvre of aircraft.

Article 17, 18, 19 and 20- Nationality of Aircraft.
These articles provide that every aircraft have the nationality of the State in which they are registered; that an aircraft cannot be registered in more than one State, but its registration mat be changed from one State to another; and that every aircraft engaged in International air Navigation shall bear its appropriate nationality and registration marks.

Article 30 – Aircraft Radio Equipment.
Aircraft radios must be licensed by the Sate of Registry if they are to be carried in or over the territory of other contracting States. The use of radio apparatus must be in accordance with the

regulations of the State flown over. Radios can only be used by members of the flight crew licensed for that purpose by the State of Registry.

Article 31- Certificates of Airworthiness.
Every aircraft engaged in International navigation must be provided with a Certificate of Airworthiness issued or rendered valid by the State of Registry.

Article 32- Licenses of Personnel.
The pilot and crew of the aircraft engaged in international navigation must be provided with certificates of competency issued and rendered valid by the State of Registry. States can refuse to recognize, for the purpose of flight above their territory, certificates of competency and licenses granted to any of its nationals by another contracting State.

In addition to responsibilities which go with the nationality of an airplane, as enumerated in the preceding articles, States are required to approve and oversee all facets of their AOC holders' maintenance and flight operations in accordance with ASN 042 –2 Operational Certification and Supervision. Depending upon the exact nature of a lease agreement, these responsibilities may mix and overlap between two States.

Article 83 bis of the Chicago convention, which will come into full force upon ratification by the contracting States, provides that in case of lease, charter or interchange operations, the State of Registry may enter into an agreement with the State to which the aircraft is leased to transfer all or part of its responsibilities under articles 12,30,31 and 32.

The lessee shall be responsible to the CAA for the safe execution of ICAO Annex 1,6 and 8.

Definitions

Wet Lease – The lease of aircraft with crew
Dry Lease - The lease of an aircraft without crew

SPECIFIC PROCEDURES REGARDING LEASES

When an applicant or holder of a Sri Lanka Flying school / ATO Licence wishes to use leased aircraft for their operation, the following information shall be provided.
a) The aircraft type and serial number;
The name and address of the registered owner;
Sate of registry and registration marks;
Certificate of Airworthiness and a statement from the registered owner that the aircraft fully complies with the airworthiness requirements of the State of

Registry;
Certificate of Airworthiness;
Certificate of Registration
Certificate of GPWS Airworthiness
Certificate of ACAS Airworthiness
Certificate of BRNAV Airworthiness
Certificate of Noise
Certificate of Insurance.
Name, address and signature of lessee or person responsible for operational control of the aircraft under lease agreement, including a statement that such individual and the parties to the lease agreement fully understand their respective responsibilities under the applicable regulations;
A compliance statement from the lessee that it shall be responsible to the CAA to ensure that the Lessor shall be responsible for the Safety oversight for the aircraft and its operation;
A statement from the Lesse or Lessor as to the responsibility of removal of a disabled aircraft an Accident Victim Relief programme;
A " No Objection" letter from the State of Registry for the lease agreement
Copy of the lease agreement or description of lease provision; and
Duration of the lease.

After successful perusing of the above documents the CAA shall inspect the following.

Flight crewmember certification and training;
Other crewmember certification and training
Airworthiness of the aircraft and performance of maintenance;
Dispatch or flight following;
Signing the maintenance release
Scheduling of flight and other crewmembers

WET LEASE / DRY LEASE AGREEMENT

If it is a "Wet Lease", the lessor shall exercise operational control over the aircraft and the responsibility for the airworthiness and operational oversight of the airplane will remain with the State of Registry. However, the lessee shall be responsible to the CAA to ensure that the lessor carries out the safety oversight to the satisfaction of the CAA.

If it is a "Dry Lease" then the responsibility for the operational control lies with the State of Operator.

Appendix H - Special Requirements Introducing a New Aircraft Type

Items for Consideration

The following items must be considered where an applicant is planning to introduce a new type in to service in Sri Lanka. Some of these points may be duplicated in chapter 3.

H 1 Application.

a. Formal application tabled.
b. Applicable fee lodge.

H 2 Aircraft.

a. Type / Model.
b. Certification.
c. Number / delivery dates
d. Dates of entry in to service.
e. Valid Insurance Certificate

H 3 Flight Deck.

a. Configuration.
b. Instrument / nav. / comm.fit
c. Oxygen / smoke masks
d. Microphones / ICS
e. Checklist presentation
f. Stowage facilities
g. Special equipment
h. Safety equipment

H 4 Cabin.

a. Configuration
b. Galleys
c. CA seating
d. PA / ICS
e. Safety equipment
f. Special equipment
g. Emergency evacuation demonstration.

H 5 Flight Crew Training

a. Initial group
   i.number
   ii.status / qualifications
   iii.proposed training
   iv. venue / organization / dates
   v. concessions sought

b. Second group
   i. number
   ii. status / qualifications
   iii. proposed training
   iv. venue / organization / dates
   v. concessions sought

c. Mainstream
   i. proposed training
   ii.venue / dates

d. Flight Simulator:
   i. Type / Model / Visual system
   ii.Number / acceptance dates
   iii. Accreditation dates
   iv. Date of entry in to use
   v. Certificate of approval of the State of Manufacturer.

H 6 Inspector involvement

a. proposed training

b. venue / organization / dates

c. approval of initial group training
   i. ground
   ii. simulator
   iii. flight
   iv. observation associated with concessions sought

d. approval of second group training
   i. ground
   ii. simulator
   iii. flight
   iv. observation associated with concessions sought

H 7 Operations

a. Proposed route structure
b Destination aspects
c. Aircraft size and weight

d. Navigation aspects
e. Meteorological aspects
f. Special handling
g. Special ATC requirements
h. Noise abatement aspects
i. Special ground handling
j. Flight planning handling
k. Low weather aspects
l. Normal landing minima
m. Cat I/II/III aspects
n. Circling
o. Low visibility take-offs
p. Automatic flight
q. Auto land
r. Auto go-around
s. Fmes/pdes
t. Special requirements
u. Ditching certification
v. Nav system approval
w. Data collection
x. Aerodrome compatibility

H 8 Documentation

a. Airplane Flight manual
b. Operations manual
c. Training manual
d. Maintenance manual
e. MMEL/MEL f. Sri Lanka Maintenance Requirements Document (PMRD)

H 9 Maintenance aspects

a. Engineering licence
b. Requirements
c. Experience
d. Engineering training
e. Training of Company personnel

f. Training of CAA Inspectors
g. Maintenance Review Board
h. System of Maintenance
i. Support equipment

H 10 Maintenance trainer

a. Type/ model
b. Number/ acceptance date
c. Date of entry into use
d. Certificate of approval of the State of Manufacture

Appendix I - Responsible Person

The duties and responsibilities and authorities shall be clearly defined and that clear delineation of functional tasks and lines of reporting shall be established and documented. In this regard the operator shall have following persons responsible for the following areas and such person shall be approved by, and held accountable to the CAASL.

1. Accountable Manager
2. Head of Training
3. Chief Flight Instructor
4. Chief Theoretical Knowledge Instructor
5. Compliance Monitoring Manager, and
6. Safety Manager

NOTES:

1. The requirement for certain Nominated Post Holders for an ATO is subject to Training Organization and Personnel Licensing Requirements as per CAASL Implementing Standard 67 and stated below as per the scope & complexity of the operation.
2. Some of the above positions may be combined depending on the size and complexity of the operation, if the management structure is acceptable to CAASL.
3. Resumes should be provided containing information on the qualifications and expertise, including Licenses and ratings of personnel selected, for the positions of ATO.

Accountable manager (AM) :

Reference : ORA.GEN.210 (a)

The AM must be introduced to the CAASL by the Board of directors of the company holding the ATO certificate. He shall ensure that all ATO activities can be financed and carried out in accordance with the applicable requirements.

He shall have at least the following competencies :

1. Sufficient knowledge/proven experience over financial management;
2. Sufficient knowledge/proven experience over people management;
3. Sufficient knowledge/proven experience over national regulations requirements.

4. Sufficient Knowledge of the SMS process.
5. Sufficient Knowledge of the Compliance Monitoring process

Head of Training (HT) :

Reference :
ORA.ATO.110 (a);(b)
ORA.ATO.210 (a)
AMC1 ORA.ATO.110 (b)
AMC1 ORA.ATO.210 (c);(d)
AMC2 ORA.ATO.210 (a)

The HT must be introduced to the CAASL by the AM.

He shall ensure that the training activities of the ATO are in compliance with the applicable regulatory requirements and the satisfactory integration for flight training, simulated flight training and the ground instruction.

He should be responsible for the standardization of the didactic staff.

He shall supervise the progress of the students.

He shall have at least the following competences :

1. Should hold or have held in the 3 years prior to first appointment as HT, a professional pilot license and associated ratings or class rating issue in accordance with IS 72, related to the flight training courses provided.

2. In the case of ATO offering integrated course, the HT should be a person employed full time or part time, depending on the scope of the training offered.

3. In ATO offering only modular courses, type rating courses or theoretical knowledge instruction, the position of HT may be combined with the position of CFI or CTKI by a person with extensive experience in training.

4. In ATO providing training courses for different aircraft categories (Aeroplane, Powered-lift, Helicopter, Airship, Sailplane, Free balloon) the HT shall be assisted by one or more nominated deputy HT(s) for certain flight training courses

Chief flight instructor (CFI)

Reference :
ORA.ATO.210 (b)
AMC1 ORA.ATO.210 (c);(d)
AMC2 ORA.ATO.210 (b)

The CFI position exists only in ATO providing training for PPL, CPL,MPL and ATPL and the associated ratings and certificates.

The CFI must be introduced to the CAASL by the AM.

He shall ensure that the flight training activities of the ATO performed in aircrafts and/or FSTD are in compliance with the applicable regulatory requirements. He is ultimately responsible for ensuring quality and standards of the flight instruction. He shall be responsible for the supervision of flight and flight simulator training instructors and for the standardisation of all flight instruction performed in an aircraft and/or FSTD.

He shall have at least the following competencies :

1. Have completed 1 000 hours of flight time as pilot-in-command (PIC);
2. At least 500 of those hours should be instruction time;
3. 200 hours of the 500 hours may be instrument ground time;
4. Hold the highest professional pilot license and associated ratings related to the flight training course conducted;
5. Hold an instructor certificate with the privilege to instruct for at least one of the training course provided.

In the case of ATO offering integrated course, the CFI should be a person employed full time or part time, depending on the scope of the training offered.

Chief theoretical knowledge instructor (CTKI)

Reference :
ORA.ATO.210 (c)
AMC1 ORA.ATO.210 (c);(d)

The CTKI position exists only in ATO providing training for PPL,CPL, MPL and ATPL and the associated ratings and certificates.

The CTKI must be introduced to the CAA by the AM.

He shall be responsible for the supervision of all theoretical knowledge instructors and for the standardization of all theoretical knowledge instruction.

He shall have at least the following competencies :

1. Extensive experience as a theoretical knowledge instructor in the areas relevant for the training provided by the ATO.
2. In the case of ATO offering integrated course, the CTKI should be a person employed full time or part time, depending on the scope of the training offered.

Compliance monitoring manager (CMM)

Reference :
ORA.GEN.200 (a) (6)
ORA.GEN.210 (b)
AMC.ORA.GEN.200 (a) (6) (c)

The CMM must be introduced to the CAASL by the accountable manager.

He shall ensure that the activities of the ATO are monitored for compliance with the applicable regulatory requirements and any additional requirements established by the ATO.

He shall have at least the following competencies :

1. Sufficient knowledge/proven experience related to the activities of the organisation;
2. Sufficient knowledge/proven experience in compliance monitoring;
3. Sufficient knowledge/proven experience over national regulations requirements related to the organization's activities.

In the case of non-complex organization, the AM may exercise the CMM tasks but he cannot perform the compliance audits himself (independence). This task has to be delegated to a third person.

Safety Manager (SM)

Reference :
AMC1.ORA.GEN.200 (a)(1);(2);(3);(5)
AMC1.ORA.GEN.200 (a)(1)
GM1 ORA.GEN.200 (a)(1)

The SM must be introduced to the CAASL by the accountable manager.

He shall coordinate the safety management system of the ATO. He is responsible for the development, administration and maintenance of an effective safety management system.

He shall have at least the following competencies :

1. Sufficient knowledge/proven experience in hazard identification, risk analysis and management;
2. Sufficient knowledge/proven experience related to the activities of the organisation.

In the case of non-complex organisation, the AM or a person with an operational role in the organisation may exercise the SM tasks

Appendix J – ATO Manual

<u>This is Guidance Material only</u>

ALL ATOs should adhere to all relevant Implementing Standards and SLCAPs in Preparing Organization Management Manual, Operations Manual and Training Manual separately or as three sections in one Manual.

<u>Format of the Manual</u>

1. Name of Manual (Management, Operations and Training Manual)
2. Record of Revision
3. History of Revision
4. List of Effective pages
5. Preamble / Foreword
6. Table of Contents
7. Abbreviations
8. Definitions
9. Chapters – **Use the guidance and include procedures as relevant**
   Part 1- Organizations Management Manual
   Part 2-Operations Manual
   Part 3- Training Manual
10. Appendixes
    Insert relevant appendixes for part 1, part 2 and part 3 accordingly.
11. Index

PART 1 – Organization Management

1. Management Procedures
2. Compliance Monitoring Management
3. Safety Management

PART 2 – Operations Manual

4. General
5. Technical
6. Route
7. Personnel Training

PART 3 – Training Manual

Required to prepare the proposed training programs compliance to the Implementing Standard 67 & 72 separately.

Training Manual/program

(a) The training plan
(b) Briefing and air exercises
(c) Flight training in an FSTD, if applicable
(d) Theoretical knowledge instruction

Training programs

8. PPL Training Program
9. CPL Modular Training Program
10. IR Modular Training Program
11. ATP Modular Training Program
12. CPL Integrated Training Program
13. CPL/IR Integrated Training Program
14. ATP Integrated Training Program
15. Type Rating Training Program
16. FI Rating Training Program
17. …

Sample Appendices

Appendix 1 – Student Agreement
Appendix 2- Enrollment Certificate
Appendix 3 – Audit Schedule
Appendix 4 – Audit Checklist Compliance Monitoring System Inspection
Appendix 5 – Internal Audit Report Form
Appendix 6 – Feedback forms
Appendix 7 – Safety Management System Checklists
Appendix 8 – Safety audit plan
Appendix 9 – Suggestions for Changes / Safety Concerns Form
Appendix 10– Progress Test Report Forms
Appendix 11 – Student Record Sheets and skill test Forms
Appendix 12- Course Completion Certificates
Appendix 13 – Navigation Log
Appendix 14 – Time tables
Appendix 15 - ….

Appendix K - Pre Certification Facility Inspections

K 1 General

Civil Aviation Authority inspectors will conduct pre-certification inspections to ensure that the requirements of Civil Aviation Act No 14 of 2010 and other specific operating regulations and relevant manuals are met with regard to facilities, staff and equipment. Facilities and equipment provided for staff and students must be adequate to allow them to carry out their duties in compliance with regulations.

The following paragraphs provide guidance to the ATO preparing for a pre-certification inspection.

K 2 Management and Instructors

The duties and responsibility of key post holders must be clearly defined in writing, and chains of responsibilities firmly established. Furthermore, it is important that the operational management should have proper status in the organization. The number and nature of appointments will vary with the size and complexity of the organization and the DGCA must be satisfied that the management organization is adequate and properly matched to the operating network and commitments.

The Civil Aviation Authority of Sri Lanka must be given notice of any intended change in appointments or functions.

K 3 Facilities

An ATO should have access to facilities appropriate to the size and scope of the intended operations provided in an environment conducive to learning as per IS 67, IS 72, SLCAP 3090 and ICAO Doc. 9841. Typically these will include Flight operations:

- Flight operations room or area
- Flight planning room or area
- Adequate briefing room(s)
- Facilities for instructors

Knowledge instruction:
- Classrooms
- Suitable demonstration equipment
- Library
- Radio-telephonic and language training and testing area (if appropriate).

K 4 Record Keeping

The quantity and scope of records which must be kept should not be underestimated. Some records, for example those covering Instructors and students flight and duty times require constant updating and continuous access. Adequate staff must be employed to ensure accurate maintenance of records in the areas of training, personnel and aircraft maintenance. Operations and / or maintenance may be required around the clock, accordingly, records staff may be required to cover shifts.

Although an efficient training is mainly a commercial concern to the company there are times when the Civil Aviation Authority of Sri Lanka is interested in the level of efficiency achieved. One such occasion concerns the ability of certain company personnel to access records.

Accurate and complete record-keeping is an important aspect of complying with the approval. It is also an essential tool for the ATO to ensure the continuity and consistency of its training. The record-keeping system of an ATO should have the following characteristics:

Completeness: The records kept by the training school should be sufficient to provide documentary evidence of each training action and allow the reconstruction of the training history of each student or instructor in the organization.

Integrity: It is important to maintain the integrity of records in ensuring that they are not removed or altered. A backup system of the records is also necessary to ensure continuity in case of a major disaster.

Each training organization should also establish rules on archiving personal records that are non-active. The rule on archiving records should also be consistent with the national requirement and the requirements contained in Annex 1, IS 50, IS 67 and ICAO Doc 9841 chapter 9.

K 5 Retention of records

The ATO shall retain detailed student records to show that all requirements of the training course have been met as agreed by the Licensing Authority.

The minimum retention period for training records must ensure that a person's pertinent training and qualification status can be determined for any given date during the request period, which may vary between ATOs but could up to 36 months. The records shall be kept for a minimum period of two years after the instructor or examiner ceases to perform a function for the training organization.

For each aircraft operated, maintenance records as must be accurate and up to date.

K 6 Library

At each operating base/ hanger station the operator should maintain at adequate and appropriate library of Aviation Regulations, Standards, AIP, Training and Procedure Manual, Flight Supplement, Charts, Aircraft Flight Manuals, Aircraft Operating Manuals, Standard Operating Procedures, maps, and other documents needed for reference and planning purposes, and for carriage in flight. The library should be kept in an orderly manner.

Arrangements should be made for the amendment of manuals and for notifying the amendments to the Students, Instructors and other operating staff concern. A record should be kept of the distribution of the manuals and amendments.

K 7 Instructors and students scheduling

The commercial aspects of efficient scheduling is the ATO's business. The Civil Aviation Authority of Sri Lanka's interest is in adherence to flight and duty time regulations and the scheduling of only qualified instructors. Accordingly, the ATO must have facilities to ensure that these requirements are met.

K 8 Instructor room

Arrangements must be in place to ensure instructors are provided with manual amendments, document revisions and operational notices in an appropriate and timely manner. One acceptable method is to place boxes or pigeon holders, one for each instructor based at that location, in or close to the room. The instructor room notice board can form a suitable point of contact between the company and its instructors for urgent operational messages.

K 9 Flight Planning Facilities

There are two operations with respect of flight planning. Preparation of the flight plan may be undertaken by a dispatcher and checked by the captain, or the plan may be prepared by the captain. The method chosen depends on the qualifications of and the responsibilities given to the specialist officer concerned. The flight plan may be prepared manually or where approved by the Civil Aviation Authority of Sri Lanka, by computer. In the latter case facilities should also permit manual flight planning to cover non-availability of the computer.

A company operating its own flight planning facility will need to collect weather and operational information (NOTAM) from the various sources. The flight planning facility will need to transmit the completed flight plan both to air traffic control and to company personnel at intended ports of call. Alternative means of transmission of the flight plan, for

example by telephone , should be considered, although not mandatory, display of weather diagrams would be beneficial, as would a system whereby arriving crew brief the flight planning office on the weather conditions they encountered.

K 10 Operational control

While operating aircraft operational control will rest solely with the pilot in command. ATO should consider the guidance they wish to provide their pilots to help them exercise this responsibility. The ATO should also review the operational information service provided by the Civil Aviation Authority of Sri Lanka and provide any additional information they consider necessary.

K 11 Load Control

The operator is responsible for establishing an approved system of load control, and the proposed system must be approved by the Civil Aviation Authority of Sri Lanka and described in the manual.

Calculation of aircraft weight and balance using the approved system may be the responsibility of the flight crew, although it is more usual to employ a separate load control officer. Whichever method is used a reasonable accurate aircraft weight is needed at the flight planning stage for comparison with performance chart to determine limiting conditions. To allow for last minute changes, which are accepted as being unavoidable, it is permissible to have a traffic officer bring the final version of the load sheet to the flight deck, immediately prior to closing the doors.

K 12 Training Facilities

Training facilities and instructors will be scrutinized. Training will generally be an ongoing requirement and the amount of associated effort is easy to underestimate.

The Civil Aviation Authority of Sri Lanka will consider the requirements laid down in the IS 67 and approved Manuals, when classroom facilities are being inspected;

If flight simulator training is proposed, the simulator facilities will require detailed assessment and approval.

The instructors will require specific approval to conduct their proposed tasks. Such staff should be prepared to demonstrate competence in the area of their proposed expertise by showing the following;

a. that they understand the subject
b. that they can impart information to the class or student.

c. that they can adequately assess the results achieved by the class or student.

The Civil Aviation Authority inspectors are required to individually assess instructors in the following categories;

a. Ground instructors
b. Flight Instructors
c. Flight simulator instructors.

K13 Inspection of Aircraft

The aircraft will be inspected by inspectors of the CAA. The basis of this inspection is as follows;

a. To determine that the equipment meets safety standards.
b. To ensure that the communications and navigation equipment is appropriate to the proposed operation.
c. To ensure that the flight deck controls and equipment match the description in the manual and conform to the aircraft checklist.

The aircraft inspections may be carried out at any time prior to certification but it would be desirable to have the aircraft inspected before they are used for training to gain maximum benefit to the operating and training personnel.

Each aircraft in the fleet will be inspected even where a number of supposedly identical machines are acquired. Portions of the inspections may be combined with surveillance of training and consideration must be given to the use of applicable items of equipment at night.

Inspection of the safety equipment in the flight deck is to ensure the equipment meet the safety intention of the regulations. Airworthiness inspectors will determine that the equipment are of certified standard.

Appendix L- Application for the revalidation of ATO Certificate

CAA/PL/R/08

APPLICATION FOR REVALIDTION OF ATO LICENCE

Particulars of the Applicant

i. Name of the Flying school / ATO:

ii. Address :

iii. Name of Accountable Manager:-

Telephone(s):-

Fax:-

E-mail:-

iv. Approved Training Courses

Private Pilot Licence	☐
Commercial Pilot Licence (Modular)	☐
Commercial Pilot Licence (Integrated)	☐
Instrument Rating (Modular)	☐
Commercial Pilot Licence with Instrument Rating (Integrated)	☐
Air Transport Pilot (Modular)	☐
Air Transport Pilot (Integrated)	☐
Multi Pilot Licence	☐
Other …….	☐

v. Sites and Facilities

	Facilities	Remarks
a	Details of Tenure of premises	
b	Lecture rooms/CBT rooms	
c	Briefing rooms	
d	HoT's office	
e	CFI's office	
f	CTKI's office	
g	CMM's office	
h	SM's office	
i	Flight Simulation Training Devices	
j	Flight planning rooms	
k	Student rest rooms	
l	Instructor rest rooms	
m	Rooms for administration staff	
n	Library	
o	Wash rooms	

vi. Economical Data

i. Rates:

(Please furnish particulars of all rates applicable to be charged on the training proposed, including particulars of ground training, flying training on hourly basis and with or without flying instructors, or per training program)

ii. Financial status:

(Please attach following documents)

Details of the financial structure of the organization

Proof for the paid up capital / capital contribution

Certified copy of the applicant's last balance sheet

Certified copy of the profit & loss account Cash flow account for the next two years

vii. Particulars regarding personnel

Position	Name	Email and Phone	Remarks
Accountable Manager			
Head of Training			
Chief Flight Instructor			
Chief Theoretical Knowledge Instructor			
Compliance Monitoring Manager			
Safety Manager			
Flight Instructors			
Theoretical Knowledge Instructors			

viii. Aircraft / FSTD details

Note 1: Attached all of following documents

Note 2: Aircraft / FSTD shall be included in the scope (Operations Specifications) subject to the validity of the following documents.

1. Certificate of airworthiness
2. Certificate of registration
3. Aircraft Station Service Licence
4. Insurance

IF FSTD approval certificate and related documents to be attached.

ix. Particulars regarding maintenance facilities

Attached the AMO approval

Date

Signature of Accountable Manager

Appendix M – Key Post Holder Nomination

CAA/PL/M/35

Application for approval of nominated post holders

This form shall be filled and submitted by the accountable Manager of the ATO with details of Nominated Post Holder for the approval from the DGCA.

Name of Organization	
Nominated Position	
Name	
Telephone	
Email address	
Qualifications relevant to the nominated position	
Trainings relevant to the nominated position	
Work experience relevant to the nominated position	
Licences hold/ held	

I certify that the information given above in the application are true and correct.

Name:-…….

Signature:-……

Date:- ……

Note 1 : Please attach further details on a separate sheet if necessary

Note 2: Accountable Manager shall submit a written request for the acceptance of the post holder with this application and following supporting documents.

- Post holder's CV
- Post holder's JD
- Post holder's applicable certificates
- Working agreement or contract

Note3 : DGCA must be notified immediately on changing of post holders

Note 4 Change of post holders need to make the payment prior to the interview of the post holder.

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/PL/CL/57-a

Interview Check List for Accountable Manager

Date of Evaluation	
Name of the Flying school / ATO	
Name of the Nominee	
Signature	

Item	**Status**		**Remarks**
	sat	**unsat**	
Check formal appointment letter			
Curriculum vitae			
Check Job Description			
Knowledge requirement 1. Duties & responsibilities 2. Organization Manual 3. Compliance Monitoring 4. Safety Management			
Financial Capability			
Awareness of legal responsibilities and legal repercussions			

Remarks:

Satisfactory:		**Unsatisfactory:**	

Name/s and Signature/s of Interview Panel:

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/PL/CL/57-b

Check list for Interview for Head of Training

Date of Evaluation	
Name of the Flying school / ATO	
Name of the Nominee	
Signature	

Item	**Status**		**Remarks**
	sat	**unsat**	
Check formal appointment letter			
Curriculum vitae			
Check Job Description			
Qualification 1. Extensive* experience as in training as an instructor for professional pilot licences and associate ratings and certificates. 2. should hold or have held in the 3 years prior to first appointment as HT, a professional pilot licence and associated ratings or certificates issued in accordance with Implementing Standard 72, related to the flight training courses provided.			
Knowledge requirement Duties & responsibilities Organization Manual Operation Manual Training Manual-Training Programmes Compliance Monitoring Safety Management			
Remarks:			

Satisfactory:		**Unsatisfactory:**	
Name/s and Signature/s of Interview Panel:			

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/PL/CL/57-c

Check list for Interview for Compliance Monitoring Manager

Date of Evaluation	
Name of the Flying school / ATO	
Name of the Nominee	
Signature	

Item	**Status**		**Remarks**
	sat	**unsat**	
Check formal appointment letter			
Curriculum vitae			
Check Job Description			
Qualification Auditing techniques training Training on CAASL regulations/ ICAO SARPs			
Knowledge requirement Applicable regulations related to ATO Duties & responsibilities Organization Manual Operation Manual Training Manual Compliance Monitoring Safety Management			
Remarks:			

Satisfactory:		**Unsatisfactory:**	
Name/s and Signature/s of Interview Panel:			

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/PL/CL/57-d

Check list for Interview for Safety Manager

Date of Evaluation	
Name of the Flying school / ATO	
Name of the Nominee	
Signature	

Item	Status		Remarks
	sat	unsat	
Check formal appointment letter			
Curriculum vitae			
Check Job Description			
Qualification Safety Management training Training on CAASL regulations/ ICAO SARPs Safety/quality management experience; Operational experience; (OPTIONAL) Technical background to understand the systems that support operations;			
Knowledge requirement Duties & responsibilities Organization Manual Operation Manual Training Manual Compliance Monitoring Safety Management			

Competencies People skills; Analytical and problem-solving skills; Project management skills; and Oral and written communications skills.			
Remarks:			
Satisfactory:		Unsatisfactory:	
Name/s and Signature/s of Interview Panel:			

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/PL/CL/57-e

Check list for Interview for Chief Flying Instructor

Date of Evaluation	
Name of the Flying school / ATO	
Name of the Nominee	
Signature	

Item	**Status**		**Remarks**
	sat	**unsat**	
Check formal appointment letter			
Curriculum vitae			
Check Job Description			
Qualification 1. hold the highest professional pilot licence and associated ratings related to the flight training courses conducted 2. hold an instructor certificate with the privilege to instruct for at least one of the training courses provided 3. have completed 1 000 hours of flight time as pilot-in-command 4. At least 500 of those hours should be on flying instructional duties related to the flying courses provided, of which 200 hours may be instrument ground time			
Knowledge requirement 5. Duties & responsibilities 6. Organization Manual 7. Operation Manual 8. Training Manual 9. Compliance Monitoring 10. Safety Management			

11. Threat and Error Management			
12. Upset Prevention and Recovery Training			
Remarks:			
Satisfactory:		**Unsatisfactory:**	
Name/s and Signature/s of Interview Panel:			

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/PL/CL/57-f

Check list for Interview for Chief Theoretical Knowledge Instructor

Date of Evaluation	
Name of the Flying school / ATO	
Name of the Nominee	
Signature	

Item	**Status**		**Remarks**
	sat	**unsat**	
Check formal appointment letter			
Curriculum vitae			
Check Job Description			
Qualification 1. extensive experience as a theoretical knowledge instructor in the areas relevant for the training provided by the ATO			
Knowledge requirement 5. Duties & responsibilities 6. Organization Manual 7. Operation Manual 8. Training Manual 9. Compliance Monitoring 10. Safety Management			
Remarks:			
Satisfactory:		**Unsatisfactory:**	
Name/s and Signature/s of Interview Panel:			

Appendix N – Monthly Statistics

CAA/PL/M/36/01

Details of Student Enrollment

Flying School/ ATO :

Month/Year :

Serial No	Name of the Student	Approved Enrolled Course	Enrollment Date	Pre-requisites satisfied (Yes/ No)

Note : Copy of Enrollment Certificates need to be submit along with this form

Students Details – Ground Training

Flying School/ATO :
Month/Year :

Name of the student	Subjects already completed	Subjects completed in this month	Remarks
ATPL			
CPL			
PPL			
OTHER (FI/Type…)			

Theoretical Knowledge/Ground Instructors & hours completed

Flying School/ATO :
Month/Year :

Date	Instructor	Course (PPL/CPL/AFI/…..)	Subject	Completed hours

Details of Students Transferred for Flying Training

Flying School/ ATO :

Month/Year :

Training Course :

Serial No	Student Name	Date of commencement of flying training

Students' Flying Roster

Flying School/ATO:

Month/Year:

Name of Student	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
PPL																															
CPL																															
OTHER (AFI/ Type…)																															

Total Flying Details of Students per day (No. of hours)

Flying School/ATO :

Month/Year :

Name of Student	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
PPL																																
CPL																																
OTHER (AFI/Type…)																																

Solo Flying Details of Students per day (No. of hours)

Flying School/ATO :

Month/Year :

Name of Student	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total
PPL																																
CPL																																

Students list – Flight Training

Flying School/ATO :
Month/Year :

Name of the student	Number of hours already completed	Number of hours completed during this month	Number of hours to be completed	Remarks
PPL				
CPL				
OTHER (AFI/Type…)				

Details of students who completed the courses during the month

Flying School/ ATO :
Month/ Year :

Serial No	Name of Student	Enrollment Date	Enrolled Course	Course Completed Date

Instructor's Flying Roster

Flying School/ATO:

Month/Year:

Name of the Flying Instructor	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31

Instructor's Flying Details (No. of hours)

Flying School/ATO:

Month/Year:

Name of the Flying Instructor	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total

Aircraft Flying Details

Flying School/ATO :
Month/Year :

Serial No	Aircraft	Number of flying hours done for training	Number of other flying hours	Total Flying hours during the month

Schedules of the proposed theoretical knowledge courses during the next month

Appendix O-Application for Amendment of ATO Licence

CAA/PL/M/37

This form shall be filled and submitted by the accountable Manager of the ATO with relevant details the approval from the DGCA.

Name of Organization	
Propose Change to the ATO	Addition of a course
	Addition of aircraft
	Addition of FSTD
	Addition of new site
	Other ……
Propose Training Programme	
• Training Programme approval	
• Instructor Approval	
New aircraft details	
• C of A	
• C of R	
• Insurance	
• TRC	
FSTD	
• FSTD Approval	
• Instructor Approval	
New Training site	
• Address	

• Telephone	
• Email	

Name:-…….

Signature:-…… Date:-
……

Note 1 : Application for the amendment of ATO certificate shall be at least 30 days before the date of the intended change. Note 2: Accountable Manager shall submit supporting documents relevant to the amendment. Eg:- Addition of aircraft (C of A certificate, C of R certificate, Insurance, TRC, etc.. Note3 : Relevant payment to be made prior to the evaluation of the amendment.

Appendix P – Assessment Sheet for CFI Evaluation

S – Satisfactory
SB – Satisfactory with Briefing
U – Unsatisfactory

CAA/PL/M/38

	Task	S	SB	U	Comments
	Administration				
01	Validity of licence CPL/ATPL				
02	Validity of Medical				
03	Maintaining the log book				
04	General knowledge on regulations				
05	Knowledge about manuals				
	Pre- flight preparation/Briefing				
01	Teaching Techniques				
02	Lesson Planning				
03	Analysis and correction of student errors				
04	Human performance relevant to flight instruction				
05	Weather information				
06	Operation of system				
07	Performance & limitations				
08	Airworthiness requirements				
	Pre- flight procedures				
01	Preflight inspection				
02	Cockpit management				
03	Engine starting				
04	Taxiing				
05	Before take-off check				
	Take-offs, Landings & go around				
01	Normal & crosswind take-off				
02	Maximum performance				
03	Normal & crosswind approach				
04	Slip to a landing				
05	Go around / rejected landing				
	Fundamentals of flight				
01	Straight & level flight				
02	Level turns				
03	Straight climbs & climbing turns				
04	Straight descent & descending turns				

	Performance manoeuvres Slow flights, Stalls				
01	Maneuvering during slow flight				
02	Power on stalls				
03	Power off stalls				
	Basic instrument manoeuvres				
01	Straight & level flight				
02	Constant airspeed climbs				
03	Constant airspeed descent				
04	Turns to headings				
05	Recovery from unusual flight attitudes				
	Emergency operations				
01	Systems & equipment malfunctions				
02	Engine failure during take-off				
03	Engine failure after lift-off				
04	Emergency descent				
05	Emergency equipment				

COMMENTS

.....
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.....
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.....
.....

.....
Date

.....
CAASL Inspector/Examiner
Name and Signature

Appendix Q – Sample ATO Licence Format

ATO Certificate No: **XXXXX (##)** File Ref No: **PL/ ##/ ##**

CIVIL AVIATION AUTHORITY OF SRI LANKA

APPROVED TRAINING ORGANIZATION CERTIFICATE

Pursuant to the Section 69 of Civil Aviation Act No.14 of 2010, this Approved Training Organization Certificate is issued by the Director General of Civil Aviation to:-

NAME OF ORGANIZATION

ADDRESS OF ORGANIZATION.

As an Implementing Standard 67 certified training organization with the privilege to provide Implementing Standard 72 training courses, including the use of aircraft and FSTDs, as listed in the attached training course approval.

CONDITIONS:

1) This certificate is limited to the privileges and the scope of providing the training courses, including the use of aircraft & FSTDs as listed in the attached training course approval.
2) This certificate is valid until .....(Date)..... or until the approved organization remains in compliance with Civil Aviation Act No. 14 of 2010, Implementing Standard 67, Implementing Standard 72 and other applicable regulations unless the certificate has been surrendered, superseded, limited, suspended or revoked.

Issue Date: ##/##/##

Director General of Civil Aviation &
Chief Executive Officer

Date effective ##/##/## until ##/##/##.

APPROVED TRAINING ORGANIZATION CERTIFICATE

TRAINING COURSE APPROVAL

Attachment to ATO Certificate Number:

ATO Certificate No:XXXXXX(##)

Name of Organization

has obtained the privilege to provide and conduct the following Implementing Standards 72 training course and to use the following Aircraft & FSTDs.

Approved Training Courses	Aircraft and FSTDs including registration

This training course approval is valid as long as:

a) the ATO certificate has not been surrendered, superseded, limited, suspended or revoked; and
b) all operations are conducted in compliance with Civil Aviation Act No. 14 of 2010, Implementing Standards 67, Implementing Standards 72, SLCAP 3090, other applicable regulations, and, when relevant with the procedures in the organization's documentation as required by implementing standards 67.

Date of Issue: ##/##/##

Director General of Civil Aviation &
Chief Executive Officer