Civil Aviation Authority of Sri Lanka

AIRWORTHINESS OFFICE PROCEDURES MANUAL

2nd Edition – 2018

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

AIRWORTHINESS OFFICE PROCEDURES MANUAL

Volume One

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06	01.10.2021				

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History of Revision

Revision Number	Source	Areas Subjected to change	Effective Date
2nd Edition	Implemented by AW	Manual implemented including new Procedures in accordance with new regulation	10-04-2018
Rev 01	Implemented by AW	Chapter 01 – Inserted Record Keeping Procedure Chapter 06 – Transferred the existing Chapter to IHB and new procedure for RVSM inserted Chapter 14 – Approval of MEL Procedure Inserted	07-06-2018
Rev 02	Implemented by AW	Chapter 03 – Amended with New MC-02 Chapter 15 – Inserted Procedure for Aircraft Lasing	12-06-2018
Rev 03	Implemented by AW	Section 3, Chapter 07 – amended including procedure for Scrap Parts	04-04-2019
Rev 04	Implemented by AW	Section 2, Chapter 11 – Requirements for Continuing Airworthiness	01-01-2020
Rev 05	Implemented by AW	Section 2, Chapter 11 – 11.3.11 - Continuous Monitoring Amendment of the Table of Content of Section Three & Volume Two	01-06-2020
Rev 06	Implemented by AW	Section 2, Chapter 1 – 1.4 – Registration Procedure Removed the item “Copy of the certificate of insurance” under item “B”	01-10-2021

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FOREWORD

Sri Lanka being signatory to the Chicago Convention on International Civil Aviation obliged to comply with the Standards and Recommended Practices (SARPS) contained in the nineteen Annexes to the Convention. Implementation of the SARPS by Contracting States ensures uniformity in the conduct of international civil aviation business. It further provides suitable grounds to Contracting States to understand appreciate and honor each other's standards and requirements, which also enables harmonization of systems.

Annex 7, which specify the SARPS on Aircraft Nationality and Registration Marks, Annex 8, specifies on airworthiness of aircraft and Annex 16 on Environment protection have been implemented in Sri Lanka in terms of the Air Navigation Act No. 15 of 1950. The necessary Regulations are provided in the Air Navigation Regulations of Sri Lanka, 1955, as amended from time to time. The associated requirements and procedures necessary for the purpose of implementing the International Civil Aviation Organization Annexes and Air Navigation Regulations are published by the Director General of Civil Aviation as implementing requirements and procedures of Airworthiness and also by the issue of Implemeting Standards for those Requirements.

The above legal framework provides the necessary authority and basis to conduct civil aviation regulatory functions and industry affairs. The Airworthiness system, which is one of the regulatory functions too functions under the above legal framework.

The purpose of the Airworthiness Office Procedures Manual (AOPM) is to provide necessary administrative guidelines based on the legal provisions, to personnel involved in inspection, issuance and renewal of registration and airworthiness of Sri Lankan registered aircraft, Aircraft Maintenance Organizations and certificates related to therein. It further addresses important routine matters.

Airworthiness Office Procedures Manual (AOPM) clearly stipulates guidelines for Airworthiness staff to follow the exact procedures how to work, by providing "easy to work" format in the form of a check list for every function of routine work concerning inspection, issuance, renewal of all the certificates handled by the section.

Also Airworthiness Office Procedures Manual (AOPM) recognizes different work positions of the section identifying the responsibilities and limitations of each position. In addition flow of progress of work within the section is also enumerated specifically leaving very little or no room for error during the process.

In cases where the Implementation Procedures of the Regulations or the contents herein are not clear, require interpretation or the case in hand is not covered, please seek clarification from the immediate Supervisor. For this purpose, Deputy Director, the Head of Airworthiness Section of Civil Aviation Authority is considered as the Supervisor at the highest level.

Nothing in this publication is intended to conflict with Air Navigation Regulation of 1955 and the IS issued in regards to the airworthiness functions which are current at the time of first publication of this manual or other regulation which, in case of doubt, must be regarded as overriding.

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.

This manual contains two volumes.

Volume One

Section One	-	Gives an overview of the Airworthiness Section and administration.
Section Two	-	The technical guidance required to perform airworthiness functions.
Section Three	–	Industry Guidance to the operator

Volume Two

Gives the more commonly used Check Lists/forms and Standards Reports.

The section one is almost an updated version of the Office Manual (SLCAP 5250) applicable to airworthiness section. While SLCAP 5250 is updated once a year, this section of the manual is frequently updated to meet day to day requirements.

The section two, Three and volume two are live documents and update frequently as and when the requirement arises.

Finally I wish to thank all involved in developing this, which was a long felt need of the country including Airworthiness Section staff and International Civil Aviation Organization (ICAO).

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01 June 2020

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List of Abbreviation

(A)	-	Aeroplane
AAD	-	Assigned Altitude Deviation
ACAS	-	Airborne Collision Avoidance System
ACC	-	Area Control Centre
AD	-	Airworthiness Directive
AMC	-	Acceptable Means of Compliance
AME	-	Aircraft Maintenance Engineer
AME (BL)	-	Aircraft Maintenance Engineer (Basic License)
AML	-	Aircraft Maintenance Licence
AMO	-	Approved Maintenance Organization
AMTO	-	Approved Maintenance Training Organization
ANR	-	Air Navigation Regulations
AOC	-	Air Operator Certificate
AOG		Aircraft on Ground
AOPM	-	Airworthiness Office Procedures Manual
ASE	-	Altimetry System Error
ASN	-	Aviation Safety Notice
ASTM	-	American Society for Testing and Materials
ATA	-	Air Transport Association (United States)
ATC	-	Air Traffic Control
ATPL	-	Airline Transport Pilot Licence
ATS	-	Air Traffic Services
AWS	-	Airworthiness Section
BIPM	-	International Bureau of Weights And Measurements
C/S	-	Certifying Staff
CAASL	-	Civil Aviation Authority of Sri Lanka
CAI AW	-	Civil Aviation Inspector - Airworthiness
CAM	-	Continuing Airworthiness Manager
CAMO	-	Continuing Airworthiness Management Organization
CAO		Continuing Airworthiness Organization
CAO	-	Civil Aviation Officer
CAP		Corrective Action Plan
CC/S		Component Certifying Staff
CFL	-	Cleared Flight Level
CG	-	Centre of Gravity
CIPM	-	International Committee on Weights and Measurements
CM	-	Condition Monitoring (Maintenance Process)
CMA	-	Central Monitoring Agency
COSCAP-SA	-	Cooperative Development of Operational Safety And Continuity Airworthiness Programme – South Asia
CRM	-	Collision Risk Model
DA	-	Designated Authority

D(AR&AW)	-	Director – Aircraft Registration & Airworthiness
DGCA	-	Director General of Civil Aviation
DOC	-	Document Issued By the International Civil Aviation Organization
EASA	-	European Aviation Safety Agency
EMCG	-	Empty Mass Centre of Gravity
EU	-	European Union
F/T	-	Flight Test
FAA	-	Federal Aviation Administration
FL	-	Flight Level
FLVC	-	Foreign Licence Validation Certificate
FOO	-	Flight Operations Officer
FTE	-	Flight Technical Error
FTO	-	Flying Training Organization
GAT	-	General Air Traffic
GM	-	Guidance Material
GMS	-	GPS-Based Monitoring System
GMU	-	GPS-Based Monitoring Unit
GPS	-	Global Positioning System
(H)	-	Helicopter 300 M (1 000 Ft) Between Fl 290 and Fl 410 Inclusive
HF	-	High Frequency
HMU	-	Height-Monitoring Unit
HT	-	Overhaul Time Limit or Part Life Time
IATA	-	International Air Transport Association
ICAO	-	International Civil Aviation Organization
ILAC		International Laboratory Accreditation Cooperation
IORS		Internal Occurrence Reporting System
IR	-	Instructor Rating
IS	-	Implementing Standards
JAA	-	Joint Aviation Authority
JAR	-	Joint Aviation Requirements
LC	-	Line Inspection and Check
MAC	-	Mean Aerodynamic Chord
MASPS	-	Minimum Aircraft System Performance Specification
MEL	-	Minimum Equipment List
MMEL	-	Master Minimum Equipment List
MNPS	-	Minimum Navigation Performance Specification
MOA	-	Maintenance Organization Approval
MOAP	-	Maintenance Organization Approval Procedures
MOC	-	Maintenance Oversight Coordinator
MOE	-	Maintenance Organization Exposition

MOR	-	Mandatory Occurrence Reporting
MRB	-	Maintenance review board
MSI	-	Maintenance significant item
MTOA	-	Maintenance Training Organization Approval
MTOAP	-	Maintenance Training Organization Approval Procedures
MTOC	-	Maintenance Training Oversight Coordinator
MTOE	-	Maintenance Training Organization Exposition
NAA	-	National Aviation Authority
NAT SPG	-	North Atlantic Systems Planning Group
NAT	-	North Atlantic
NOTAM	-	Notice to Airman
NRAB	-	National Recognized Accreditation Body
OAT	-	Operational Air Traffic
OC	-	On-Condition (Maintenance Process)
OEM	-	Original Equipment Manufacturer
P/N	-	Part Number
PE	-	Panel of Experts
PF	-	Pre-Flight
PPB	-	Principal Place of Business
QE	-	Qualified Entity
RAB	-	Regional Accreditation Body
RGCSP	-	Review of the General Concept of Separation Panel
RMA	-	Regional Monitoring Agency
RNAV	-	Area Navigation
RPG	-	Regional Planning Group
RPM	-	Revolutions per Minute
RVSM	-	Reduced Vertical Separation Minimum
S/S	-	Support Staff
SC	-	Service Check
SCAI AW	-	Senior Civil Aviation Inspector - Airworthiness
SD	-	Standard Deviation
SDR	-	Service Difficulty Reporting
SSE	-	Static Source Error
SSI	-	Structural Significant Item
SSR	-	Secondary Surveillance Radar
STCH	-	Supplemental Type Certificate Holder
TBO	-	Time between Overhaul
TCB	-	Type Certification Board
TCH	-	Type Certificate Holder
TGT	-	Turbine Gas Temperature
TLS	-	Target Level of Safety
TOM	-	Take-Off Mass
TSO	-	Time Since Overhaul

TVE	-	Total Level of Safety
VFR	-	Visual Flight Rules
VHF	-	Very High Frequency
VSM	-	Vertical Separation Minimum
WH	-	Working Hours

ICAO Definitions

***Aberrant aircraft*.** Those aircraft which exhibit measured height-keeping performance that is significantly different from the core height-keeping performance measured for the whole population of aircraft operating in RVSM airspace.

Aeroplane system. An aeroplane system includes all elements of equipment necessary for the control and performance of a particular major function. It includes both the equipment specifically provided for the function in question and other basic related aeroplane equipment such as that required to supply power for the equipment operation. The engine is not considered to be an aeroplane system.

***Aircraft type groupings*.** Aircraft are considered to belong to the same group if they are designed and assembled by one manufacturer and are of nominally identical design and build with respect to all details which could influence the accuracy of height-keeping performance.

Airworthiness approval. The process of assuring the State authority that aircraft meet RVSM MASPS. Typically, this would involve an operator meeting the requirements of the aircraft manufacturer service bulletin for that aircraft and having the State authority verify the successful completion of that work.

Airworthiness directive (AD). A regulatory document which identifies aeronautical products in which an unsafe condition exists and where the “unsafe” condition is likely to exist or develop in other products of the same type design. It prescribes corrective actions to be taken or the conditions or limitations under which the products may continue to be operated. The AD is the common form of mandatory continuing airworthiness information mentioned in Annex 8.

Airworthiness Standards. For purposes of type certification, these are the detailed and comprehensive design and safety criteria applicable to the category of the aeronautical product (aircraft, engine, propeller) that satisfies, as a minimum, the applicable Standards of ICAO Annex 8. These design standards are detailed in nature and cover aspects such as, but not limited to: flight performance and characteristics, structural strengths and durability, general design and construction, powerplant and systems, aircraft and systems architecture, equipment specifications, overall function and reliability criteria, tests and inspections methods, and operating limitations and information.

***Altimetry system error (ASE)*.** The difference between the altitude indicated by the altimeter display, assuming a correct altimeter barometric setting, and the pressure altitude corresponding to the undisturbed ambient pressure.

***Altimetry system error stability*.** Altimetry system error for an individual aircraft is considered to be stable if the statistical distribution of altimetry system error is within agreed limits over an agreed period of time

Altitude-keeping device. Any equipment which is designed to automatically control the aircraft to a referenced pressure altitude.

Assigned altitude deviation (AAD). The difference between the transponder Mode C altitude and the assigned altitude/flight level.

Automatic altitude-keeping device. Any equipment which is designed to automatically control the aircraft to a reference pressure-altitude.

Certification basis. The applicable airworthiness and environmental standards established by a State as the basis by which the type design of an aeronautical product, or change to that type design, was approved or accepted. The certification basis may also include special conditions of airworthiness, findings of equivalent level of safety, and/or exemptions when determined by the State to apply to the type design.

Certification maintenance requirement. Maintenance that is required by design to help show compliance with the appropriate type certification requirements by detecting the presence of, and thereby limiting the exposure time to, a significant latent failure.

Collision risk. The expected number of mid-air aircraft accidents in a prescribed volume of airspace for a specific number of flight hours due to loss of planned separation.

Comprehensive and detailed airworthiness code. The collective requirement that consists of, but not limited to, the approval or acceptance of the type design to an airworthiness standard, conformity to production or manufacturing standards, performance of inspection, maintenance, repair and modification in accordance with standards that ensure the continuing airworthiness of the aircraft, and a system of surveillance or monitoring of safety by the Contracting State.

Confidence level. Where the probability of occurrence of an event is inferred from a sample of measurements, the confidence can be determined that the true probability of occurrence of the event is greater than or less than the inferred probability, as appropriate. The confidence level is itself a statistical measure which is also expressed as a probability.

Environmental Standards. The specifications and maximum levels defined in Annex 16 — *Environmental Protection* for the certification of aircraft noise and engine smoke and gaseous emissions, including the Standards for the prevention of intentional fuel venting into the atmosphere.

Exemption. A relief from compliance with the requirement(s) of airworthiness or environmental standards, or operating rules, based on the determination by a civil aviation authority that granting such relief will not adversely affect safety.

Extended diversion time operations. Any flight by an aeroplane where the flight time at the one engine inoperative cruise speed (in international standard atmosphere and still air conditions), from a point on the route to an adequate alternate aerodrome, is greater than the threshold time approved by the State of the Operator or any flight operated in an area designated by the State as an area of extended diversion time applicability.

Extended diversion time operations, configuration, maintenance and procedures (CMP) standard. The particular aeroplane configuration minimum requirements including any special inspection, hardware life limits, master minimum equipment list (MMEL) constraints, and maintenance practices found necessary to establish the suitability of an airframe-engine combination for extended diversion time operation.

Equivalent level of safety. As used in type certification, a finding where literal compliance with a specific airworthiness requirement cannot be demonstrated but compensating factors exist in the type design that can be shown to provide a level of safety equivalent to that intended by the certification basis.

Failure condition. The effect on the aircraft and its occupants, both direct and consequential, caused or contributed to by one or more failures, considering relevant adverse operational or environmental conditions.

Note :- *One collision is considered to produce two accidents*

Flight technical error (FTE). The difference between the altitude indicated by the altimeter display being used to control the aircraft and the assigned altitude/flight level.

Height-keeping capability. The aircraft height-keeping performance that can be expected under nominal environmental operating conditions with proper aircraft operating practices and maintenance.

Height-keeping performance. The observed performance of an aircraft with respect to adherence to cleared flight level.

Instructions for continued airworthiness. A set of descriptive data, maintenance planning and accomplishment instructions, developed by a design approval holder in accordance with the certification basis for the product, providing operators with the necessary information for development of their own maintenance programme and accomplishment instructions.

Latent failure. A failure that is not detected and/or enunciated when it occurs.

Life-limited part. Any part for which a retirement time, service life limitation, part retirement, retirement life limitation or life limitation exists, and is permanently removed from service when its operating limit (hours, cycles or calendar time) is exceeded.

Major modification. In respect of an aeronautical product for which a Type Certificate has been issued, a change in the Type Design that has an appreciable effect, or other than a negligible effect, on the mass and balance limits, structural strength, powerplant operation, flight characteristics, reliability, operational characteristics, or other characteristics or qualities affecting the airworthiness or environmental characteristics of an aeronautical product.

Minor modification. A modification other than a major modification.

Non-compliant aircraft. An aircraft configured to comply with the requirements of RVSM MASPS which, through height monitoring, is found to have a total vertical error

(TVE) or an assigned altitude deviation (AAD) of 90 m (300 ft) or greater or an altimetry system error (ASE) of 75 m (245 ft) or more.

NOTAM. A notice distributed by means of telecommunication containing information concerning the establishment, condition or change in any aeronautical facility, service, procedure or hazard, the timely knowledge of which is essential to personnel concerned with flight operations.

***Occupancy*.** A parameter of the collision risk model which is twice the count of aircraft proximate pairs in a single dimension divided by the total number of aircraft flying the candidate paths in the same time interval.

Operational error. Any vertical deviation of an aircraft from the correct flight level as a result of incorrect action by ATC or the aircraft crew.

***Overall risk*.** The risk of collision due to all causes, which includes the technical risk (see definition) and all risk due to operational errors and in-flight contingencies

***Passing frequency*.** The frequency of events in which two aircraft are in longitudinal overlap when traveling in the opposite or same direction on the same route at adjacent flight levels and at the planned vertical separation.

Propulsion system. A system consisting of an engine, all ancillary parts installed on the engine, and all other equipment utilized to provide those functions necessary to sustain, monitor and control the power/thrust output of any one engine following installation on the airframe.

***RVSM approval*.** The term used to describe the successful completion of airworthiness approval and operational approval (if required).

Special conditions of airworthiness. The technical requirements added to the certification basis as a consequence of novel or unusual design feature(s) that exists in a type design and the absence or inadequacy of the applicable airworthiness standards to provide a basis for the certification of such features.

***Target level of safety (TLS)*.** A generic term representing the level of risk which is considered acceptable in particular circumstances.

***Technical risk*.** The risk of collision associated with aircraft height-keeping performance.

***Total vertical error (TVE)*.** The vertical geometric difference between the actual pressure altitude flown by an aircraft and its assigned pressure altitude (flight level).

***Track*.** The projection on the earth's surface of the path of an aircraft, the direction of which path at any point is usually expressed in degrees from North (true, magnetic or grid).

Type design. The set of data and information necessary to define a product type for the purpose of airworthiness determination to any later product of the same type.

Type Certificate Data Sheet (TCDS). This database is a repository of Make and Model information.TCDS is a formal description of aircraft, engine or propeller. It lists limitations and information required for Type Certification including Airspeed limits, weight limits, thrust limits etc.

***Vertical separation*.** The spacing provided between aircraft in the vertical plane to avoid collision.

Vertical separation minimum (VSM). VSM is documented in the *Procedures for Air Navigation Services — Air Traffic Management* (PANS-ATM, Doc 4444) as being a nominal 300 m (1 000 ft) below FL 290 and 600 m (2 000 ft) above FL 290 except where, on the basis of regional agreement, a value of less than 600 m (2 000 ft) but not less than 300 m (1 000 ft) is prescribed for use by aircraft operating above FL 290 within designated portions of the airspace

SECTION ONE

CHAPTER 1 - AIRWORTHINESS SECTION – GENERAL

1.1 VISION

To ensure airworthiness of aircraft operating in Sri Lanka air space.

1.2 MISSION

Ensure safe operation of aircraft, conducting safety oversight inspection of operators' facilities and aircraft through implementing National Civil Aviation Regulations that conform to the International Standards & Recommended Practices.

1.3 MOTTO

"Safety first"

1.4 OUTPUT

- Updated SLCAP Manuals pertaining to Airworthiness of aircraft.
- Certification of new operators jointly with operation section to review the compliance of maintenance task.
- Updated IS.
- Updated regulations for the Airworthiness requirements.
- Updated Civil Aircraft Register.
- Dissemination of SDR findings and rectification actions among operators.
- Record of Aircraft and Operator maintenance facility surveillance and regular Audit reports.
- Approved Maintenance Organizations (Foreign and Local)

1.5 OUT COME

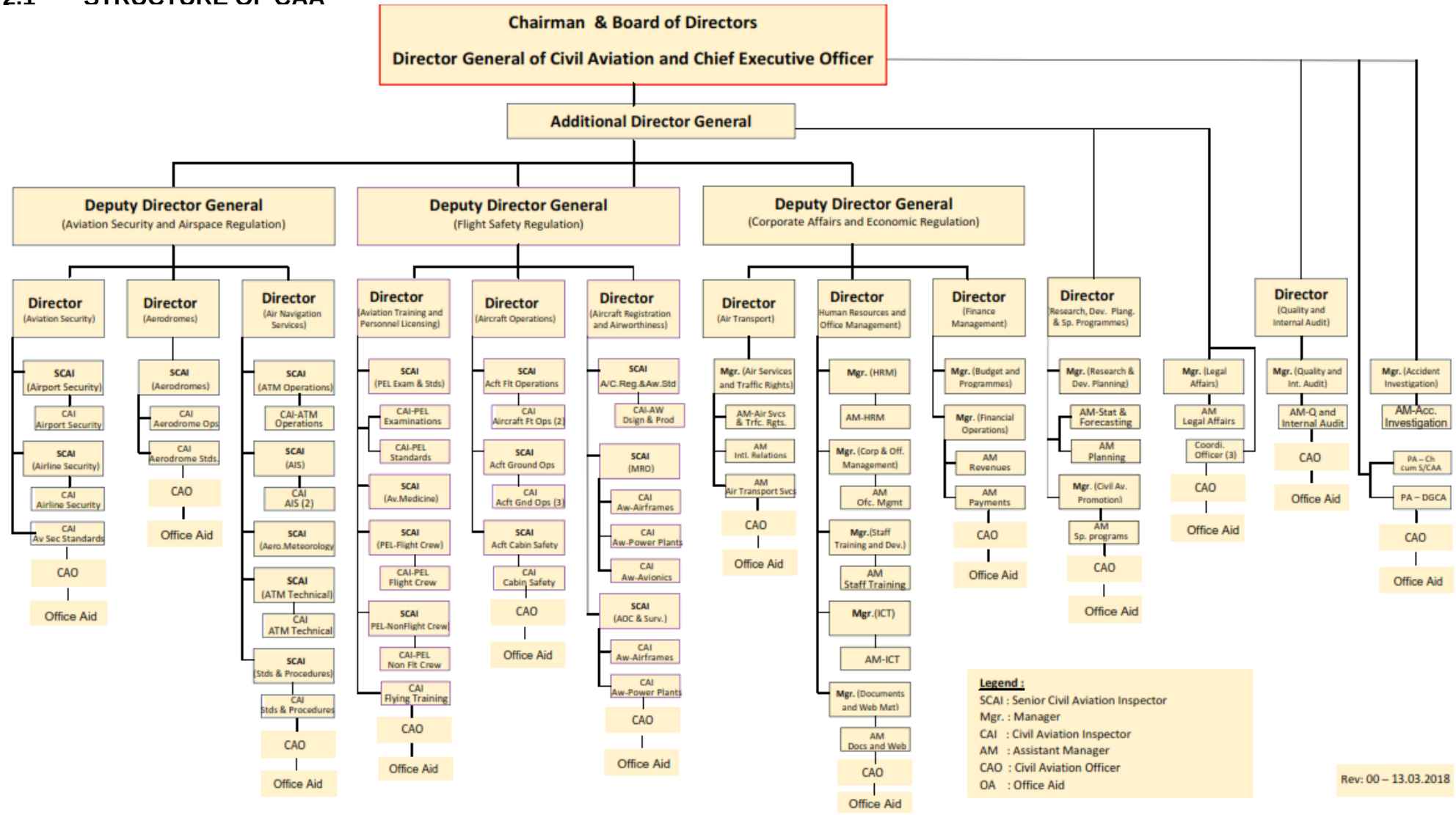
- Ensure safety efficiency and regularity in maintenance of aircraft. .
- Development of the maintenance standards of the operators.
- Prevention of accident/incident through compliance with regulatory requirements for maintenance.
- Ensure the compliance with the regulatory requirements through a comprehensive surveillance programme.
- Perform duties and functions required to achieve the objectives of strategic action plan of CAA.

1.6 AIRWORTHINESS POLICY

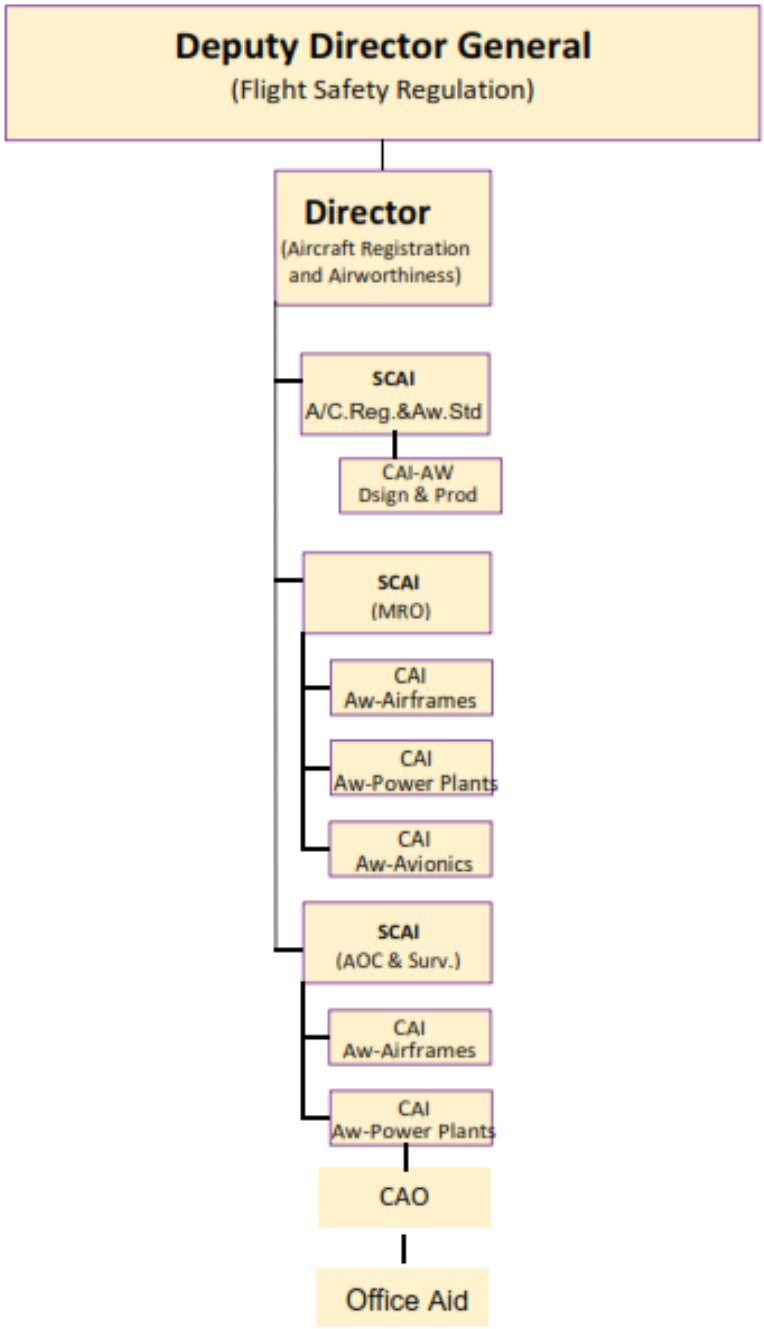
Sri Lanka being a signatory country to Chicago convention is committed to complying its obligations to adhere to internationally acclaimed standards for registration and issuance of airworthiness for civil registered aircraft and approval of aircraft maintenance organizations. Hence recognition of Sri Lankan standards of airworthiness within the region & globally has been witnessed throughout the past.

SECTION ONE
CHAPTER 2 - STRUCTURE

2.1 STRUCTURE OF CAA



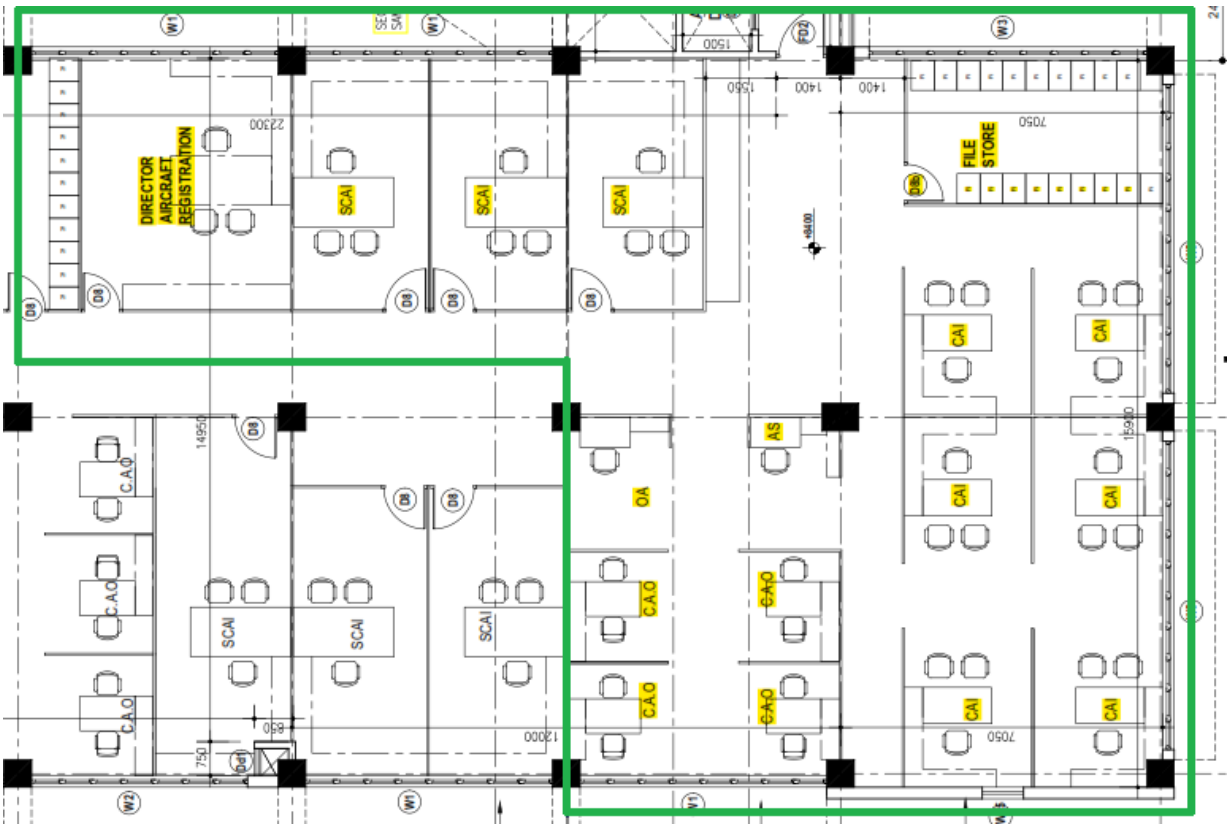
2.2 STRUCTURE OF AIRWORTHINESS SECTION



2.3 PRESENT LOCATION & PHYSICAL STRUCTURE

AW section is located at 2nd floor, No.152/1, Minuwangoda Road, Katunayaka.

OFFICE LAYOUT OF AIRWORTHINESS SECTION



SECTION ONE

CHAPTER 3 - GENERAL OFFICE ADMINISTRATION

Unless otherwise directed by the CAASL, the office shall be kept open for official duties for members of the public from Monday to Friday except on holidays decided by the CAASL to be a holiday for the employees of the CAASL.

3.1 The section commences duties at 0830 hrs and finishes at 1615 hrs.

3.2 All correspondence personally handed over by the general public are accepted at the office commencing 0845hrs.

3.3 Paying vouchers to make any payments should be collected at Civil Aviation Officers desks.

3.4 The payments should be made at the counter in 03rd floor of the building before 1500hrs.

3.5 The Certificates, approvals, or any correspondence ready for delivery should be collected at the OA's desk of the AW section before 1600hrs.

3.6 Any Certificate, approval or any correspondent shall be processed at earliest possible provided all necessary requirements and documents are fulfilled and available.

SECTION ONE

CHAPTER 4 - AIRWORHINESS STAFF

4.1 FUNCTION AND RESPONSIBILITIES OF THE SECTION

4.1.1 RESPONSIBILITIES

Airworthiness Section is an essential arm of a civil aviation regulatory body. It is established to carry out the functions and administrative processes leading up to the issuance of Certificate of Registration, Certificate of Airworthiness or other certificates to aircraft and aircraft maintenance organizations who are required to be in possession of such documents by law in order to carry out their operation.

4.1.2 FUNCTIONS OF THE SECTION

- Periodic review of regulations and write procedures to spell out the applications.
- Carry out surveillance functions and inspections.
- Ensure that the Aviation industry is informed timely in terms of Directive/Circulars and/or Aviation Safety Notices of all important matters relating Airworthiness of aircraft.
- Conduct inspections and report breaches of regulations and directives to the DGCA for actions.
- Conduct, in cooperation with operation inspectors in air operator original certification process.
- Routine surveillance of work being performed in the hangers, workshops and repair facilities of aircraft maintenance organizations.
- Inspection of fuel farms and fueling equipments.
- Monitoring the implementation of the relevant airworthiness regulations issued by the DGCA.
- Monitoring and grant the approval for modifications (Major/minor) welding and NDT approvals.
- Ensure the compliance status of AD’s, Alert SB’s and similar document in respect of the aircraft, power plant and equipment.
- Review maintenance schedule against MPD and grant approval for the same.
- Implementation and/or enforcement of the legal requirements relating to aircraft Nationality and Registration marks, Airworthiness and Aircraft noise and emission in respect of all

aircraft in Sri Lanka and Sri Lanka registered aircraft wherever they may be.

- Grant AMO approvals for aircraft maintenance Organization.
- Approval of Training Organization and Training programme.
- Conduct inspections of operator's route stations facilities.
- Review applications and preparation of necessary question papers to conduct Aircraft Maintenance Engineers basic examinations and type rated examinations on specific types of aircraft.
- Recording, review and processing application for Certificate of Airworthiness, renewals

4.2 FUNCTIONS OF INDIVIDUAL POSITION

4.2.1 DIRECTOR – AIRCRAFT REGISTRATION AND AIRWORTHINESS

On behalf of DGCA Sri Lanka, attend to all regulatory and administrative functions pertinent to Airworthiness matters

The duties and tasks of D(AR&AW) include, but not limited to the following:

1. Periodic review of the primary and subsidiary legislation relating to Civil Aviation in the global aviation and take appropriate action to ensure that legal provisions are adequate to manage the duties, functions and tasks effectively

2. Ensure the standard provisions contained in the Annex – 1 – "Personnel Licensing" relating to licensing of Aircraft Maintenance Engineers, Annex – 6 "Aircraft Operations" relating to aircraft maintenance, Annex – 7 "Registration of Aircraft", Annex – 8 "Airworthiness" and Annex – 16 " environmental Protection" to the Convention on International Civil Aviation are given effect to and effectively enforced in Sri Lanka

3. Ensure that the Aviation Industry is informed timely in terms of Directives/circulars and/or Aviation Safety Notice of all-important matters relating to item (1) & (2) mentioned above

4. If / When differences to ICAO Standards are required to be implemented in Sri Lanka with regard to matters pertaining to ICAO Annexes referred to at para (2) above and come under the preview of the Section, take action to notify and obtain prior approval from DGCA and inform ICAO (Article 38 of ICAO convention). Follow above when difference already implemented in withdrawn

5. Ensure that information relating to implementation and withdrawal of differences to ICAO Standards with regard to provision of matters at para (2) above are disseminated to ICAO and other relevant contracting states as specified in Annex 15

6. Ensure the required toolkits for efficient and effective monitoring of standards of Airworthiness Services provided by organizations/units responsible for provision of such services, such as Application Forms, Certification Forms, Authorization Sheets, Check Lists, Survey Forms, Audit Forms etc. and equipment (If any) are readily available at the Section. This should include toolkits for efficient checking, surveying and/or auditing of Airworthiness Section and facilities and personnel engaged in training, training curriculums procedures and methodology etc.

7. Implementations and/or enforcement of the legal requirements relating to Aircraft Nationality and Registration Marks, Airworthiness and Aircraft Noise and Emissions in respect of all aircraft in Sri Lanka and Sri Lanka-registered-aircraft wherever they may be

8. Initial certification of applicants for Air Operator Certificates and continuous monitoring of their activities after certification, from the Airworthiness point of view to maintain the required standards

9. Initial certification of the applicants for Approved Maintenance Organizations and continuous monitoring of their activities to ensure that required standard are maintained in consultation with the Director (Aircraft Operations)

10. Review the qualifications/standards of the applicants seeking Aircraft Maintenance (Mechanics/Technician/Engineers) Licenses and monitoring the quality of AML licensing requirements

11. Recording, reviewing and processing applications for registration of aircraft; registering and de-registering aircraft as appropriate and issuing certificates of Registration

12. Keeping the national register of civil aircraft complete, accurate and up-to-date and making available information from the register as and when required.

13. Recording, reviewing and processing applications for Certificates of Airworthiness, renewals of such Certificates and validations of foreign Certificate of Airworthiness as applicable

14. Survey of aircraft for issue, renewal and validation of Certificate of Airworthiness and the subsequent extension of such documents as appropriate

15. Recording the collection of fees for aircraft registration, Certificate of Airworthiness, and / or any other airworthiness services performed for which charges may be prescribed

16. Periodic review of the airworthiness states and records of aircraft on the register to assess the adequacy of their maintenance and to assess the competence and diligence of the persons who perform the maintenance

17. Investigation of major defects discovered in aircraft and determination of corrective action to be taken where airworthiness may be affected

18. Analysis of defect experienced to detect and correct any trends and to reveal areas most in need of airworthiness improvement

19. Endorse proper pages of Service Difficulty Reporting (SDR) System

20. Review of aircraft and component manufacturer's service bulletins and Airworthiness Directives issued by foreign airworthiness authorities to determine their applicability to the national aircraft. Direction of corrective action where airworthiness may be affected

21. Examination of current and new international and foreign airworthiness standards related to continuing airworthiness and determination of the need for adoption of critical features of those foreign standards to national requirements

22. Survey of the maintenance facilities including training provisions, organization and Quality Assurance Systems of applicants for issue and renewal of Air Operator Certificates (AOC). Making recommendations as appropriate with regard to the applications

23. Survey of the facilities and procedures of applicants for issue and renewal of certificates of approval to conduct activities bearing on the airworthiness of aircraft. Making such issue or renewal, as appropriate, and maintaining records of same

24. Conducting periodic surveillance of the facilities, procedures and work of holders of Air Operator Certificates, making appropriate directions and recommendations and approving amendments to the operator's AOC and his Maintenance Controls/Maintenance Procedure (MME/MOE) and quality control manuals as appropriate

25. Assessment of the qualifications of persons for designation as approved persons and others as alternates, to perform certain airworthiness functions. Recommendations as appropriate and monitoring of the activities of those persons from time to time

26. Assessment of assistance in the design and suitability of aircraft components and equipment and their approval for use in aircraft. Assessment and approval of the installation of aircraft components and equipment in aircraft

27. Development of aircraft and component reliability programmes and approval of maintenance systems for aircraft, aircraft components and equipment;

28. Giving of advice and recommendations to other areas of the CAA responsibilities such as shipment of dangerous goods, certification of operators and on other technical matters relating to aviation techniques, flight operations and aeronautical engineering as may be required;

29. Provisions or loan of staff experts to assist in the investigation of aircraft accidents as and when required;

30. Recommendation and where necessary, issuance of directives concerning the maintenance, overhaul and repair standards to be met by aircraft and aircraft components and equipment, and procedures to be followed by the aviation industry to comply with the national air law and regulations related to airworthiness;

31. Participation in Type Certification Board (TCB) activities to resolve problems of significance, and to establish overall accomplishment of the type certification programme as applicable

32. Participation in Maintenance Review Board (MRB) activities toward the development and approval of initial maintenance inspection requirements for air carrier transport aircraft. These are applicable to newly type certificated aircraft and power plants being introduced in service for the first time as applicable

33. Preparation and distribution to the aviation industry of advisory material concerning airworthiness practices and procedures where such advice does not warrant mandatory action but may still make a significant contribution to flight safety

34. Preparation and recommendation of regulatory changes and amendments to the national air law from time to time concerning all matters of airworthiness within the scope of the functions and responsibilities of the Airworthiness Section

35. Conferring at national and international levels on matters relating to the regulation of airworthiness

36. Identification and resolution of regulatory problems associated with continuing airworthiness

37. Establishing general and technical policies and procedures on which future airworthiness requirements can be based. Formulation of changes in airworthiness policies and requirements which have a severe economic impact on the aviation industry

38. Investigation of possible violations of the national air law or regulations, approved policies, procedures and practices in regard to airworthiness and initiation of legal or other corrective action where necessary

39. Preparation and distribution to the aviation industry of a series of documents available to the public, containing all Airworthiness Directives specified for general compliance by the aviation industry

40. Issue of approvals for inspection, overhaul, maintenance and repair organizations

41. Carry out aeronautical products conformity inspections and make necessary recommendations. Monitor unauthorized or bogus parts and avoid purchasing of such parts by operators

42. Advising the Director (Flight Safety) in regard to required amendments to the existing regulations or DGCA's published requirements in order to give effect to latest technological advancement or to accommodate revisions to ICAO Annexes

43. Prepare Training Plan and Training Programmes for the entire staff in the Airworthiness Section to enable them to perform the duties and functions that they are entrusted and Implement such programmes with the final approval by DGCA & CEO

44. Maintaining Training Records in respect of each member of the Staff attached to the Section

45. Conducting Performance Evaluations on all staff attached to the Airworthiness Section.

46. Issue and update the job descriptions of all staff attached to the Section with the approval of the DGCA & CEO

47. Organizing and updating information in the CAA website pertaining to Airworthiness Section

48. Ensure availability of written Office Procedures in respect of each activity being performed in the Airworthiness Section

49. Maintain statistics relating to all important duties, functions or activities performed by the Airworthiness Section

50. Submitting quarterly, bi-annual and annual reports to the Management concerning the work progress of the Airworthiness Section

51. Preparation of Annual Work Plan and Budget estimates for the Airworthiness Section

52. Be accountable to the DGCA & CEO with regard to control of operational expenditures in the Section

53. Review and update all manuals, Written Procedures and Handbooks issued by the Airworthiness Section as and when required

54. Ensure the Airworthiness Section of the CAA is organized, staffed, equipped and managed properly for the efficient and effective performance of the assigned duties, functions and tasks

55. Representing the Airworthiness Section of the CAA at all internal or external meeting and any other meetings as authorized by DGCA & CEO

56. Maintain order & office discipline in the Airworthiness Section

57. Perform any other duties and functions as may be assigned by the DGCA & CEO.

4.2.2 SENIOR CIVIL AVIATION INSPECTOR (AIRWORTHINESS)

On behalf of the Director (Aircraft Registration and Airworthiness) and as directed by him/her the incumbent shall attend to all administrative, regulatory and operational functions in the Airworthiness Section of CAASL and monitor all functions performed at the Section with the objective of ensuring that issuance of all certificates, approvals and other documents are carried out in conformity with ICAO and CAASL stipulated regulatory requirements. To achieve the said objective the incumbent shall perform the duties and tasks, which include; but not limited to the following.

1 Under the general directions of the Director(AR&AW), attend all administrative and technical matters that are assigned to the

Airworthiness Section to ensure smooth and efficient functioning of the section.

2. Review, update necessary database, observe the required recording and process the duly perfected C of R applications submitted by the Operators. Supervise update of Civil Aircraft Register for accurate update and the payment of applicable fee.

3. Process C of A applications submitted by the Operators. Carry out inspections for the issue, renewal and validation of Certificate of Airworthiness. Ensure payment of applicable fee.

4. Carry out inspections to issue, renew and validation of Certificate of Airworthiness. Ensure use of necessary checklists for inspections.

5. Review qualifications, experience and knowledge requirements of AML applicant against the CAA defined minimum requirements and submit recommendations to personnel licensing section to inform AML applicants to appear for the examination. Prepare necessary question papers for the AML examinations at the request of D(AR&AW) in liaison with personnel licensing section.

6. Review MTOE, carry out inspection of technical training organization's facility and issue recommendations for approval. Review and recommend for Type course approval and basic course approvals.

7. Carry out aircraft importation inspections to issue C of A. Carry out aircraft exportation inspection and issue necessary Export C of A for the aircraft.

8. Review and recommend granting approval for Aircraft Maintenance Programme and its amendments. Evaluate and approve any deviations to approved maintenance programme of aircraft.

9. Carry out continuous monitoring of maintenance activities of the certified operators. Carry out inspections of operator's main base facility, line maintenance facility and Ramp inspections to ensure the continuation of regulator compliance.

10. Carry out inspection and submit recommendations for necessary workshop capability approvals. Assess the availability of qualified personnel to designate as approved personnel to perform certain airworthiness functions.

11. Identify the regulatory problems while carrying out inspections and address the problems by issuing ISs to rectify shortcomings or submit recommendations to make necessary actions.

12. Survey of maintenance facilities, availability of approved and qualified personnel, quality assurance/control procedures, carry out inspections to review updated and correct maintenance documents to make necessary recommendations for the renewal of AMO and AOC.

13. Monitor and analyze trend monitoring programme, “On Condition” and “Condition Monitoring” programme developed by operators for approval and continuation of successful implementation to predict areas of airworthiness improvements. Attend to Reliability programmes and Modification meetings of operators.

14. Carry out routine inspections to review the aircraft and its records maintain at respective operator’s facility. Monitor accomplishment of SBs, ADs.

15. Review and recommend for approval of Major Modifications and Repair. Review minor modifications and repairs.

16. Review and recommend ETOPS, CAT II/III and MEL approval and its revisions.

17. Carry out Regulatory Airworthiness Audits of Air Operators at least once a year and its AMO renewal.

18. Carry out audit follow up action

19. Carry out inspection for traceability of aircraft parts and components

20. Monitor unauthorized parts and components

21. Monitor wet lease operation of aircraft

22. Maintain statistics and submit reports as requested by the Director (AR&AW) about the work performed.

23. Provide on-the-job training to officers who are assigned to understudy the incumbent.

24. Director (AR&AW) to update manuals, procedures, directives or other form of instructions issued by the Section, as and when necessary.

25. Day to day administration duties at Mattala and Ratmalana branches and report all related matters to Director (Aircraft Registration & Airworthiness) as and when appropriate

26. Perform any other duties assigned by Director (Aircraft Registration & Airworthiness) and his superiors.

4.2.3 CIVIL AVIATION INSPECTOR (AIRWORTHINESS)

Shall assist Senior Airworthiness Inspectors in the following activities

1. Periodic review of regulations and write procedures to spells out the applications.

2. Carry out surveillance functions and inspections.

3. Ensure that the Aviation industry is informed timely in terms of Directive/Circulars and/or Implementing Standards of all important matters relating Airworthiness of aircraft.

4. Conduct inspections and report breaches of regulations and directives to the DGCA for actions.

5. Conduct, in cooperation with operation inspectors in air operator initial certification process.

6. Routine surveillance of work being performed in the hangers, workshops and repair facilities of aircraft maintenance organizations.

7. Inspection of fuel farms and fueling equipment.

8. Monitoring the implementation of the relevant airworthiness regulations issued by the DGCA.

9. Monitoring and grant the approval for modifications (Major/minor) welding and NDT approvals.

10. Ensure the compliance status of AD's, Alert SB's and similar document in respect of the aircraft, power plant and equipment.

11. Review maintenance Programme against MPD and grant approval for the same.

12. Implementation and/or enforcement of the legal requirements relating to Aircraft Nationality and Registration Marks, Airworthiness and Aircraft Noise and Emission in respect of all aircraft in Sri Lanka and Sri Lanka registered aircraft wherever they may be.

13. Grant AMO approvals for aircraft maintenance organization.

14. Approval of Training Organization and Training Programme.

15. Conduct inspections of operator's line stations facilities.

16. Review applications and preparation of necessary question papers to conduct AML and type rated examinations on specific types of aircraft.

17. Recording, review and processing application for Certificate of Airworthiness, renewals of such certificates and validations of foreign Certificates of Airworthiness when required. Survey of aircraft for issue, renew and validation of certificate of airworthiness and subsequent extension of such documents as appropriate.

18. Analyze the defects reported in SDR system and recommend necessary rectification actions to avoid the recurrence of defects in future.

19. Conducting periodic surveillance of the facilities, procedures and work of holders of AOC, making appropriate directions and recommendations and approving amendments to the operators AOC and his maintenance programme, reliability programme and necessary CAME /MOE

20. Attend to local and foreign training programme to update the knowledge with a view to make the momentum with present day contemporary changes.

21. Perform any other duties assigned by Director(Aircraft Registration & Airworthiness)

4.2.4 CIVIL AVIATION OFFICER

1. Follow and handle the correct procedure laid down in SLCAP 5150 to open a new file in respect of each subject and obtain the approval from the Sectional Head. Enter necessary details promptly in the file register.

2. Maintain a register to record the incoming and outgoing letters.

3. Maintain a register to record the income for the respective month in itemized manner.

4. Issue of pay in vouchers to CAA customers to pay the necessary fees for their respective services demanded.

5. Review the budgetary allocation for the last month and prepare the necessary report to send to the finance section.

6. Maintain Airworthiness AUDIT file in respect of each operators.

7. Handle issuance/renewal of C of A, C of R files. Inform the renewal date to D(AR&AW) in file and obtain necessary orders to prepare the respective certificate for signature.

8. Maintain and update of Inventory items at Airworthiness section. Handle incoming/outgoing inventory item transfer documents as per CAA procedure with out delays.

9. Handle applications and documents in file for the issuance/renewal of Approved Maintenance Organizations.

10. Handle applications and documents in respect of workshop approvals.

11. Issuance of Engine, Airframe and propeller Logbooks.

12. Properly maintain Ramp Inspection file and enter the data to prepare quarterly progress report.

13. Handle letters/applications pertaining to in respect of spare parts Import/Export approval.

14. Handle Documentation in respect of Certification of new operators.

15. Handle the documents in respect of Aircraft certification depending on the request of operators.

16. Handling general correspondence with operators.

17. Any other duties assigned by the Director (Aircraft Registration and Airworthiness)

18. Answering telephone calls and taking telephone messages, when required

19. Maintain Circulars and Directives and guidance documents.

20. Preparation of Statistic Report and progress report to submit Research, Development and Planning Special Programme Section for annual report preparation.

21. Submit suggestions to improve the section

22. Directly responsible to handle files listed under reference AW/1 to AW/24. Maintain good knowledge about other files to handle the work in absence of other CAOs.

23. Handle general correspondence with operators.

24. Take all effort to maintain the office in a neat and attractive manner.

4.2.5 OFFICE AIDE

1. Work directly under the directives of Sectional Head and Senior Officials in the Section Staff.

2. Monitor the section cleaning work and keep the section pleasant and attractive all the time.

3. Should not allow the access of unauthorized personnel to the section.

4. Collect the letters from DGCA's office at least twice daily and direct to the sectional head for action while maintaining records on delivery book and Register.

5. Keep all office equipment neatly and in working order for smooth functioning of section.

6. Ensure that all electrical items, Air conditioners and lights are switched off before closing the section. All-important items should be placed at a secure place.

7. Answer telephone calls when officers are not available and record it.

8. Assist CAOs in filling of documents and locating the subjective files in the cupboards and lockers.

9. Carryout photo copying when instructed.

10. Any other duties assigned by D(AR&AW) and Airworthiness Inspectors.

11. Take all effort to maintain the office in neat and attractive manner.

12. Submit suggestions to improve the working environment of the section.

13. Act on matters relating to Section Inspections as per guidelines given in the specific check list.

4.3 DELEGATION OF AUTHORITY & DUTIES

By virtue of powers vested in the DGCA in terms of regulation 5 of the Air Navigation Regulations of 1955, DGCA has delegated the authority to the under mentioned official who is attached to the Airworthiness Section of Civil Aviation

Authority of Sri Lanka to exercise powers, functions or duties in relation to any matter or class of matters provided under the aforementioned regulations as enumerated below.

On behalf of DGCA Sri Lanka, attend to all regulatory and administrative functions pertinent to personnel licensing of all personnel who require licences ratings and/or certificates issued by the Civil Aviation Authority of Sri Lanka, authorizing them to perform their job function in their respective fields in aviation and licensing and/or certifications of organizations engaged in aviation which require CAASL authorization to carry out their respective aviation functions.

4.3.1 ASSIGNING INSPECTOR CREDENTIALS

A. Types of Credentials

Inspectors are issued two types of credentials.

1. A civil Aviation Inspector identification card that identifies the holder as an “Authorized Inspector” for the purpose of inspections.

2. A Bandaranaike International Airport (BIA) and Ratmalana Airport Access Permit issued by Airport and Aviation Services (Sri Lanka) Limited on the recommendation of the Director General of Civil Aviation, and which provides for access to different areas of the Airport. These areas are indicated on the permit itself.

C. Use of Credentials

Although the credentials contain the general authorization for the inspector to conduct functions on behalf of the Civil Aviation Authority of Sri Lanka, specified work functions may only be performed after the inspector has been authorized by an appropriate supervisor and has satisfied the training and qualification requirements specified in this manual. The work functions associated with the credentials as follows.

A. Civil Aviation Inspector Identification Card:

The card provides the holder at all times with unrestricted access to any civil aerodrome within Sri Lanka Whilst on official duties. The holder is also authorized to board any aircraft or enter any premises for the purpose of inspecting such aircraft or premises in accordance with the provisions of the air navigation act & air navigation regulation (ANRs) made there under, and

B. Bandaranaike International Airport (BIA) Access Permit:

The permit provides for free and uninterrupted access to restricted areas at airports governed By the ANRs, to the extent stated on the permit, while the holder is performing official duties. These official duties include ramp inspections of aircraft. An inspector must display the permit on an outer garment to be permitted entry to restricted areas, and while working in these areas.

SECTION ONE

CHAPTER 5 – TRAINING OF AIRWORTHINESS INSPECTORS

5.1 BACKGROUND

Airworthiness inspectors shall have educational and technical experience qualifications that compare favorably with the maintenance personnel they will inspect or regulate. Furthermore, they shall also enjoy terms and conditions of service consistent with their education, technical knowledge and experience comparable to those personnel they will inspect and supervise.

5.2 QUALIFICATIONS REQUIREMENT FOR RECRUITMENT

5.2.1 Civil Aviation Inspector - Airworthiness

Bachelor's Degree in Engineering in the field of Mechanical/ Electrical/ Electronics/ Telecommunications/ Aeronautical from a university recognized by University Grants Commission of Sri Lanka or a holder of Aircraft Maintenance License with B.1.1/ B.1.2 Categories. (Refer Scheme of Recruitment MA 5-3)

5.2.2 Senior Civil Aviation Inspector - Airworthiness

Bachelor's Degree in Engineering in the field of Mechanical/ Electrical/ Electronic from an university recognized by University Grants Commission of Sri Lanka or a holder of Aircraft Maintenance License with experience as a Mechanical/ Electrical/ Electronics Engineer. (Refer Scheme of Recruitment MA 1-1)

5.3 TRAINING FOR AIRWORTHINESS INSPECTORS

Technical Training of Airworthiness Inspectors may be accomplished from several sources. These can be contracted to an operator, who offers a course that it approved for use in that country for use by their citizens, or from aircraft manufacturers or from operators, who offer approved courses in Sri Lanka. Of these, the least desirable is from an operator over which the Authority has certification and surveillance jurisdiction.

5.3.1 While it is not prudent to accept training from an operator over which the Authority has jurisdiction, it is acceptable to require an operator to arrange and pay for training, when the aircraft to be inducted per SLCAIS 084 (IS-21), by that operator is a type that the Authority has no type rated Inspectors. The training stated above is type rating training for one or more types of aircraft.

5.3.2 Routine surveillance activities can be accomplished on any aircraft in airline service whether or not the Inspector is type rated on that particular type. In cases where the inspector is conducting a surveillance function on an aircraft in which he is not type rated, he must limit his observations and remarks to those elements that are not specific to that type of aircraft unless the occurrence is self-evident and would not take a type rated person to make an observation of that nature.

5.3.3 The organization of the Airworthiness Section and the Airworthiness Inspectors is presently designed to carry out aircraft and maintenance organization surveillance, maintenance training organization surveillance, CAMO surveillance, audit functions and certification inspections. The Airworthiness Section requires a dedicated specialized staff to carry out its function. A specialized training course for Airworthiness Inspectors is a necessary prerequisite for the Airworthiness inspectors to carry out their Safety oversight task(s).

5.3.4 In order to accomplish the training requirements the inspector should undergo

A) Initial Training;

a. Indoctrination in regulatory functions.

For details refer SLCAP 5080 - Staff Training Policies and Procedures Manual

b. Basic Airworthiness inspector courses

The course outline should contain at least;

- Civil aviation rules and regulations
- Initial certification of air operators – AOC/AMO issue procedures
- Introduction to Continuing Airworthiness
- Engineering modification/repair procedures
- Facilities and equipment inspection
- Maintenance record keeping systems
- Ramp inspection of an operator's aircraft
- Company (maintenance) Manual
- MSG I, II, & III maintenance programmes
- Aircraft type certification Categories explained
- Type (Acceptance) Certificates
- Type Certificates for imported Aircraft
- Standard Certificates of Airworthiness
- Human factors - maintenance
- Aircraft leasing (Airworthiness matters)
- Reliability control programmes
- Weight Control procedures

c. Industry Training / Experience on maintenance and aircraft systems.
If the inspector is a raw graduate the inspector has to undergo an Industry Training exposure of at least 06 months in an industry arranged by the

CAA. AML holder will be given six weeks exposure in industry. More elaborated in 5.3.6 below

d. Audit Skill development courses

e. On the Job Training

f. Human Factors

g. Fuel Tank Safety

Subsequent to above training Courses, inspectors will be given following modular trainings in table 01 as required.

Table 01

	Training Type
1	Part-M Training including CAME Review, CAMO inspection, Maintenance Programme Evaluation, Weight & Balance Control, Member of the AOC team.
2	Part 145 Training including MOE Review
3	Part 147/Part 66 Training including MTOE Review
4	Part 21 Training including Aircraft Acceptance, Granting Noise Certificates, Issuance of Flight Permits
5	Issuance and Renewal of Certificate of registration
6	Issuance and Renewal of Certificate of Airworthiness
7	Aircraft Refueling
8	Evaluation for Authenticity and serviceability of aircraft spares
9	Aviation stores control
10	Safety Management System
11	SARPS

B) Advanced Training;

a. Advance airworthiness inspectors training courses
- EDTO
- MMEL/MEL review
- General Auditing Procedures, Parts 1, 2, 3
- NDT
- Structural Inspection Programmes/ EWIS/ Aging Aircrafts
- Accident Investigation Course (Depending on Assigned Duties)
- LVO/ RNP

More elaborating in 5.3.7 below

C) Recurrent training;

a. Auditing Techniques
b. Human Factors
c. SMS and SSP
d. SARI Part 147/66/145/M(Implementation)

Note: These courses will be awarded to the inspectors with the availability of the courses in local or the foreign states and also the availability of funds.

D) Specialized Training;

a. Type training courses
b. Aviation Management Courses

5.3.5 INDUSTRY TRAINING

(1) Industry training of CAIs can be accomplished by attaching Inspectors with Engineering Degrees to SLCAIS 056(IS-145) approved AMO, SLCAIS 080 (IS-Part M) approved CAMO for 6 months as a familiarizing training. Inspectors shall be trained on Line and Base Maintenance, Workshops, Technical Services, Production Planning, SLCAIS 065 (IS-147) approved Technical Training and Stores.

(2) AML license holders shall be attached to Technical Services and Production planning for six weeks.

5.3.6 ON THE JOB TRAINING FOR INSPECTOR

After undergoing Inspector Basic course in the class room, CAIs shall undergo an **on the job field training programme** as specified under this section ensuring new inspectors are trained by experienced senior inspectors in all tasks as specified in **Table 02** below.

a) The first level will be the new inspector to observe the experience inspector actually performing the task.

b) Once this task has been performed satisfactorily over a period of time by the experienced inspector, the new inspector shall perform the task being observed and coached by an experienced inspector followed by debrief.

c) After being tested and certified by a designated check Inspector on successfully performing the task in accordance with CAA requirements, training records of the new inspector shall be updated (Form CAASL-AW-007) in Section 3 of this manual

Successful completion of Inspector Basic course, OJT with approval certification will enable the inspector to conduct inspections/ audits and surveillance activities.

Table 02 (on the job training) – Identifies typical OJT requirements for an Inspector

S/N	Training Type	Events
1	Ramp Inspection	03 Inspections
2	Maintenance Organization Inspection	03 Inspection
3	MOE Review	01 Manual
4	Maintenance Workshop Approval	02 Inspection
5	MTOE review	01 Manual
6	Continuing Airworthiness Management Organization Inspection	03 Inspection
7	CAME Review	01 Manual
8	Issuance and Renewal of Certificate of Airworthiness	03 Issuances & Renewals
9	Issuance and Renewal of Certificate of Registration	03 Issuances & Renewals
10	Aircraft Acceptance	02 Aircrafts
11	Aircraft Refueling	01 Event
12	Maintenance Programme Evaluation	01 Event
13	Granting Noise Certificate	01 Certificate
14	Evaluation for Authenticity and serviceability of aircraft spares	01 Evaluation
15	Weight and Balance control	02 Assessment
16	Aviation stores control	01 Event
17	Member of the AOC team	02 AOC Certification
18	Safety Management System/SSP	03 Visits
19	Issuance of Flight Permits	02 Certificate

5.3.7 ADVANCED TRAINING

Advanced training required for Airworthiness Inspectors will start 3 years after inducting a CAI to CAA. The list of courses and the duration of the courses are as indicated in the following table, the courses will be given as required.

Table 03 (Advanced Training)

S/N	Training Type
1	Reliability Programme Approval
2	Conducting Aircraft Maintenance License Examination
3	EDTO Approval
4	RNP/ PBN/ LVO Approval
5	MEL Approval
6	RVSM Approval
7	Accident Investigation
8	Structural Integrity program for aging Aircraft/ EWIS
9	Special Approval NDT RT/UT/ET/MT/PT
10	Welding
11	Drafting Regulations / Implementing Standards
12	State Safety Program
13	Aircraft Type Training (as requed)
14	Concession evaluation
15	Granting Approval for Airworthiness Review Staff (ARC) in Airline
16	Analyzing of applicable Mandatory occurrence reports for implementation
17	Airworthiness Approval for Electronic Flight Bag
18	Development of guidance material for Industry
19	Evaluation of Influence of Human Factors in Maintenance
20	SAFA Including Practical
21	Initial Certification of Air Operators

5.3.8 OTHER TRAINING

Airworthiness Inspectors must also be provided with continuation training to ensure that they remain current in their profession. Periodic practical and theoretical specialized (technical) training, including supervisory courses, will enable the Inspectors to maintain a high level of knowledge and expertise to carry out their responsibilities effectively and efficiently. An Inspector is required to undergo a type-rating course. Routine surveillance activities can be accomplished on any aircraft in airline service whether or not the Inspector is type trained on that particular type of aircraft.

5.3.9 RECORD KEEPING

To ensure systematic and comprehensive training of Airworthiness Inspectors, it is necessary to maintain a Training File for each Inspector. The Training File records must be reviewed and updated at regular intervals. Record of all On Job Training imparted to an Inspector must also be maintained in the Training File.

Each member of staff who is nominated to undergo training by CAASL either in-house or Out-house (Local/Foreign), upon completion of trainings shall provide to D(AW) a copy of training completion certificate which indicates either

a. Successful Completion(Where examination is held) or
b. Certification of course attendance (where no examination is held)

D(AW) shall ensure such certificate is filed in the individual training file held in the section by the assigned CAO. The assigned CAO is also responsible for updating the individuals training database held in sectional shared folder.

5.3.10 SOURCES

Technical Training of Airworthiness Inspectors may be accomplished from several sources. These can be contracted to an operator who offers a course that is approved in its country or offered by aircraft manufacturers, or through other training organizations available locally or abroad.

SECTION TWO

CHAPTER 1 – REGISTRATION OF AIRCRAFT

1.1 INTRODUCTION

This section lays down the recommended procedures to be followed by the Airworthiness Inspectors for registration of aircraft.

1.2 REFERENCES

The applicable references concerned with issue and renewal of C of R are

ANR	Chapter III- 7-17 of ANR 1955
IS	086
ICAO	Annex 7,
Forms	CAASL/AW/A/003 - Application for C of R
Checklists	C of R Check List

1.3 ELIGIBILITY

- The aircraft shall not be currently registered in any State.
- The aircraft shall have an approved Type Certificate equivalent to EASA part 21 or FAR 21. Above type certificates are accepted by the CAASL as it is.
- The aircraft is either owned or to be operated by a citizen of Sri Lanka or a body corporate incorporated under the laws of Sri Lanka having its principal place of business in Sri Lanka;
  or
  The aircraft is either fully owned or to be operated by the Government of Sri Lanka or any Public Corporation;
  or
  In the case of leased aircraft, if it is to be operated under an AOC issued by DGCA or the applicant has applied to DGCA for issue of an AOC;
  or
  It is owned or to be operated by any person approved by Cabinet of Ministers.
- Aircraft shall be in Maintenance Steering Group (MSG)-03 for large aircraft (MTOW > 5700 kg)
- The aircraft confirms to all the requirements published by the CAA in regard to communications, navigation and surveillance equipment, safety and emergency equipment on board as per SLCAIS 095.

1.4 REGISTRATION PROCEDURE

A. For registration of an aircraft, an application shall be made to the DGCA on Form CAASL/AW/A/003. The form is available on CAA Sri Lanka website: www.caa.lk.

B. Along with the fully completed application form, the applicant should submit the following documents to proceed with the application.

- Proof of cancellation of registration certificate (de-registration certificate) if it was registered with any other state.
- Proof in regard to eligibility of the person/firm in whose name the aircraft will be registered.
- Proof of ownership of the aircraft and any other legal interest in the aircraft such as mortgage and security
- Aircraft Type Certification
- Custom Clearance Certificate
- Copy of Airline License
- Copy of the import permit (Bill of sales)
- If the aircraft is leased, an attested copy of the lease agreement
- The appropriate fee as prescribed in fees as per SLCAP 7100-Fees & Charges.

C. Failure to provide the above documents will invalidate their application.

D. Upon receipt of the application form and the respective documents, the airworthiness section will evaluate the form for completeness; consultation of the legal section will be obtained if needed. In cases of any deficiency, the applicant shall be intimated in writing and failure to provide the above documents will invalidate the application;

E. The aircraft should not be registered if the following conditions exist:

- There is any doubt about the eligibility of registration of the aircraft.
- It would not be in the public interest to register the aircraft.

F. If the application form is complete and meets all the requirements laid down in SLCAIS 086, SLCAD-009 and the relevant chapters of ANR, airworthiness section issue a registration number and Certificate of Registration.

G. Particulars in the Certificate of Registration should be recorded in the Civil Aircraft Register, and computer records updated in the CAA website, CAO Dealing with the subject shall enter all information in the State aircraft register and Director (Aircraft Registration & Airworthiness) or other designated officer signs after confirming that the completeness and accuracy of the data entered.

H. As required by the IS, a register of civil aircraft is maintained at the Airworthiness Directorate of DGCA, which is open to inspection by

members of public during office hours. The register contains all the information contained in the individual C of R as required by ICAO Annex.

1.5 CERTIFICATE OF REGISTRATION

A. The Certificate of Registration shall be issued in the standard format which complies with the content in ICAO Annex 7.

B. The registration number shall be allocated as per order in the register in the format, 4R-XXX, where 4R is the designated Nationality Mark for Sri Lanka and XXX stands for letters of registration mark issued by CAA to a particular aircraft with the consultation of the operator. It shall be ensured that no registration mark will be repeated with the existing marks in the register.

C. A copy of the C of R should be filed appropriately in a file relevant to particular aircraft.

D. Registration markings shall not be allotted which might be confused with international Code of Signals, especially: a) Registration beginning with the letter ‘Q’ and b) Registrations such as ‘SOS’, ‘XXX’, ‘PAN’ and ‘TTT’

E A copy of C of R shall be filled appropriately in the a/c file

1.6 VALIDITY AND MAKING CHANGES TO THE CERTIFICATE OF REGISTRATION

A. The C of R is valid only for one calendar year.

B. A certificate of registration becomes void when there is a change of ownership of the aircraft. The certificate should be changed accordingly to reflect it.

1.7 INTIMATION OF REGISTRATION TO STATE OF DESIGN

If the type of aircraft registered is first time imported into the country the CAASL shall intimate the "State of Design" that it has registered this particular type of aircraft in Sri Lanka.

1.8 ISSUANCE OF LAPSED CERTIFICATES

A. If the registration certificate has lapsed for more than one year the operator should forward an explanation for not renewing the certificate.

B. All relevant documents such as Application, any changes of ownership have to be submitted

C. Relevant lapsed payments have to be paid by the operator

1.9 DE-REGISTRATION OF AIRCRAFT

A. Application for de-registration of an aircraft shall be made by the registered operator of the aircraft on behalf of the owner. Owners consent should also be submitted

B. A certificate of de-registration shall be issued if the aircraft has been permanently withdrawn from service, or when the registered owner wish to cancel the registration for any other reason

C. The airworthiness section shall ensure that the registered owner/operator returns the Certificate of registration before de-registration of aircraft.

D. The de-registration of the aircraft shall be informed to the owner via a letter and to the National Authority where the aircraft is to be re- registered via AFTN message.

E. The aircraft register shall be updated and countersigned by an authorized officer accordingly. A letter of de-registration / cancellation of the aircraft registration shall be forwarded to the owner only after deregistration shall be forwarded to the owner only after deregistration. A copy shall also be forwarded to the Directorate of operation for affecting necessary entries in the AOP.

1.10 CARRIAGE OF CERTIFICATE OF REGISTRATION

The Certificate of Registration shall be carried on board of every aircraft registered in Sri Lanka when engaged in flight operations.

1.11 MAINTENANCE OF STATE AIRCRAFT REGISTER

1.11.1 TYPES OF AIRCRAFT REGISTER

Two versions of aircraft register have been made

- Hard copy of the Register
- Electronic Record

1.11.2 PROCEDURE FOR KEEPING THE STATE AIRCRAFT REGISTER

The Airworthiness Section maintains a hard copy of the aircraft register as the primary copy of the Aircraft Registration. An Electronic Record also maintained by the assigned officer. The register contains all mandatory fields as entered in the C of R. The procedures for up keeping the register are as follows:

a) A copy of the duly filled C of R application form along with the recommendation forwarded to the Airworthiness section.

b) The authorized officials verify the availability of the registration mark in the event of operator's choice. Otherwise an available mark is being allocated to the aircraft.

c) A register with all pages serially numbered contains all mandatory column as required in the C of R.

1. Certificate of Registration number and file number
2. Type of aircraft, Manufacturer's Serial number
3. Category
4. Engine Type
5. Propeller Type
6. Name and address of the owner
7. Name and address of the operator
8. Nationality of the owner
9. Fees details
10. C of A Number
11. Main base of operation
12. Validity of C of R
13. Date of Registration
14. Details of change of ownership and reason for registration lapses
15. Remarks with officer signature

d) The officer ensures that all columns are filled up correctly and upon verification the D(AR&AW) signs and affixes his stamp.

e) No alteration of information of any column is permitted unless and until it approved by the competent authority. The DGCA.

f) The register is under the safe custody of the Director (Aircraft Registration & Airworthiness) and vested with responsibility in safe and fire-proof location of the section, securing from any form of damage. Backup of the Electronic Record is being maintained by the assigned officer in secure independent location.

g) The register is subjected for periodic internal audits

1.11.3 AIRCRAFT REGISTER RETENTION AND MANAGEMENT PROCEDURE

a) The Hard copy Bound Civil Aircraft Register is the primary record of Civil Aircraft information that are registered in Sri Lanka.

b) Civil Aviation Officer of Airworthiness Section is responsible for safekeeping of this primary record.

c) The Register will be always kept in the Fire proof safe in the DRHRO in level 3 of CAASL HQ at Minuwangoda Road, Katunayake, Sri Lanka, unless an entry/amendment is required to be done in the Register.

d) When the Register is required for reference and usage by Senior Inspector or Director of Airworthiness, the responsible Civil Aviation Officer will be required to obtain the Register from the custodian of the Fire Proof Safe at HRO.

e) After required action within Airworthiness Section is complete, the Register will be returned to its Safe Keeping Location.

f) If required action is not completed within the working day, the Register will be returned to its Safe Keeping location and retrieved the next working day.

g) Civil Aviation Officer assigned is responsible to ensure the above procedure is followed and adhered to and the Register when returned HRO is stored in the Fire Proof Safe.

h) Civil Aviation Officer assigned is responsible to ensure no unauthorized entry is made in the Civil Aircraft Register.

i) Civil Aviation Officer assigned is responsible to notify the Director Airworthiness if any deviation is noticed in the above Procedure , or a discrepancy is detected with regards to the Register or its safekeeping

Note : Check List for issue of C of R is given in the section 3 of this Manual

SECTION TWO

CHAPTER 2 – ISSUE OF CERTIFICATE OF AIRWORTHINESS

This procedure lays down the recommended procedures to be followed by the AID inspectors for issuing or renewing the Certificate of Airworthiness in respect of aircraft registered in Sri Lanka.

Note-1. For the purpose of the procedures describe in this section, the term "Aircraft" is intended to include its engines, propellers, and instruments and equipment.

Note-2. Term AW means Airworthiness Section of CAASL.

2.1 INTRODUCTION

Issue and renewal of Certificates of Airworthiness (C of A) is one of the main and primary functions of the AW in the CAASL.

Certificate of Airworthiness is issued to a complete aircraft indicating that the particular aircraft meets the requirement of type design acceptable to CAA Sri Lanka. Inspection of aircraft and issue / renewal of its C of A ensure that the aircraft is airworthy and safe for flight.

ANR 18 requires that all aircraft engaged in flight operations in Sri Lanka must have a valid Certificate of Airworthiness issued or rendered valid by the State in which the aircraft is registered. ANR 19 further lays down the requirements to be followed for issue, renewal, validation of C of A by CAA Sri Lanka.

2.2 REFERENCES

The applicable references concerned with issue and renewal of C of A are:

ANR	Chapter IV-18 of ANR 1955
IS	21 (SLCAIS – 084)
ICAO	Annex 8, Chapter 3,
Forms	CAASL/AW/A/001:Application for C of A (Initial Issue)
	CAASL/AW/A/002:Application for C of A (Renewal)
Checklists	C of A Issue/ Renewal Check List

There are two situations when dealing with a Certificate of Airworthiness:

a. The issuance of a new Certificate of Airworthiness when an aircraft is first registered in Sri Lanka;

b. The renewal of a Certificate of Airworthiness issued by the CAA Sri Lanka; and

2.3 ISSUE OF A CERTIFICATE OF AIRWORTHINESS

A. The applicant shall apply on the form CAASL/AW/A/001, prescribed for issue of C of A giving, complete details sought in the form. Incomplete applications shall not be entertained and the deficiencies in terms of its completeness and the requisite enclosures shall be immediately conveyed to the applicant.

B. The application shall be submitted along with the applicable, fees as per SLCAP 7100-Fees & Charges Levied by CAA SL.

C. The issuance of C of A may be in respect of Aircraft imported;

1) in dismantled condition and brought in crates;
2) via flight
3) Aircraft imported from abroad on Sri Lankan registration marking

2.3.1 ISSUE OF CERTIFICATE OF AIRWORTHINESS TO AN AIRCRAFT BROUGHT IN CRATES

- An aircraft imported in crates will have to be assembled by an appropriately licensed engineer,

- Test flown by a pilot having appropriate rating and flying experience on the particular type of aircraft unless otherwise permitted by the CAA. Credentials of the Test Pilot shall be presented to CAASL for acceptance

  It is also necessary that the aircraft's corrected weight and CG is determined and a weight schedule prepared. The weight schedule could be prepared on the basis of the manufacturer's document after computing the changed weight after fitting additional components/equipment etc. However, where such information is not available, the aircraft shall be weighed and the CG determined.

  In addition to the aforesaid requirements, the prospective operator applying for issue of C of A shall submit an inspection report by appropriately licensed AME / approved person(s) certifying that;

  (i) the aircraft is airworthy and meets all the requirements currently in vogue for issue of C of A;

(ii) all work carried out on the aircraft including major repairs, modifications etc. have been performed by licensed/ approved persons and the various test reports / certificates are available for inspection by the Airworthiness Inspectors;
(iii) modifications/ service bulletins, airworthiness directives, as applicable to the aircraft up to the date of inspection, have been complied with;
(iv) the checks/scheduled inspection associated with the C of A issue of the particular aircraft have been carried out satisfactorily;
(v) the aircraft has been test flown and the result of the test flight is satisfactory; and
(vi) The Aircraft Flight Manual is up-to-date.

In addition to the above the applicant shall;

(i) make the aircraft available, at a time and place acceptable to the Airworthiness Section; for such checks and inspections considered necessary by the Airworthiness Section; The Airworthiness Inspector(s) will carry out inspection of the aircraft to the extent possible to judge the standard of work performed
(ii) provide personnel and equipment so that these checks and inspections may be satisfactorily carried out;
(iii) make available all log books, the relevant records of previously completed inspections, Maintenance, flight test and calibration for inspection by the Airworthiness Section;
(iv) ensure that all work required to be done on the aircraft for the issue of a Certificate of Airworthiness should be carried out under the supervision of an organization approved by, or acceptable to CAASL and should be carried out in a proper manner and conform to the requirements, specifications, drawings and instructions relating to the approved design of the subject aircraft;
(v) ensure that Full particulars of the work done should be entered in the appropriate logbook and a maintenance release should be issued;

2.3.2 ISSUE OF CERTIFICATE OF AIRWORTHINESS TO AIRCRAFT FLOWN INTO SRI LANKA

The aircraft can be flown to Sri Lanka

(i) Under Foreign C of R; or
(ii) Under Sri Lankan C of R.

If the aircraft has been brought into Sri Lanka on a foreign registration it will have to have that country's C of A apart from the export C of A. After landing in Sri Lanka, the custom clearance permit or the import license will have to be obtained by the importer while applying for issuance of C of R and subsequent C of A.

The procedure adopted shall be same as described in (2.3.1) except that the additional inspection for assembly and subsequent test flight is not be required.

The airworthiness inspectors will ensure the following, besides inspection of the aircraft:

(i) availability of the export C of A;
(ii) proof of the custom duty having been paid;
(iii) the various log books in respect of the aircraft, its engines and Radio Navigation equipment and any other special equipment, as applicable;
(iv) The journey Log Book / Tech Log Book giving the details of the flight.

After the aircraft is registered the various log books, Aircraft Flight Manual and other Maintenance Manuals will have to be scrutinized to ascertain the condition of the aircraft. Physical inspection of the aircraft shall be carried out to ensure that the last flight was satisfactory and no major defects were reported during the flight.

2.3.3 AIRCRAFT IMPORTED FROM ABROAD ON SRI LANKAN REGISTRATION MARKING

On many instances the airline/ operator may request for import of aircraft from abroad on Sri Lankan registration and markings. In addition to the procedure for issue of C of A, the operator shall make a request to the CAA, which after considering all the factors, i.e. design standards, type certificate, country of manufacture may agree to such a request and on payment of the necessary fees the aircraft is registered and marking issued. It will be essential to carry out inspection of the aircraft before issuing the C of A. The airline/operator will make arrangement for the CAA Inspector to get the aircraft inspected for the issue of C of R and C of A before it can fly on the national / international routes.

2.4 DOCUMENTS FOR RETENTION

The applicant shall provide the following documents for examination and retention by the Airworthiness Section;

A. A copy of the Type Certificate and the Type Certificate Data Sheets or acceptable equivalent documents;

B. A copy of Export Certificate of Airworthiness and the current Certificate of Airworthiness, if applicable;

C. A copy of Aircraft Flight Manual;

D. A copy each of the Aircraft / Engine Manufacture's Maintenance, Overhaul, Repair and Wiring Diagram Manuals.

E. A copy of Aircraft/ Engine illustrated Parts Catalogue;

F. A complete set of all manufacturer's Service Bulletins or equivalent documents issued in respect of the aircraft;

G. A copy of the mass and balance report;

H. A flight test report for the aircraft, as applicable;

I. A copy of "maintenance planning data"/ MRB report;

J. A copy of the MMEL / CDL.

2.5 RENEWAL OF A CERTIFICATE OF AIRWORTHINESS

An application for renewal of a Certificate of Airworthiness should be completed on form CAASL/AW/A/002 and submitted to the AID at least thirty days prior to the expiry of the Certificate.

The applicant shall;

A. make the aircraft available, at a time and place acceptable to the Airworthiness Section for such checks and inspections as required by Airworthiness Section;

B. provide the necessary personnel and equipment so that required checks and inspections may be satisfactorily carried out;

C. make all relevant records of previously completed inspection, maintenance, flight test and calibration available for inspection by the Airworthiness Section;

D. Ensure that performance and handling qualities of the aircraft, where applicable, have been tested in flight to schedules approved by the Airworthiness Section;

E. A copy of an inspection report giving brief details of the work done since the last renewal of the Certificate of Airworthiness;

F. a record of the work accomplished since the last renewal of the certificate;

G. a record showing details of major checks carried out since the last renewal of the certificate;

H. a record of airframe, engine and propeller flying hours as follows:

1. the total flying hours for the airframe since new and the flying hours since the last renewal;

2. the total flying hours for the engine(s) since new and the flying hours since the last overhaul;
3. the total flying hours for the propellers since new and the flying hours since the last overhaul;

I. a record showing compliance with service bulletins, modifications and Airworthiness Directives or their equivalent; and

J. a record of major component changes.

2.6 VALIDITY OF CERTIFICATE OF AIRWORTHINESS

C of A will normally be valid for one year and shall be renewed after following the procedures as described above. Under no circumstances it shall be issued or renewed for a period of more than one year, the same however could be restricted below one year if felt necessary by the Airworthiness Section.

2.7 GENERAL

Emergency items such as First aid kits, fire extinguishers, life jackets, and life vests escape slides have to be on board and no relaxations should be granted in such cases. However, certain requirements which may not affect the safety immediately for which the operator has got a genuine difficulty in complying with due to non-availability of spares, any special tool not available, the C of A could be renewed in such cases for which the operator should be told in writing that these requirements must be complied with within a definite time limit. Head of the Airworthiness Section may grant such relaxations up to a maximum period of 30 days, provided the operator has been able to show documentary evidence that they have placed the order for the spares/ items and the same could not be procured in time due to the circumstances beyond their control.

Weighing of aircraft could also be deferred where the facility for weighing is not readily available or the weighing scales are not calibrated or serviceable.

This requirement could also be given a time limit for compliance but should not exceed a period beyond three months. However, where there is a doubt that the CG has shifted appreciably due to some major modification, replacement of part, change of engine, no relaxation should be granted and the aircraft has to be weighed and CG determined before the C of A could be issued.

2.8 INSPECTORS AUTHORISED TO ISSUE / RENEWAL C OF A

D(AR&AW) is authorized by the Director General to issue/ renewal of C of A. While issuance / renewal of C of A, the inspectors must complete the checklist before putting up the case for issue/renewal on the file. C of A shall not be signed unless the relevant check list has been completed in all respects.

2.9 SUSPENSION OF CERTIFICATE OF AIRWORTHINESS

ANR 40 prescribes the conditions under which C of A stands suspended or deemed to be suspended.

In general, the certificate stands suspended or canceled when the aircraft suffers major damage, unapproved modifications/repairs have been carried out and life expired components continue to remain on the aircraft. In such cases the certificate is automatically validated after the above deficiencies are removed and certified by an AME.

2.10 FERRY FLIGHT OF AIRCRAFT WHERE C OF A IS SUSPENDED

Where the C of A is suspended or deemed to be suspended for any reason ferry flight permission can be granted to take/bring the aircraft back where the repair facilities are available. However, such ferry flight should be permitted without any passengers with the minimum crew required for the flight as mentioned in the Flight Manual and the maintenance or repair which is considered essential has been carried out for the purpose of ferry flight. The requirements for issuance of ferry flight are given in SLCAIS 084.

Note : Check List for issue of C of A is given in the section 3 of this manual

2.11 VALIDATION OF A CERTIFICATE OF AIRWORTHINESS

Annex 8 requires that when a State of Registry renders valid a Certificate of Airworthiness issued by another Contracting State it shall provide a suitable statement of authorization to be carried with the original certificate.

The Director-General shall have the power to validate for such period not exceeding three months, as may be determined by the Director-General, a Certificate of Airworthiness issued by another contracting state on application made in that behalf by the owner or operator of such aircraft.

When CAASL renders valid the certificate of Airworthiness issued by another contracting state it is by its action, certifying that it is satisfied that the certificate was issued in compliance in all respects with the convention and the provisions of the applicable Annexes. Furthermore, as the new State of Registry CAASL, is henceforth responsible for ensuring the continuing airworthiness and safe operation of the aircraft.

2.12 ISSUE OF EXPORT CERTIFICATE OF AIRWORTHINESS

This Airworthiness Procedures provides guidance for issue of Export Certificate of Airworthiness (C of A) for used aircraft.

It is important that the Airworthiness officials obtain the necessary information on any special requirements or conditions from the regulatory authority of the importing country for issue of Export C of A.

Special requirements

The administrative requirements which must be satisfied as a condition of shipment at the time of export are generally referred to as special requirements, and include for example the requirement for an Export Certificate of Airworthiness for the aircraft, copies of log books, flight manuals etc. When a product does not meet the special requirements of the importing country, the

exporter should obtain a written statement from the regulatory authority of the importing country indicating acceptance of the deviation.

An Export Certificate of Airworthiness shall be issued to an applicant for an export of used aircraft if it can be shown that, at the time the aircraft is submitted to the DGCA for export airworthiness approval, it meets the following requirements as applicable:

a) Used aircraft shall meet the airworthiness requirements as stipulated by DGCA and any other special requirements of the importing country;

b) Used aircraft shall have undergone an annual inspection and be approved for return to service. The inspection shall have been performed and properly documented within 30 days before the date the application is made for an Export

2.13 RESPONSIBILITIES OF EXPORTERS

Each exporter requesting an export airworthiness approval for a product shall:

a) forward to the regulatory authority of the importing country all documents and information necessary for the proper operation of the aircraft being exported, e. g., flight manuals, maintenance manuals, service bulletins, assembly instructions and such other material as is stipulated in the special requirements of the importing country. The documents, information and material may be forwarded by means consistent with the special requirements of the importing country;

b) forward the manufacturer's assembly instructions and a DGCA approved flight test check-off form to the Regulatory Authority of the importing country when unassembled aircraft are being exported. These instructions shall be in sufficient details to permit whatever rigging, alignment and ground testing is necessary to ensure that the aircraft shall conform to the approved configuration when assembled;

c) remove or cause to be removed any temporary installation incorporated on an aircraft for the purpose of export delivery and restore the aircraft to the approved configuration upon completion of the delivery flight;

d) secure all proper foreign entry clearances from all the countries involved when conducting sales demonstrations or delivery flights;

e) in such case(s) where the title to an aircraft passes or has passes to a foreign purchaser

f) request cancellation of the current registration and certificate of airworthiness, giving the date of transfer of title, and the name and address of the foreign owner.

g) return the Certificate of Registration and Certificate of Airworthiness to the DGCA; and submit a statement certifying that the Country's identification and registration numbers have been removed from the aircraft.

2.14 PROCEDURE FOR ISSUANCE OF NOISE CERTIFICATE

2.14.1 GENERAL CERTIFICATION REQUIREMENTS

1) NOISE STANDARDS

1.1 All aircraft operated internationally under AOC issued by the Director General of Civil Aviation shall comply with noise standards of ICAO Annex 16, Volume I.

1.2 Noise certificates are issued on the basis of noise certificates issued by the National Aviation Authority (NAA) of ICAO Contracting States responsible for issue of Type Certificate in compliance with ICAO Annex 16 Volume I noise standards or equivalent noise standards information/data contained in the NAA (National Aviation Authority) approved flight manual. Refer SLCAIS 081.

2.14.2 ISSUE OF NOISE CERTIFICATE

1. An operator/owner is required to submit the following documents to the CAASL requiring the issue of Noise Certificate by the Director General of Civil Aviation.

   (a) The application for Noise certificate should forward to this office in the time of requesting initial registration of aircraft and the Application for issue of Noise Certificate CAASL/AW/A/013 is given in the section 3 of this manual.

   (b) Original copy of the Noise certificate or TCDS for Noise issued by the NAA responsible for issue of Type Certificate of the aircraft type; or

   Subsequent Noise Certificate(s) issued by the NAA(s) responsible for issue / renewal of Certificate of Airworthiness and Noise Certificate of the aircraft, if applicable;

   (c) Approved and current Flight Manual or other document / manual confirming that the aircraft complies with the noise standards in SLCAIS 081

   (d) Verification and the statement that there has been no adverse and/or unapproved change in the acoustical design of the aircraft/engine and the current status of the aircraft and engine is in compliance with type design.

   (e) Charges for Issuance of Noise Certificate to be paid

2. Noise certification shall be granted by DGCA for an aircraft on the basis of satisfactory evidence that the aircraft complies with requirements that are equal to the applicable standards specified in SLCAIS 081.

3. The noise certificate issued by DGCA shall be required to be carried on the aircraft.

4. The Noise Certificate for an aircraft shall provide at least the following information:

   a. Aircraft Registration Mark
   b. Aircraft Manufacturer
   c. Aircraft Serial Number
   d. Engine Manufacturer Type/Model
   e. Propeller Type/Model
   f. Maximum Take-off Mass
   g. Maximum Landing Mass
   h. Noise Certification Standards
   i. Additional modifications incorporated, if any, for the purpose of compliance with the applicable noise certification standards.
   j. Lateral/full-power noise level
   k. Approach noise level
   l. Flyover noise level
   m. Over flight noise level
   n. Take-off noise level
   o. Remarks
   p. Statement of compliance including reference to Annex 16, Vol. I
   q. Date of issuance of the noise certification document
   r. Signature

6. The format for the Certificate of Noise CAASL-AW-014 is given in the section 3 to this manual

2.14.3 SUSPENSION/ CANCELLATION OF NOISE CERTIFICATE

DGCA shall suspend or revoke the noise certification of an aircraft on its register, if the aircraft ceases to comply with the applicable noise standards. DGCA shall not remove the suspension of a noise certification or grant a new noise certification unless the aircraft is found, on reassessment, to comply with the applicable noise standards.

SECTION TWO

CHAPTER 3 – IMPLEMENTATION OF ICAO SARPS

3.1 IMPLEMENTATION OF ICAO SARPS

This section describes procedure to be followed by the Airworthiness Section for the implementation of ICAO SARPS of Annexes relevant to airworthiness.

3.2 INTRODUCTION

Sri Lanka, being a contracting State of ICAO has an obligation to implement locally the Standards and Recommended Practices of ICAO. Therefore it is essential that all SARPS of ICAO to be added to the regulations by means of issuing or amending ISs giving effect to the latest status of the Annexes.

3.3 REFERENCES

The applicable references concerned with implementation of ICAO SARPS

ICAO	Annexes – Annex 7, Annex 8, Annex 16 Volume 1 and Volume 2
IS s	Applicable ISs to be amended
DGCA office procedure reference	MC-2018-02 issued on June 11, 2018

3.4 SUMMARY OF ACTIVITY

A. Local implementation of SARPS of ICAO Annexes as ISs

B. Filing differences (states deviation from ICAO SARPS.)

3.5 IMPLEMENTATION PROCEDURE

The steps for the implementation are in compliance with Management Circular bearing reference MC-2018-02 issued on June 11, 2018

A. Maintenance of current data base for compliance with each SARP of Annexes.

B. Local implementation of SARPS of relevant Annexes.

C. Registration of State letters on amendments to the applicable Annexes or on any other matter on receipt of them from DGCA.

Note : Receiving of State letters and the distribution for action is explained in Management Circular No. MC-2018-02 issued on June 11, 2018

D. Hold meetings – D(AR&AW) Chair the meeting with supporting staff to discuss the contents of the state letter and the proposed amendments to relevant ICAO Annex.

E. Obtain views of the officers concerned in CAA and also of the industry if necessary by sending for observations.

F. Table the subject matter with collected inputs at the Development Planning and Implementation Group (DPIG) meeting with views to discuss and obtain further inputs.

G. Submit a brief report, prepared on the basis of views collected from the Section, CAA officers, industry and members of DPIG to DGCA for approval.

H. Receipt of DGCA's decision.

I. Follow up action depending on DGCA's decision.

I. Non – compliance

Notify ICAO Head Quarters with a copy to Regional office. Use attachment 'B' to the state letter for 'Notification of disapproval of all or part of amendment to Annexes concerns" before the deadline.

II. Compliance

Take action to amend the existing regulations rules and procedures and update the data base.

1) Amend related ISs.
2) Amend check lists, Audit Protocols etc.
3) Submit for DGCA's signature
4) Ensure that IS's are issued to sections of CAA and the industry.
5) Ensure that the differences are published in the AIP of the state.
6) Ensure that updated IS's are published in the web.
7) Organize a meeting with the industry if necessary and brief them of the new requirements. Receive inputs from the industry and review CAA's position.
8) Update databases related to amended documents.

III. If local implementation programme is completed before the deadline

Notify ICAO Head Quarters with copy to regional office on paragraph 1 of attachment 'C' to relevant state letter. "Notification of compliance with or differences from Annex before the deadline under the signature of DGCA.

IV. If local implementation is observed difficult to achieve before the deadline.

Notify ICAO Head Quarters with copy to regional office using paragraphs 2 and 3 of the Attachment 'C' to state letter for "notification of compliance with or differences from Annex before the deadline under the signature of DGCA.

J. If necessary take additional means to expedite the implementation & ensure local implementation is fully met.

K. Organize awareness programme of all updated SARPS and of existing differences in Airworthiness requirements and of the target dates of compliance with SARP as notified to ICAO already as per para 3 of attachment C referred to at (I - iv) above.

L. Action Officers - All matters shall be actioned by D (AR&AW) as the Sectional Head directly or by designated officers in the section appropriately.

SECTION TWO

CHAPTER 4 – CHANGES TO APPROVED TYPE DESIGN

4.1 INTRODUCTION

1. A Type Certificate issued in accordance with Annex 8, Part II, Section 1.4 is evidence of approval of a type design of an aeronautical product in its configuration as of the date of Type Certificate issuance or approval. After issuance of an initial or original Type Certificate, there are many activities that can be performed or required by the Type Certificate holder, the State of Design, a State of Registry, aircraft operators, and other design organizations that will result in the modification of an aeronautical product. Incorporating a modification to an aircraft will invalidate its conformity to a Type Certificate, until such time that the modification is approved and recorded as part of an approved type design for that specific aircraft. The intent under Annex 8, among other things, is to ensure that the aircraft Type Certificate remains valid, and that an approved type design exists, throughout the service life of the aircraft.

2. A major modification to an aircraft should be accomplished in accordance with design data approved by, or on behalf of, or accepted by the airworthiness authority of the State of Registry, such that the modification conforms to applicable standards of airworthiness. This relationship between modifications to aircraft and the Certificate of Airworthiness is clearly explained by the following three requirements that form part of several general provisions on maintenance in Annex 6:

   a) an operator must ensure that the Certificates of Airworthiness of an aircraft they operate remain valid;
   b) an operator must keep records of appropriate details of modifications incorporated on aircraft;
   c) modifications shall comply with airworthiness requirements of, or acceptable to, the State of Registry, and procedures shall be established to ensure that the substantiating data supporting compliance with the airworthiness requirements are retained.

3. Approving a modification can be processed in many ways, depending on the scope and complexity of the proposed design change and the regulatory system in place for each Contracting State. But the general process of approving the design change remains fundamentally the same with that of a type certification process. Annex 8, Part II, 1.3.4, puts an obligation on all Contracting States to ensure their approval of a design of a modification is based on satisfactory evidence that the aircraft continues to comply with the design aspects of the appropriate airworthiness requirements used for the type certification of that aircraft. Satisfactory evidence of approval of a modification is most commonly recorded as either an amendment or supplement to the Type Certificate.

4. The airworthiness section of CAASL is responsible for the approval of modifications incorporated on civil aircraft that have been issued a Certificate of Airworthiness in accordance with Annex 8. CAASL approve aircraft modifications through reliance and acceptance of modification approvals already granted by the State of Design of an approved design organization.

5. CAASL, give maximum credit and recognition to the modification approvals granted by the State of Design or another Contracting State with a demonstrated technical capability, and avoid duplicate or redundant testing where practical, and without prejudice to its own unique national requirements. Work towards in reducing the amount of work needed to accomplish the approval of an aircraft modification.

4.2 APPLICATION FOR APPROVAL OF A MODIFICATION

4.2.1 GENERAL

A. An applicant requesting approval of a proposed modification to an aircraft, engine or propeller can be an organization, an individual or, where allowed by CAASL, a representative for that organization or individual. Examples of an applicant could be the Type Certificate holder, an aeronautical product manufacturer, a specialized design engineering organization, Air Operator with approved engineering capability, individual engineers as consultants, or an aircraft maintenance organization or repair station. Regardless, the applicant is the organization or individual that has responsibility for the proposed modification and in whose name the approval will be granted. In cases of complex design changes involving multi-national agreements, joint ventures, partnerships or similar collaboration, the applicant remains overall responsible for integrating all design data from its various sources, and submitting it to CAASL as a complete and detailed proposal for the modification of an aircraft, engine or propeller.

B. The Contracting State that has first taken responsibility for approval of a modification is designated as the State of Design for the modification, and by definition must have jurisdiction over the individual or organization responsible for the modification. A clearly identified State of Design is necessary to allow for the implementation of the responsibilities on continuing airworthiness of aircraft under Annex 8, Part II, Chapter 4.

4.2.2 APPLICANT

A. A person or organization (holder) to whom a Type Certificate was issued for an aircraft, engine or propeller can apply for an amendment of their Type Certificate. The holder is responsible for the type design of the complete aeronautical product, and is entitled under the privileges of their Type Certificate to introduce modifications to their type design, while still maintaining full

responsibility for the complete product. It is also the privilege of a holder to request approval of their modification through a supplemental approval instead of an amendment of their Type Certificate. The decision to purse an amendment or supplemental approval is usually made by the holder.

B. A person or organization (non-holder) who does not hold the Type Certificate for the product can only apply for approval of their modification as a supplement to a Type Certificate, commonly referred to as an approval under a Supplemental Type Certificate (STC). An STC is an approval of only those aspects or areas of the aircraft, engine, or propeller that were modified. This is the primary reason why a non-holder of a Type Certificate is not eligible to apply for an amendment of a Type Certificate.

C. An applicant may be located within the geographical jurisdiction of a State of Registry (considered a local applicant) or located in another State (considered a foreign applicant). Annex 8 makes no distinction between local and foreign applicants, as both are required to demonstrate compliance of a modification to the appropriate airworthiness requirements of a State. A major consideration by a State of Registry in accepting a foreign applicant should be the existence of the State of Design for the proposed modification. Annex 8 recognizes that the State of Design has formal jurisdiction over the individual or organization responsible for the design change. Further, Annex 8, Part II, Chapter 4 specifically defines the relationship that should exist between the State of Design and a State of Registry to ensure the continuing airworthiness of aircraft. Therefore, a State of Registry should not commit to becoming the State of Design if a foreign individual or organization responsible for the design change falls outside their jurisdiction. The enforceability of national regulations or requirements for continuing airworthiness on foreign individuals or organizations should be assessed carefully. For this reason, some Contracting States require that the foreign applicant first secure their State's approval of their modification and apply for foreign approval through their CAA. Some States, in addition to the prior approval, also require bilateral arrangements to formalize roles and responsibilities between the State of Design and a State of Registry concerning the approval process and continuing airworthiness.

D. CAASL require an individual or organization to first demonstrate competency by formally obtaining accreditation or designation from their CAA as an approved design specialist (known in some States as an approved design organization or individual, or of an equivalent status). This technical capability can be a function of the extent and complexity of the proposed design change and the nature of the substantiating data needed to establish and demonstrate compliance of the proposed modification with the applicable airworthiness and environmental standards. The design of major modifications to aircraft, engines or propellers should not be attempted unless the applicant has a sound knowledge and

approval for the design and principles embodied in the aeronautical product being considered for modification. There may be cases where access to the analyses and test reports from the original type certification activity of the aeronautical product is needed in order to assess compatibility or suitability of the proposed design change. If this is the case, it is recommended that the applicant seek ways for the participation in, or review and comment on, the modification design by qualified representatives from the holder of the Type Certificate. Where such cooperation is not available, the responsible airworthiness authority should not approve the modification design unless it is confident that the applicant has:

1) comprehensive knowledge, experience and capabilities in the applicable technologies, such that in-depth analyses can be performed where required; and
2) sufficient information on the type design of the aircraft involved (if there is any doubt, consultation is suggested with the airworthiness authority of the State of Design).

4.2.3 APPLICATION FOR APPROVAL

An application for the approval of a proposed modification should be submitted in a form and manner prescribed by the CAASL. Information on the proposed modification should include the following as applicable:

A. the name and address of the applicant to which the approval will be issued;
B. the make and model of the affected aeronautical product (registration and/or serial number) and its Type Certificate number (or approval reference);
C. the title, detailed description, and purpose of the proposed modification, including any changes affecting the noise and emissions level of the aircraft or engine;
D. the type of approval requested ,the proposed airworthiness standards, including environmental standards if applicable, to which the proposed modification is designed and with which it is intended to comply:
E. documentation and/or substantiating data of the design change;
F. for a local applicant, an indication on the need for a concurrent or subsequent approval by another State, and;
G. for a foreign applicant, evidence of prior approval by the State that has jurisdiction over the individual or organization responsible for the modification.

4.2.4 VALIDITY PERIOD OF AN APPLICATION

The validity period starts from the date of application up to a pre-determined number of years, the exact number being commensurate to the complexity of the review and approval of the proposed modification. In cases where an applicant can show that his proposed modification requires a long period for design, development, and testing, the CAASL can approve a long validity period. Or, if during the approval process the

CAASL believes that the approval will not be issued by the end of the validity period, the applicant should be requested to submit a new application or apply for an extension of the validity period. As a consequence of any extension granted to an applicant, the certification basis of the proposed modification should be reviewed again for currency or validity. The CAASL and applicant should jointly review the potential impact or consequence of their extended validity period when requesting foreign validation of their modification.

4.2.5 RECORD-KEEPING OF APPROVAL PROCESS

Records should be made and kept for each application that clearly identify, among other things, all decisions taken by the review team, the agreed certification basis of the modification, agreements reached, status of action items, tasking and deliverables of persons, and commitments on schedules. Copies of such records should be distributed promptly, as required, to all affected and concerned members of the team. Each item or subject discussed by the review team with the applicant should be summarized on record under a separate heading and the problem stated clearly, followed by any conclusions and recommendations. Persons required to take actions on specific matters by a critical due date should be identified clearly. Based on the knowledge of the proposed design change or potential safety problems obtained during the review process, those areas of the modification for which special attention is required should also be identified in the record.

4.3 MAJOR MODIFICATIONS

4.3.1 GENERAL

A. Modifications are intended to change a function, operation, limitation, performance, and/or characteristic of the physical or functional element(s) of an existing aircraft, engine, and/or propeller for the purpose of achieving a desired feature, role or capability for the affected aeronautical product. Modifications will vary in design philosophy, application technology, complexity, and magnitude. The maintenance provisions of Annex 6, including the Type Certificate and continuing airworthiness requirements of Annex 8, specify that modifications must be approved by States, and could be interpreted as encompassing all modifications regardless of their varying nature. Depending on the civil aviation activity within a State, approving all modifications could overwhelm a CAA and require extensive technical resources to execute the approval process in a timely manner. For this reason, a majority of Contracting States have introduced a system for categorizing design changes as either a major modification or minor modification.

B. The general intent behind the categories is to optimise the CAASL's resources by identifying those modifications that require their direct participation in the approval process, determining the kind of .data

needed to substantiate the modification, and establishing the type and form of approval. CAASL require their direct involvement and approval of both major and minor modifications. CAASL establish their national policy on approval of modifications.

4.3.2 MAJOR MODIFICATION CATEGORY

By definition, a major modification has an appreciable, or other than negligible, effect on the airworthiness of an aeronautical product. The CAASL should evaluate the technical merit of each modification proposal and establish a clear understanding of the intended and/or consequential effect on the affected product. The intensity of such effect will vary with the complexity and extent of the proposed design change, but is generally recognized as falling under one the following three levels, presented in order of decreasing effect:

A. *Substantial Change.* A proposed change in design, configuration, power, thrust, speed limitations, or mass is so extensive that a substantially complete investigation of compliance with the applicable airworthiness standards is required. A design change at this level is generally viewed as having a technical scope and nature that the affected product, when modified, can be regarded as essentially a new product, i.e. there are differences in major design and/or production elements. Further, due to the extensiveness of the proposed modification, most of the existing substantiation of the product will no longer be applicable. Therefore, there is a need for a substantially complete, or complete, re-investigation of compliance of the new substantiating data with the applicable airworthiness requirements. For this reason, CAASL may consider this level of design change as enough to warrant an application as a new Type Certificate, rather than as a modification. Some examples of modifications that are generally regarded as substantial change are:

1) in the case of aircraft, the modification involves change in the number or location of engines, change in the number of rotors, increase from subsonic to supersonic flight regime, change from high wing to low wing configuration, or change from an all metal aircraft to an all composite primary structure (fuselage, wing, empennage);
2) in the case of an aircraft engine, the modification involves change in the principle of operation or use of different principles for propulsion; or
3) in the case of propellers, the modification involves change in the number of blades or the principle of pitch change operation.

B. *Significant Change.* A proposed change in the general configuration, principles of construction, assumptions used for the certification, or a combination of these, of a type certificated product but not to the extent to be considered a substantial change. A significant change in the general configuration are design changes that are likely to

require a new product model designation to distinguish it from other product models. A significant change to the principles of construction are changes to the materials and/or construction methods that affect the overall product's operating characteristics or inherent strength. A significant change to the assumptions used for certification are changes to the product level assumptions associated with the compliance demonstration, performance, or operating envelope so different that they invalidate the original assumptions. The assessment of the effect of a significant change is made on the overall aircraft, engine, or propeller, rather than at the level of a part, component or system. A significant change usually results in a modified product that is distinct from other models of the same product, while still retaining common major design or production elements. Some examples of modifications that are generally regarded as significant changes are:

1) in the case of aircraft, the modification involves increase in the seating capacity, installation of floats or skids, conversion from passenger to freighter version, fuselage stretch, increase in design mass of more than 10 per cent, primary structure change from metallic to composite material, certification for flights into known icing conditions, or comprehensive flight deck upgrades;
2) in the case of an aircraft engine, the modification involves use of new design fan blade and fan hub in a turbine engine, change in the containment case material, conversion from mechanical to electrical control systems, addition of a turbocharger, or conversion from spark-ignition to compression-ignition for piston engines; or
3) in the case of propellers, the modification involves introduction of a different principle of blade retention.

C. *Not Significant Change.* A design change whose effect on the product does not rise to the level of neither a substantial nor significant change. A Not Significant change remains a major modification, and should not be confused as equivalent to, or treated like, a minor change. The effect of a Not Significant change is usually confined to a single area, system, or component of an aircraft, engine or propeller. Some examples of modifications that are generally regarded as Not Significant changes are:

1) in the case of aircraft, the modification involves general avionics upgrade, relocation of galley, installation of non-essential auxiliary power unit, substitution of one structural bonding method for another, installation of wheel skis, installation of quieter exhaust system, increase in fuel tank capacity, installation of new type passenger seats, or mass increase of less than 5 per cent;
2) in the case of an aircraft engine, the modification involves change in oil tank design, fan blade re-design, software changes, bearing change, change in limits on exhaust gas temperature, change from one hydro-mechanical control to

another hydro-mechanical control, change in crankshaft, or redesigned cylinder head, valves or pistons; or

3) in the case of propellers, the modification involves change in the material of the bearing or change to a component in the control system.

4.3.3 MINOR MODIFICATION CATEGORY

By definition, a minor modification is a design change that has a negligible, or no appreciable, effect on the mass, balance, structural strength, reliability, operational characteristics, or other characteristics affecting the airworthiness of the product. The accomplishment of minor modifications normally involves use of standard or generally accepted practices.

4.3.4 EMISSIONS CHANGE CATEGORY

The type certification of an aircraft and engine include compliance with, and certification to, the environmental standards of Annex 16, *Environmental Protection.* The demonstrated levels of noise and exhaust smoke and gaseous emissions for which an aircraft and/or engine were approved for purposes of issuance of a Type Certificate are those recorded in the Type Certificate Data Sheet. The intent of Annex 16 is to ensure that these recorded levels are maintained, or improved, throughout the operational life of the aircraft or engine. Where a modification is not intended to change the approved emissions limit of an aircraft or engine, an environmental assessment may be conducted, at the discretion of the CAA, to verify the unintended consequential changes to the approved emissions limit of the aircraft or engine. However, if the proposed modification is specifically directed at changing or improving the current emissions level of an aircraft or engine (such as retrofit of hush kits or re-engine programme), a re-certification is necessary to establish compliance with the applicable requirements. As part of an assessment of a modification as either major or minor, the proposed modification to emission levels should also be categorized as one or more of the following:

A. *Noise Emissions Change.* Any change in the type design of an aircraft which may increase the noise levels of that aircraft;

B. *Engine Emissions Change.* Any change in the type design of the engine which may increase the exhaust smoke and gaseous levels of that engine; and/or

C. *Fuel Venting Change.* Any change in the type design of the aircraft or engine which may affect the certification related to prevention of intentional fuel venting into the atmosphere.

4.4 APPROVAL ACTIVITIES

4.4.1 GENERAL

A. The main objective of the approval process is for a State to determine for itself the overall compliance of a proposed modification with their applicable airworthiness and environmental standards, such that the affected aeronautical product, when modified, will continue to have a valid and approved type design.

B. here are five (5) key activities associated with a modification, namely:

1. Establishing a certification basis;
2. Establishing the means or methods of compliance;
3. Demonstration and findings of compliance;
4. Approving the modification; and
5. Post-approval activities.

4.4.2 ESTABLISHING A CERTIFICATION BASIS

A. General

1. The type certificate data sheet of an aircraft, engine or propeller identifies the detailed certification basis by which the type design of that product was approved. The major components of a certification basis are the airworthiness and environmental standards, including if any, special conditions of airworthiness, findings of equivalent level of safety, and exemptions. For most States, the approval procedure remains at ensuring that a modified aircraft, engine, or propeller continues to comply with the certification basis recorded in the type certificate data sheet. However, ICAO encourages States to undertake activities for enhancing safety in civil aviation and, among other things, promoting an airworthiness policy of approving modifications to a level of safety higher than that intended by its original certification basis. This policy requires that modifications demonstrate compliance with design standards that are in effect on the date of application, or with later amendments to the design standards recorded on the type certificate data sheet, whenever the State deems that such policy will result in a material contribution to the safety of the modified product and is practical (cost-effective and feasible). The effect of such policy is a progressive upgrading of the inherent levels of safety of products to the greatest extent practicable, as it undergoes several modifications throughout its service or operational life. For the purpose of this Section, only the procedures for implementing ICAO's Standards on modifications are discussed herein.

2. In the application for a modification approval, the applicant proposes the airworthiness and applicable environmental standards to which they intend to demonstrate compliance. Depending on the modification, additional airworthiness or

operational requirements may be imposed by CAASL, or an applicant may be required to show that the product meets additional standards in order to receive approval in another State, due to differences in requirements. All these requirements are established collectively to become the certification basis for the modification. The applicant should participate in any ACD discussion concerning the proposed certification basis, but it remains the ultimate responsibility of the CAA to review, decide, and establish that the certification basis is appropriate for the proposed modification.

3. Once the certification basis has been established, it should be confirmed in writing to the applicant and preserved throughout the validity period of the application

B. Airworthiness design standards

1. CAASL should promote compliance with the applicable airworthiness design standards that are in effect on the date of application for a modification approval, meaning the latest amendment level is expected level. If after the application date subsequent amendments to the standards become available, the applicant should voluntarily comply with those newer standards.

2. The CAASL should assess the contribution to safety that can be realized by requiring a modification to comply with the latest airworthiness standards, and whether it will be practical at all. Consideration should also be given to allowing compliance with later amendments to the design standards recorded in the Type Certificate Data Sheet.

C. Determining the appropriate amendment level of airworthiness standards

1. The policy aims at progressively upgrading the inherent levels of safety of an aircraft, engine, or propeller, to the greatest extent practicable, as it undergoes several modifications throughout its service or operational life. In general, the policy requires that a modified product demonstrate compliance with the design standards that are in effect on the date of application (rather than with the original certification basis), or with later amendments to the design standards recorded in the product's Type Certificate. The policy has two components – determining the type of modifications that can benefit the most from compliance with the latest design standards, and assessing if such compliance is cost-effective, meaning practical. The policy encourages incorporating the safety enhancements by giving due consideration to the resources or costs involved to achieve it.

2. Where compliance with the latest design standards is deemed to materially contribute to the overall level of safety of an aircraft, engine, or propeller, the next step is to further assess the cost-effectiveness of applying such policy. Demonstration of compliance entails costs, and both the applicant and CAASL should assess if the incremental costs associated with demonstrating compliance with the latest design standards is commensurate with the incremental safety benefit to be gained. If the incremental safety benefit can be shown to economically justify the incremental costs, then the policy should be applied. Otherwise, the applicant should be allowed to continue complying with the design standards recorded in the existing certification basis of the product, or if the applicant chooses, with later amendments to those design standards. It is not the intent of this policy to improve safety regardless of costs.

3. Each proposed modification should be judged on its own merit when making the final determination of the certification basis. Also, the certification basis should not be dependent on whether the Type Certificate holder or an applicant for a STC is undertaking the proposed modification. The process applies equally to applications made for Type Certificate amendments, STCs, or STC amendments. The brief introduction to the steps in the process for determining the appropriate amendment level of airworthiness standards follows:

    a) *Identification of the proposed modification.* The applicant should identify/describe the proposed modification to the aeronautical product. It is important that the effects of the proposed modification on other systems, components, equipment, or appliances of the affected product are properly identified.

    b) *Determination if the proposed modification is considered a substantial change.* The question of whether a proposed modification is considered a Substantial change should be addressed at the beginning of the process. By definition, if the proposed change in design, power, thrust, or mass is so extensive that a substantially complete investigation of compliance with the applicable airworthiness standards is required, the CAASL should require the applicant to apply for a new Type Certificate instead. If at any point, while developing the certification basis, it becomes clear that the proposed modification is a substantial change, then the application ceases to be a modification approval process and becomes a new type certification process.

c) *Determination if the proposed modification is a Significant change.*

1) Following a determination in b) above that the proposed modification is not a substantial change, the next step is to segregate significant changes from other types of modifications considered excluded from the application of the airworthiness policy. Significant changes are typically product level changes and, by their very nature, distinct from the vast majority of major modifications. In general, a significant change is either the result of an accumulation of previous modifications or occurs through an isolated but extensive major modification that rises to a product level. A modification to a single area, system, or component of an aircraft, engine, or propeller will not likely result in a product level change.

2) When assessing the proposed modification, the cumulative effect of previous relevant modifications in the areas related to the current proposal should be considered. The collective and cumulative effects of previous modifications, along with the proposed modification, may result in the modified product being considerably different from the latest product or model. If this is the case, the proposed modification should be categorized as a significant change. Typically, significant product level changes result in a model change necessitating an amendment to the Type Certificate or an STC. Applications for a new model designation that are not associated with hardware changes (that is commercial considerations) are not an indication of a significant change. In cases of doubt, and to ensure a consistent outcome, CAASL should work closely with the applicant during this important step of categorizing the proposed modification.

3) The assessment performed under this step will result in the proposed modification being categorized under one of the following

i) *Significant change.* CAASL assumes at this point that the proposed modification would have to demonstrate compliance with the latest design standards for all affected areas of the product. The next step is to assess whether such requirement is cost-effective (practical).

ii) *Not significant change.* The CAASL should allow the proposed modification to demonstrate compliance with the existing certification basis of the affected product. The applicant may, however, volunteer to demonstrate compliance with later amendments to the design standards of the existing certification basis. 4) The conclusion of this Step is the determination of the proposed modification as either “significant change” or “not significant change”. For a “not significant change”, the applicant and CAASL can finalize the certification basis as given below.

d) *Determining whether the latest standards be used for all areas affected by the modification.*

1) The proposed modification, in its entirety, is considered a significant change (under step c) above), and by policy requires demonstration of compliance with the latest design standards for all areas affected by the

modification. Where an applicant accepts to use the latest design standards for all affected areas, the full intent of the airworthiness policy is deemed to have been met. The applicant is also considered to have completed some form of self-assessment that supports or address the cost-effectiveness (or practicality) of their decision to comply with the latest design standards. No further justification is needed from the applicant, and the CAASL records this decision and the process of establishing the certification basis is considered concluded.

2) There may be cases where a significant change that requires compliance with the latest design standards may be too expensive (costly) to pursue, in contrast to the extra safety benefit to be gained. In this case, the costs of compliance may discourage the installation of modifications of potential safety benefits. The CAASL and applicant should engage in a detailed review of each affected area of the modification to consider prior amendment levels to the latest design standards where the increased safety can be economically justified. This aspect is consistent with the airworthiness policy of encouraging upgrade of the level of safety of aeronautical products to the greatest extent practicable. The next steps explain the process of determining the appropriate certification basis.

e) *Determining if this is an affected area.* All areas affected by the proposed design change should comply with the latest requirements, unless the applicant shows otherwise that demonstrating compliance with such requirement would not contribute materially to the level of safety or would be impractical. The applicant has the burden of preparing and documenting data to support their argument for complying with other than the latest design standards. The following process involves the identification of each physical and/or functional area of the aeronautical product that is affected by the proposed modification, and determining the appropriate amendment level (other than the latest) of the design standards that should be applied to each affected area. It is important that the effects of such change on other systems, components, equipment, or appliances of the product are properly assessed because areas that have not been changed may also be affected.

1) Affected areas of the modification generally cover the following:

i) *Physical aspects.* The physical aspects include, but are not limited to, structures, systems, equipment, components, and appliances (physical aspects can cover both “hardware” and “software”). When assessing the affected areas, it may be necessary to identify secondary changes resulting from the proposed product level change. Secondary changes may be changes in both physical aspects and/or performance characteristics that are part of, and consequential to, the overall product level change. An example of a secondary change may be the lengthening and re-routing of the

various aeroplane cable or electrical circuits as a result of extending the fuselage length. The intent is to ensure that affected areas are not overlooked for purposes of determining a need for re-evaluation. Secondary changes, although considered an affected area, may be evaluated to the existing certification basis for the product being modified.

ii) *Performance/functional characteristics.* The less obvious aspect of the word “areas” covers general characteristics of the aeronautical product, such as performance features, handling qualities, emergency provisions, fire protection, structural integrity, aero elastic characteristics, or crashworthiness. These characteristics may be affected by a product level change. For example, extending the fuselage length significantly affects aircraft performance and handling qualities.

2) Not Affected areas of the modification can be generally described as any area, system, component, equipment, or appliance that is not affected by the proposed product level change. For a product level change, it is important that the effects of such change on other systems, components, equipment, or appliances of the product are properly assessed because areas that have not been changed may be affected.

f) *Determine if the latest standard contributes materially to the level of safety AND is practical.*

1) *Effectiveness of latest design standards or prior amendment levels.* A design standard is intended to address specific hazards. The effectiveness of a specific design standard to address the hazard(s), from minimizing its effects to eliminating the source, will vary with its amendment history. The proposed modification should be evaluated for its ability to comply fully with the requirement, giving consideration also to the effectiveness of the design standard to address the hazard(s). The effectiveness of the design standards at various amendment levels (beginning with that of the existing certification basis) should be estimated, and the safety benefits of complying with various levels should be compared to that achieved by complying with the existing certification basis.

2) *Not Practical.* Compliance with the latest design standards may be considered not practical if the applicant can substantiate that it would result in additional resource requirements (incremental costs) that are not commensurate with the safety benefits to be gained. The incremental costs are those that would be incurred beyond the basic costs of demonstrating compliance with the existing certification basis, and could include additional design changes to the proposed modification required for compliance and the effort required to demonstrate such compliance. Substantiating data and analyses should support an applicant’s position that compliance is not practical, and the CAASL should agree with this position.

3) The conclusion of the process in this step should be documented by CAASL, including all the substantiating data submitted by the applicant. Examples

of possible conclusion for each affected area would include, but not be limited to:

i) Compliance with the latest requirement is necessary. The applicant would pursue the affected area at the latest amendment level.

ii) Compliance with an amendment level between the existing certification basis and the latest design standard would adequately address the hazard at an acceptable cost. Complying with the latest amendment level would not be practical. The applicant would then propose the intermediate amendment level of the requirement.

iii) The increased level of safety is not commensurate with the increased costs associated with meeting the latest amendment instead of the existing certification basis. Therefore, the applicant would propose the existing certification basis.

iv) The results of the assessment were inconclusive. Further discussions with the applicant are warranted.

g) *The Certification Basis of the proposed modification is finalized.* The certification basis of the proposed modification can now be finalized, and may consists of a combination of the latest design standards, the design standard of the existing certification basis, or an intermediate level between the existing and the latest design standards. Areas of the aircraft, engine or propeller that are considered unchanged or not affected by the proposed modification can continue to comply with the existing certification basis (i.e. there is no need to re-visit the certification basis).

4.4.3 ENVIRONMENTAL STANDARDS

The applicable environmental Standards for a modification of an aircraft or engine are described in Annex 16 —

4.4.4 LEVEL OF INVOLVEMENT

CAASL have regulations that allow delegation of some or all of their functions, duties or powers to qualified individuals or organizations. The responsibilities assigned by the regulations to CAASL, however, cannot be delegated and always remain with the CAASL. Under a delegation system, appropriately qualified individuals or organizations may be granted permission or authority to make a finding of compliance on behalf of their CAASL. A finding of compliance by a delegate is a finding of compliance by the CAASL. As such, an administrative procedure should exist for the recording of the finding of compliance by the delegated individual or organization. Some findings of compliance, however, may be the exclusive responsibility of the CAASL and cannot be delegated, or that CAASL may limit a delegate to making recommendations only instead of making a finding of compliance. If the

applicant proposes to utilize delegated persons or organizations in the modification approval programme, the exact role of these delegates should be clearly identified in the certification compliance plan and agreed to by the CAASL. The levels of involvement of CAASL, applicant and delegates will be defined by the CAASL's delegation system, taking into account such factors as limitations of the delegates, complexity of the modification, availability of technical resources, and time constraints of the modification approval project.

4.4.5 APPROVING THE MODIFICATION

A. General

All findings of compliance made by CAASL, or its delegate, should be recorded or annotated in the certification compliance plan. When the applicant has demonstrated compliance, and CAASL has found full compliance on all items of the certification basis, including the resolution of outstanding items, the plan is signed off and becomes the official compliance record for the modification project. The certification compliance record serves as the satisfactory evidence specified under Annex 8, Part II, 1.3.4 for the approval of the modification. The approval of the modification means that:

1. the areas of the type design affected by the modification meet all the relevant requirements specified in the certification basis, including special conditions of airworthiness issued by the CAASL,

2. all engineering and conformity inspections have been completed and the modified product has been found to meet all pertinent requirements, and

3. in the case of aircraft, the modified aircraft has been test flown, as required, and found to comply with all the performance requirements of the pertinent airworthiness standards.

B. Withholding approval of the modification

There may exist a situation, although rare, where an applicant successfully demonstrated, and the CAASL found, compliance with the certification basis but a known or suspected feature makes the modified aeronautical product unsafe, taking into account the category in which certification was requested. Notwithstanding the entitlement of the applicant for an approval, CAASL has a responsibility under Annex 8, Part II, 1.3.3 to withhold the approval or issuance of an approval for an aircraft if it is known or suspected to have developed unsafe features after the modification, that are not specifically guarded against by the certification basis. The modification approval shall be denied if the applicant fails to correct the unsafe feature.

C. Issuance of approval

1. CAASL will grant approval of a major modification using one of the three forms of approval below, provided the proposed modification is not so extensive as to require a new Type Certificate. Depending on the applicant's eligibility, the form of approval for the proposed modification is usually indicated by the applicant at the time of application. For modifications that do not necessarily rise to the complexity and demand for resources like those of major modifications.

   a) *Amendment of a Type Certificate.* Approval of design changes made by the holder of a Type Certificate. An amendment of a Type Certificate retains the holder's overall responsibility for the type design of an aircraft, engine or propeller, both as approved under the initial Type Certificate and as modified. Common examples of design changes leading to an amendment of a Type Certificate may be the addition of a new model designation or derivative of an aircraft, engine or propeller, the revision of operating conditions or limitations listed in the Type Certificate data sheet, or changes to aircraft passenger or cabin configuration.

   b) *Supplemental Type Certificate.* A Supplemental Type Certificate is an approval of a major modification covering those areas or aspects of an aeronautical product that were modified. Together, the Supplemental Type Certificate and the relevant Type Certificate constitute the approved type design for a modified aircraft, engine, or propeller. It should be noted that an aeronautical product that does not have a Type Certificate can not be issued a modification approval under a Supplemental Type Certificate (examples are appliances, parts, components, instruments). Further, a Supplemental Type Certificate should not be issued for approval of minor modifications, or approval of replacement parts or repair, unless its installation represents a modification.

   c) O*ther approvals*. For modifications that do not warrant the detailed approval process of an Amended or Supplemental Type Certificates, States may consider other means of granting approval. Such means of approval may be administered by delegated individuals or organizations with demonstrated technical competence, and reported to the CAASL under an administrative reporting system for purposes of regulatory oversight. Modifications that are candidates for this approval category typically

involve on-demand design changes by aircraft operators, maintenance and/or design organizations, and manufacturers to support varying maintenance and operational needs under time constraints. Examples of modifications that can be approved under this category are: Product improvements by manufacturers (introduced through service bulletins), airline-type modifications relating to operational reliability or passenger configuration changes, repair design, field-type modifications that do not involve extensive or multi-discipline engineering analysis. The types of design changes that can be approved using this other means should be decided by each State according to their resources, delegation policy, and the level of modification activity within their civil aviation industry.

2. The person or organization (holder) to which the modification approval was granted has responsibility for the approved design change. If multiple participants (e.g. joint design ventures, partnerships, sub-contracting or similar arrangements) are involved in the modification, the CAASL will require one person or organization to be responsible for the overall design change, and to whom the approval will be issued.

3. An approval granted for a modification (amended Type Certificate, Supplemental Type Certificate or other approvals) shall remain valid until otherwise specified or notified by the issuing CAA.

4.5 POST-APPROVAL ACTIVITIES

4.5.1 GENERAL

The State of Design of a modification (i.e. State that first gave the initial approval) has responsibilities under Annex 8 to provide continuing airworthiness support to the State of Registry .The CAA of both States and the holder of the modification approval fulfill this responsibility through a system of receiving, and exchanging information, surveillance, assessment of service difficulty experiences, and development of the necessary airworthiness actions. Annex 6 states requirement for detailed record-keeping of modifications and evidence of compliance with the appropriate airworthiness requirements.

4.5.2 RETENTION OF DESIGN CHANGE DATA

The data constituting the design change are contained in records, reports, drawings, and other documents that describe collectively the exact configuration of the design change when it was approved. The design change data must be maintained by the CAASL or the holder of

the modification approval, or both. The CAASL should determine the eligibility and type of data to be maintained by the modification approval holder. In either case, it should be recognized that the design change records are permanent and may not be destroyed. Data maintained by the modification approval holder must be made available to the CAASL for such routine activities as production inspection, surveillance, design change reviews, development of corrective actions, or for any other reasons deemed necessary by the CAASL. The record-keeping should consist of at least the following:

A. the drawings and specifications, and a listing of those drawings and specifications necessary to define the configuration and design features of the modification as it was shown to comply with the requirements applicable to the product;

B. reports on analysis and tests undertaken to substantiate compliance with the applicable requirements;

C. information, materials and processes used in the construction of the aircraft, engine or propeller;

D. an approved flight manual supplement or its equivalent (type-related

E. document), including revisions to the master minimum equipment list and configuration deviation list, if applicable;

F. approved revisions or recommendations to, maintenance programme or equivalent document, and aircraft maintenance manual with details of revisions to manufacturer's recommended and CAA accepted scheduled maintenance plan and procedures guidelines; and

G. any other data necessary to allow, by comparison, the determination of airworthiness and noise characteristics (where applicable) of modified products of the same type.

4.5.3 RESPONSIBILITY OF HOLDER OF MODIFICATION APPROVAL

The holder of the modification approval remains responsible for the continued integrity of the design change to approved type design and it or its representative must continue to be the CAASL's contact point for resolving issues that may require corrective action. To fulfill this responsibility, the holder should have the continued capability, or access to a capability, of providing appropriate technical solutions for service difficulties when service experience warrants it, or when CAASL requires mandatory corrective action. If the holder is no longer capable, the CAASL must take action in accordance with Section of this manual. If the approval is transferred to another holder, the CAASL should ensure that the new holder is capable of fulfilling the minimum responsibilities described herein.

SECTION TWO

CHAPTER 5 – REPAIRS TO APPROVED TYPE DESIGN

5.1 INTRODUCTION

1. A Certificate of Airworthiness issued under Annex 8 is based on satisfactory evidence that an aircraft complies with a type design approved or accepted by a State of Registry. For aircraft engaged in international civil aviation, the recognition and acceptance of a Certificate of Airworthiness is facilitated through Article 33 of the Convention on International Civil Aviation. A State of Registry claiming such recognition, however, must ensure that there exists a national requirement for ensuring the continued airworthiness of an aircraft during its service life. This national requirement involves the aircraft owner or operator and the CAA in ensuring that the aircraft continues to conform to its approved type design after a modification, repair, and installation of a replacement part. For further details on continuing validity of the Certificate of Airworthiness, refer to Annex 8 Part II, Chapter 4, *Continuing Airworthiness of Aircraft* and in this guidance material Part III, Chapter 3.

2. An aircraft will experience accidental damage, wear and tear, environmental deterioration, fatigue, malfunction, and failure during its operational life. Repair is a corrective action intended to restore an aircraft back to its approved type design and, is regarded primarily as a maintenance function. If a repair design is needed, the State of Registry has an obligation under Annex 8 to approve the repair design, as a way of ensuring that the aircraft will continue to comply with the design aspects of the airworthiness standards used for the type certification of that aircraft. An unapproved repair design could render a Certificate of Airworthiness invalid for flights. The relationship between repair to an approved type design and the Certificate of Airworthiness is explained further by the following three (3) requirements that form part of several general provisions on Maintenance in Annex 6:

   a) An operator must ensure that the Certificates of Airworthiness on aircraft they operate remain valid.
   b) An operator must keep records of appropriate details of repairs incorporated on aircraft.
   c) Repairs shall comply with the airworthiness requirements of the State of Registry, and procedures shall be established to ensure the substantiating data supporting compliance with the airworthiness requirements are retained.

3. Accomplishing a repair on an aircraft may involve such actions as performing maintenance or servicing procedures, replacing a defective part with a like serviceable unit or with an approved substitute part, or designing and incorporating a repair scheme. Generally, the documents encompassing the Instructions for Continued Airworthiness (ICA) such as, but not limited

to, maintenance manuals, servicing instructions, overhaul manuals, and repair manuals contain adequate maintenance procedures that are recognized by CAASL as either approved or acceptable for purposes of accomplishing repairs to aircraft. For example, a structural repair manual contains several State of Design-approved repair schemes for typical damages or structural failures that can be readily applied by an operator, without the need for obtaining prior approval of the CAASL. However, where the repair action specifically requires designing a repair scheme, the repair design (data) must be approved or accepted by the CAASL prior to the release of an aircraft for return to service.

4. Approving a repair design prior to the release of an aircraft for return to service can be processed in many ways, depending on the scope and complexity of the proposed repair and the regulatory system in place. The approval of repairs may be a function delegated by CAASL to authorized persons or organizations. Some repair approvals are limited to the approval of the design data only, whereas other approvals may also constitute installation approval. Regardless, the approval process is intended to verify that the repair design complies with the airworthiness requirements of the State of Registry for the purpose of maintaining validity of a Certificate of Airworthiness issued under Annex 8.

5. CAASL will give maximum credit and recognition to the repair design approvals granted by the State of Design or another Contracting State with a demonstrated technical capability, and avoids duplicate or redundant evaluation where practical.

5.2 APPLICATION FOR APPROVAL OF REPAIR DESIGN

5.2.1 GENERAL

A. An applicant requesting approval of a repair design can be the owner or operator of an aircraft, a Type Certificate holder, a maintenance, repair and overhaul facility, an original equipment manufacturer for components and parts, a specialized engineering organization, or an individual engineer acting as a consultant. An applicant is the organization or individual that has responsibility for the repair design, and whose name the approval will be granted. Neither Annex 6 nor 8 requires the aircraft operator to be the holder of the repair design approval, but only to ensure that the repair design is approved and specifically applicable to the affected aircraft.

B. CAASL establish as a policy a repair as a restoration function, and view a repair design as providing a level of safety as least equal to that established for the product being repaired, even if the design offers an improvement over the original design.

5.2.2 APPLICANT

A. Any person or organization may apply for approval of a repair design to an aircraft. Unlike modification, approval of a repair design usually entails a less intensive airworthiness review, and does not require a strict relationship protocol under Annex 8 to designate a State of Design.

B. CAASL require an individual or organization to first demonstrate competency by formally obtaining accreditation or designation from their CAASL as an approved design specialist This technical capability can be a function of the extent and complexity of the repair design and the nature of the substantiating data needed to establish and demonstrate compliance with the applicable airworthiness standards of CAASL. A repair design should not be attempted unless the applicant has a sound knowledge of the design principles embodied in the affected aircraft. There may be cases where access to the analyses and test reports from the original type certification activity of the aeronautical product is needed in order to assess compatibility or suitability of the proposed repair design. If this is the case, the applicant shall seek ways for the participation in, or review of, the repair design by qualified representatives from the holder of the Type Certificate.

5.2.3 APPLICATION PROCEDURE

A. An application for the approval of a repair design should be submitted in a form and manner prescribed, or agreed to, by the CAASL. Information to be submitted on the proposed repair should include, as a minimum, the following:

1) the name and address of the applicant or operator to which the approval will be issued;
2) the make and model of the affected aeronautical product (registration and/or serial number) and its Type Certificate number (or approval reference);
3) the title, detailed description, and purpose of the repair design;
4) the proposed airworthiness standards to which the proposed repair is designed and intended to show compliance with, including the identification of any impact on approved airworthiness limitations contained in the Instructions for Continued Airworthiness for the affected product;
5) documentation and/or substantiating data of the repair design; and

B. The administrative procedure or policy of a CAASL for receiving a request for repair approvals should be flexible and supportive of the needs of aircraft operators. For example, the policy should be sensitive to approval turn-around times. The need for a repair design cannot always be predicted and largely a consequence of

the aircraft's operating situation. Therefore, a too strict procedure could impede aircraft operations.

C. An application is considered outstanding or open until an approval is finally issued. There is no validity period for an application within which the CAASL must grant the approval. The operating schedule of the aircraft Operator normally indicates the time limitation by which an approval is needed, in order to release an aircraft back to service.

5.3 REPAIR CATEGORIES

5.3.1 GENERAL

A. The maintenance provisions of Annex 6 and the continuing airworthiness requirements of Annex 8 specify that repairs, including the installation of a replacement part, must be in accordance with the airworthiness requirements of the State of Registry. This could be interpreted as requiring all repairs to be approved by the State of Registry. Depending on the civil aviation activity within a State, approving all repair designs could overwhelm a CAA and, require extensive technical resources to execute the approval process in a timely manner. For this reason, CAASL have introduced a system for categorizing repairs as either a major repair or minor repair.

5.3.2 MAJOR REPAIR CATEGORY

A major repair is usually considered a repair that might appreciably affect mass, balance, structural strength, performance, powerplant operation, flight characteristics, or other qualities affecting airworthiness. A repair in this category normally requires some form of engineering analysis or assessment. The CAASL should evaluate the technical merit of a repair design proposal, and establish a clear understanding of the intended or consequential effect on the affected product. For example, it may not be appropriate to approve a repair that is purposely designed to be much stronger than the structure being repaired because the effect may be an undesirable change in the original structural load distribution. For the purpose of illustration, the following are examples that can be used to categorize a major repair:

A. Repairs involving a principal component of the aircraft structure, such as a frame, stringer, rib, spar of stressed skin;

B. Repairs to structural elements that were approved using damage tolerance or fail-safe evaluation;

C. Repairs to pressurized areas;

D. Repairs involving the installation of an item of mass necessitating structural re-evaluation;

E. Repairs to structural attach points intended for the stowage or retention of significant mass;

F. Repairs to load bearing structure of aircraft seats, harnesses, or to occupant restraint equipment;

G. Repairs involving substitution of materials, or use of a different repair process or technique; or

H. Repairs to components, parts, appliances where form, fit, and function may be affected.

5.3.3 MINOR REPAIR CATEGORY

A minor repair involves any repair that does not fall under the major repair category, meaning the repair has a negligible effect on the airworthiness of the affected product.

5.4 APPROVAL ACTIVITIES

5.4.1 GENERAL

A. There are four key activities in the approval of a repair design, namely:
   1) Establishing an approval basis;
   2) Establishing the means or methods of compliance;
   3) Demonstration and findings of compliance; and
   4) Approving the repair design.

B. The main objective of the approval process is for CAASL to determine compliance of a proposed repair design with its applicable airworthiness requirements, such that the affected aeronautical product is restored to its approved type design.

5.4.2 ESTABLISHING AN APPROVAL BASIS

A. Annex 8, Part II, Chapter 1, Type Certification, states in part that the basis of approval for a repair design should be the same airworthiness standards used in the certification of the type design by the State of Registry. The following should be the basic policy for repairs,

   1) For an aircraft, the approval basis is the aircraft design standards recorded in the Type Certificate data sheet issued by the State of Registry or, where allowed, by the State of Design.

   2) For an engine or propeller, the approval basis is the engine

or propeller design standards recorded in the Type Certificate data sheet issued by a State of Registry or, where allowed, by the State of Design of the engine or propeller. It is not the State of Design of the aircraft on which the engine or propeller is installed that applies.

3) For a component, part, appliance or article that is not type certificated or have a separate design approval other than a Type Certificate, the approval basis is the airworthiness standard of the type certificated product (aircraft, engine, or propeller) on which the component, part, appliance or article is installed.

B. The approval basis for a repair design shall not include any proposal for an exemption or a finding of equivalent level of safety because a repair is a restoration to an approved type design. The intent of the repair is to maintain the same level of safety that the product was certified to.

C. The approval basis could be also be affected by additional requirements that are not related to the original approval or type certification of the product. For example, a supplemental structural integrity programme or a repair assessment programme for ageing aircraft may influence repair designs to be held to higher design standards or evaluation techniques. In establishing the approval basis, CAASL should also account for other factors, such as maintenance or operating rules, which may affect the actual installation of the repair.

5.4.3 ESTABLISHING THE MEANS OF COMPLIANCE

The means of compliance is usually dictated by the design standard(s) in the approval basis for which compliance will be demonstrated, and generally falls into one or any combination of the following:

A. *Test* – is performed when the requirement explicitly calls for a demonstration by test (physical, actual or simulation). Examples of test are fatigue test, simulation, functional or operational test, fire or flammability test, and environmental test (e.g. salt spray).

B. *Analysis* – is performed when the requirement explicitly calls for a demonstration by analysis (qualitative, quantitative, or comparative). Examples of analysis are failure modes and effects analysis, static strength or damage tolerance analysis, and structural loads analysis.

C. *Inspection or Evaluation* – is performed against an item that does not require test or analysis, but relies on observation, judgment, verification, evaluation, or a statement of attestation from the applicant or its vendors/contractors.

D. *By Derivation or Similarity* – is performed when a new repair design

can be developed or derived from a previously approved repair and the two repair designs can be considered similar.

5.4.4 DEMONSTRATION OF COMPLIANCE

A. The demonstration of compliance requires that the applicant submit substantiating data (design data, reports, analysis, drawings, processes, material specifications, instructions for continued airworthiness, etc). The data should be complete and in a logical format for review by the CAASL. Where the demonstration of compliance involves a test, a test plan should be developed and approved prior to any actual test being performed. Official certification tests are conducted or witnessed by CAASL personnel or by a delegate, when authorized.

B. The applicant should give the CAASL access to the product being repaired in order to make any inspections, test, and engineering assessment that may be necessary to determine compliance with the approval basis of the repair. However, the applicant should perform his own inspection and test necessary to demonstrate compliance, prior to presenting the repaired product to the ACD for testing or evaluation.

5.4.5 FINDING OF COMPLIANCE

The CAASL makes a finding of compliance on the approval basis. The finding of compliance can be made by the Airworthiness Section, or by its authorized delegate, depending on the pre-defined levels of involvement in the repair approval process. Following a successful demonstration of compliance by the applicant, the Airworthiness Section should make a finding of compliance and conclude the approval process. The findings are usually accomplished through one or any combination of the following actions:

A. *Acceptance of substantiating data.* Reports, analysis, drawings, or similar documents are usually produced against each item in the approval basis and should be reviewed and accepted. Specific attention should be paid to the methodology and assumptions, rather than the detailed calculations or analysis.

B. *Witnessing of test.* Tests are performed in accordance with an approved test plan and witnessed by the Airworthiness Section. The test should be conducted only after conformity

C. with the test plan has been established for the test articles, test environment and test facilities. The Airworthiness Section does not take part in the actual performance of the test, and should remain impartial and concentrated on the test objective.

D. *Engineering inspection.* Any aspect of the repair design for which compliance with the approval basis cannot be determined through review of drawings or reports, should receive an engineering

compliance inspection. An engineering compliance inspection is to assure that an installation, and its relationship to other installations on a product, complies with the design requirements.

E. *Conformity inspection.* Where required, should be performed by the AID to verify conformity of the repaired product with drawings, specifications, and special processes. An engineering inspection should not be confused with a conformity inspection. A conformity inspection is done to determine conformity to the engineering data, while an engineering inspection is done to determine compliance with the approval requirement.

5.4.6 APPROVING THE REPAIR DESIGN

A. The CAASL approval of the repair design should be documented such that a physical record can be retained by the aircraft Operator, as required by the maintenance recordkeeping requirement of Annex 6. A statement of "no technical objection" should be avoided, such an expression does not mean an approval, acceptance, or rejection. The CAASL should consider documenting their clear approval through one of the following means:

1) Issuance of an approval letter signed by the DGCA;
2) Issuance of an approval using a standard form established by the CAASL;
3) By signature or marking (stamp or seal) the repair approval document as submitted by the applicant; or

B. The repair design should not be approved if there is a known or suspected design feature that could make the repaired product unsafe after installation. For example, the use of an inappropriate type of blind fasteners (multi-piece) to install a structural repair patch in an area subject to repeated vibration could eventually loosen the fasteners and weaken the repair. Applying this type of repair in the intake area of a turbine engine could result in loose or dislodged fasteners being ingested during engine operation.

C. The CAASL should stipulate limitations, if any, associated with their approval of the repair design including, but not limited to, time limits (in the case of temporary repairs, or life-limited repairs), follow-up or repeat inspection requirement, installation considerations, specific applicability (or repeatability of application) to aeronautical product(s), permitted deviations or substitutions from the repair design. The stipulation should also identify approved changes or revisions to the approved airworthiness limitations contained in the Instructions for Continued Airworthiness for the affected product.

D. Repair designs provided by the original equipment manufacturer (OEM), which includes aircraft, engine and propeller manufacturers, should clearly indicate the approval status of their repairs. Where CAASL has jurisdiction over the OEM approves a

repair design, the CAASL should give maximum credit and recognition to the approved repair. If clearly the OEM repair design has not been approved, the CAASL should proceed with their own approval. Often, this type of repair is developed or provided in accordance with a specific request or need of an Operator because it is not available in the OEM-supplied repair manuals.

5.5 POST-APPROVAL ACTIVITIES

5.5.1 GENERAL

The activities following approval of a repair design involve; the actual accomplishment of the repair on the aeronautical product, documenting the repair accomplished, and the maintenance release of the affected aeronautical product as being airworthy.

5.5.2 RETENTION OF REPAIR DESIGN DATA

A. The requirement for an operator to retain repair data accomplished on their aircraft is stated under the maintenance record-keeping provision of Annex 6. If the holder of the repair design approval is different from the aircraft operator, the aircraft operator should be required to retain the repair data as a permanent record for the affected aircraft, engine, or propeller for as long as the affected product remains in service.

B. The CAASL should keep a record of approvals granted for repair designs. The approval record need not necessarily include the substantiating documents normally retained by the aircraft operator or approval holder.

5.5.3 RESPONSIBILITY OF HOLDER OF REPAIR DESIGN APPROVAL

The approval holder remains responsible for the continued integrity of the repair design and it or its representative must continue to be the aircraft operator's contact point for resolving continuing airworthiness issues related to the design. To fulfill this responsibility, the holder should have the continued capability, or access to a capability, of providing technical solutions when service difficulties warrant it, or when a State of registry requires mandatory corrective action.

SECTION TWO

CHAPTER 6 – PROCEDURE FOR AIRWORTHINESS APPROVAL FOR REDUCED VERTICAL SEPARATION MINIMUM BETWEEN FL 290 AND FL 410 INCLUSIVE

6.1 GENERAL

6.1.1 Implementation of RVSM should be based on a safety assessment, demonstrating that RVSM safety objectives have been satisfied. The safety assessment should include using a CRM for the airspace in accordance with the guidance provided in this chapter.

6.1.2 RVSM safety objectives have been set for both technical risk and overall risk.

6.1.3 Technical risk is the risk of collision associated with aircraft height-keeping performance. Risk associated with operational errors (e.g. controller/pilot errors) and in-flight contingencies is not included.

6.1.4 The RVSM safety objective for technical risk is a TLS of 2.5×10^{-9} fatal accidents per aircraft flight hour. This value for technical risk was used to derive the global system performance specification and the global height-keeping performance specification.

6.1.5 Airworthiness approval must in all cases be in accordance with the requirements of the RVSM MASPS. The RVSM MASPS, in addition to characterizing the ASE and automatic height-keeping capability requirements, also contains specifications and procedures for type approval and continued airworthiness.

6.1.6 All approvals will be applicable to an individual aircraft or to a group of aircraft that are nominally identical in aerodynamic design and items of equipment contributing to height-keeping accuracy.

6.1.7 It is imperative that all aircraft continue, during their service life, to satisfy the requirements of the RVSM MASPS. While height-monitoring data from independent sources, as recommended by ICAO, should help to detect any long-term deterioration in altimetry system performance, it is nevertheless essential that certifying authorities ensure that, as part of the approval process, operator maintenance and inspection practices are reviewed and updated to reflect the specific airworthiness requirements applicable to RVSM operations

6.1.8 RVSM approval issued for one region will always be valid for RVSM operations in another region provided that specific operational approval is not required.

6.1.9 In-production or new production aircraft attain airworthiness approval through verification of RVSM eligibility in the Airplane Flight Manual or Type Certificate Data Sheet. In-service aircraft attain airworthiness approval through the application of the type-specific RVSM Service Bulletin. The aircraft engineering requirements vary for individual types or groups of aircraft. These requirements may include upgrades to the air data computers, pilot-static modifications skin Waviness testing, and visual or paint inspections. After airworthiness approval is obtained, the optional approval process is completed by incorporation of RVSM policy and procedures into the training program, manuals and maintenance programme. **Monitoring may be conducted after Airworthiness approval information has been sent to the APARMO. Only airworthiness approved aircraft will be monitored**

6.2 APPROVAL PROCEDURE

6.2.1 The application for RVSM operational approval will be made to CAASL operations section using Form which is given in the Operations Inspector Hand book, chapter 29.

6.2.2 OPS procedure for RVSM chapter 29 refers in Operations Inspector Hand Book

6.2.3 A pre-application meeting should be scheduled between the AOC holder and the CAASL-FS to discuss expectations regarding the approval process to operate in a RVSM environment.

6.2.4 Pre-application meeting will be attended by the nominated AWS Inspector.

6.2.5 Once Application is accepted by OPS Section and upon submission by OPS for airworthiness review, the nominated airworthiness Inspector shall evaluate the application according to the aircraft's capabilities and CAASL Regulation relevant to the RVSM Approval.

6.2.6 The minimum equipment required for Airworthiness approval for RVSM is as follows.

a) Two independent altitude measurement systems;
b) One Secondary Surveillance Radar (SSR) altitude reporting transponder. (If only one is fitted, it shall have the capability for switching to operate from either altitude measurement system)
c) An altitude alert system
d) An automatic altitude control system.

6.2.7 The approved data package shall be used by the Operator to demonstrate compliance with RVSM performance standards. The application can be supported by evidence(s) confirming the above and the following:

a) The performance and analytical data is available;
b) Necessary, modification in accordance with Service Bulletins or service letter (as applicable)
c) The aircraft type certification standard that meets the RVSM airworthiness criteria.
d) The approved AFM amendment or supplement has been incorporated;
e) The specific aircraft has been inspected and approved by the Airworthiness Inspector, For Acceptance of Aircraft, She/he shall carry out the physical inspection of the aircraft.
f) The continued airworthiness instructions are available. Inspection of RVSM critical areas must be included in the transit checks, task cards for scheduled inspections or in case of any event affecting those areas.
g) Post-Approval Modification: Any variation/modification from the initial installation that affects RVSM approval shall require clearance by the airframe manufacturer or approved design organization and be cleared with DGCA to show that RVSM compliance has not been impaired.
h) The equipment mentioned in para 6.2.6 must be available for RVSM operation. In case of absence of any item, the MEL must be referred to and the RVSM operation must be restricted, as applicable.
i) Approvals granted by other Contracting states can provide basis for issuance of Airworthiness approval for RVSM.

6.2.8 A visual check of static sources area and air data probes to verify absence of impact or excessive skin waviness (required as a one-time check only).

6.2.9 A comparative check in flight of altitude readings from all sources at three different Flight Levels between FL300 – FL400 both inclusive. (The Altitude, the airspeed & the mach number on ADR1, ADR2 & ADR3 and SBY ADR.), proof will require to be reviewed.

6.2.10 A Maintenance memo stating the following points shall be circulated among the maintenance engineers

01. SUBJECT: REDUCED VERTICAL SEPARATION MINIMA (RVSM)

02. DISCUSSION : A RVSM airspace is defined as any airspace or route where the aircraft are separated vertically by 1000Ft between Flight Levels 290 and 410 inclusive. At present this separation is 2000Ft.

Therefore a decision was taken by the Airline to obtain an Optional approval for RVSM from the DGCA Sri Lanka to fly thru RVSM air space.

03. ACTION: To minimize the risk of loosing RVSM capability prior to entering or after entering to a RVSM air Space, take special care during maintenance and releasing aircraft after rectifying defects on following systems.

ADIRUs, ADMs, air data system probes/ Sensors and their heater circuits, EFIS/DMCs and FCU for **two independent altimetry systems.**

Altitude Hold Function on Auto Flight Systems.

Altitude Alert Function on Flight Warning Systems.

Altitude Reporting Function on ATC Transponder Systems.

A special attention to be given for all PFR messages and Tech Log defects related to above systems before releasing the aircraft for RVSM flights.

The SRM procedures for the repairs around air data sensor areas and removal installations and system tests related AMM tasks and procedures to be followed accurately.

6.2.11 Each aircraft MSN shall be assessed separately for RVSM airworthiness compliance.

6.2.12 After the scrutiny process is completed, the Airworthiness Inspector shall complete the relevant checklist CAA/AW/CL/27 forward with necessary recommendation to Director Airworthiness. File will be forward to the Operations Section with file minute by Director (Airworthiness)

6.2.13 The entire process shall take a minimum of fifteen (15) days.

SECTION TWO

CHAPTER 7 -STANDARD PROCEDURE FOR ISSUEING AN AIRWORTHINESS DIRECTIVE

7.1 INTRODUCTION

The objective of this procedure is to establish the general principles to be followed by Airworthiness Inspectors to issue Airworthiness Directives in respect of aircraft models registered in the Sri Lanka Civil Aircraft Register.

The set-up of the organizational structure should ensure that the various tasks and obligations of CAASL are not relying on individuals. That means that a continuing and undisturbed fulfilment of these tasks and obligations of Airworthiness Inspectors should also be guaranteed in case of illness, accident or leave of individual employees.

7.2 SCOPE OF PROCEDURE

This procedure describes how Airworthiness Section handles the process of issuing ADs.
This approval shall be performed in accordance with the provisions of SLCAIS 084(IS-21).
This procedure also describes how Airworthiness Section will process Emergency ADs, changes to previously issued ADs.

7.3 REFERENCES

The applicable references concerned with issue and renewal of C of A are;

ANR	Regulation 33 (Certificate of type approval), Chapter IV of ANR 1955
IS	SLCAI 084, SLCAIS 094
Others	Continuing Airworthiness of Type Design – International Certification Working Procedures Document

7.4 RESOURCES

A. The number of staff must be appropriate to carry out the requirements as detailed in this procedure.

B. Airworthiness Inspector and his team involved in issuing ADs must have:

1. Basic knowledge on application of aviation safety standards

2. Comprehensive knowledge of

   a) Relevant parts of ISs
   b) Procedures of Airworthiness Section
   c) The rights and obligations of an Airworthiness Engineer
   d) Quality systems
   e) Continuing airworthiness management

3. Adequate understanding on the aircraft by following a type training or by collecting adequate information from the aircraft type certificate holder

4. Experience gained during training knowledge and on the job training.

7.5 STANDARD PROCESS FOR ISSUING ADS

7.5.1 PROCESS STEPS DESCRIPTION FOR ISSUING ADS

A. Director(AR&AW) will assign investigation team and the Airworthiness Inspector to lead the team.

B. Airworthiness Inspector and Director(AR&AW) in collaboration with appropriate airworthiness staff will determine whether the unsafe condition requires immediate corrective action(s) and issuance of “Emergency AD”.

C. When Airworthiness Section has determined that an unsafe condition exists in an aircraft type design, as a result of a deficiency in the aircraft or an engine, propeller, part or appliance installed on this aircraft, and that condition is likely to exist or develop in other aircraft, Airworthiness Inspector shall request the Certificate Holder to propose appropriate corrective actions for CAASL approval.

D. Notify the unsafe condition to State of Design via e-mail and/or regular mail.

E. Upon receiving the proposed corrective action from Certificate Holder, the Airworthiness Inspector and his team shall review the proposal.

F. Format AD in the specific format. Allocate a number for the AD in the given format: YYYY-XX(R); where YYYY is the year, XX is the number given by CAASL in chronological order which restarts every New Year and R is for revision (Eg: R1 for 1st revision and so on).

G. Number of Emergency ADs shall have "–E" following the normal AD number in the same format (eg: YYYY-XX-E). After Airworthiness Inspector reviewing AD for language, standardization and consistency of wording submit it to Director(AR&AW) for acceptance and subsequent to obtain DGCA's signature

H. Effective date of the AD shall not be less than two weeks after the issue date of the AD unless issued as an "Emergency AD" in which the effective date shall not be less than 02 days.

I. Distribute to the following parties:

1. State of Design
2. Certificate Holder
3. All applicable Sri Lankan Registered Air Operators & owners.
4. Publish on CAASL website

J. File AD and all the relevant documents in the "Airworthiness Directive" file. Update AD register and soft copy accordingly.

K. End of AD issuing Process.

7.6 PROCESS FOR CHANGING PREVIOUSLY ISSUED ADS

7.6.1 PROCESS STEPS DESCRIPTION FOR CHANGES TO PREVIOUSLY ISSUED ADS

i. Already issued and valid ADs may be subject to the below differences affecting their content or validity:
   1) Cancellation
   2) Correction
   3) Revision
   4) Supersede.

The cancellation is the withdrawal, i.e. complete revocation of an AD without replacement. In case of correction, supersede or revision, the previously published AD will be either amended (correction & revision) or cancelled and replaced by a new AD (supersede).

The simplest form of an AD non-substantive change is a corrected AD, i.e. the change has no effect on compliance with the AD. An AD may require correction of a typographical error. Any change that shall be tracked (i.e. affects compliance with the AD) shall be issued as a revision or superseding AD.

The most common reasons for changing a previously issued Airworthiness Directive and the type of Airworthiness Directive action that should be considered are listed below.

Type of Change	Revision	Supersede	Correction
Non-substantive correction			X
Additional Requirement*		X	
Expanded applicability*		X	
Reduced compliance time*		X	
Additional inspection(s)*		X	
Mandatory terminating action*		X	
Reduced applicability**+	X		
Extended compliance time**+	X		
Optional inspection method**+	X		
Optional terminating action**+	X		
Substantive correction- impossible+	X		
Substantive correction - possible+		X	

* Any Airworthiness Directive that imposes a new requirement is issued as a superseding AD, even if other portions of the Airworthiness Directive are considered relieving.
** A relieving Airworthiness Directive should be issued as a revision.

+ If it is impossible to comply with an original Airworthiness Directive as in the case of a non-existent part number, the new Airworthiness Directive may be issued as a revision. If it is possible to comply with an original Airworthiness Directive, as in the case of

an existing but incorrect part number, the Airworthiness Directive is issued as a superseding AD.

ii. If changes to previously issued ADs are deemed necessary by the Airworthiness Section after consulting the relevant Certificate Holder, these changes shall be issued as corrections or revisions to the original AD depending on the nature of the material being changed. In addition, ADs may be superseded by new ADs depending on the nature of the material being changed. Although this information is presented in terms of final ADs, it may be used for industry consultation. Table of steps in the above chart must be used to determine what type of change is being carried out, thus determining the type of document to be issued. When using the information contained in this section, there are three things to consider;

1. Whether the AD is to be changed because of an editorial or typographical error; e.g., the published document was wrong and the change is classified as a correction. If the AD was correct as published but then has to be changed, this is classified as a revision or supersede
2. Whether the information is substantive or non-substantive; that is, whether it affects the substance of the AD.
3. Is the effect of changes will have on the AD system and on the owners/operators affected by the AD.

7.6.2 CANCELLATION OF AN AD

A. Airworthiness Inspector shall assess in coordination with the inputs provided by the Certificate Holder, if the AD should be withdrawn and shall draft the proposed AD Cancellation Notice.
Keep the following in mind for withdrawal of an AD:

1. Check whether the AD being withdrawn mentions or affects another AD in the system
2. Be sure that withdrawal of the AD will not leave an unsafe conditions unresolved.

The standard procedure is to issue the proposed cancellation as an AD Cancellation Notice, soliciting industry comment to ensure that the removal will not cause unanticipated problems by reinstating a former rule on an operator.

An AD ‘Cancellation Notice’ retains the original AD number with the addition of ‘-AD’, e.g.: 2010-01R1-AD.

B. Does the change affect the substance of the AD (e.g. new requirement, change in applicability, and change in compliance time)?

7.6.3 CORRECTION OF AN AD

If a non-substantive error is discovered in an AD before it is placed on the CAASL website, it may be recalled for correction. Anyone who thinks that there is a non-substantive error in a published AD should advise the Airworthiness Section accordingly. The Airworthiness Inspector shall review the observed error in the AD in coordination with the Director (AR&AW), if necessary. In cases where, for e.g. to correct typographical error it is not essentially to contact Deputy Director - Airworthiness. After agreement with Director (AR&AW) the Airworthiness Inspector shall publish the corrected AD.

If a non-substantive error is noted in the published AD, the Airworthiness Inspector shall determine, whether it was an editorial or typographical error. If the error was an editorial or typographical error, then the Airworthiness Section shall review, correct and submit to the Deputy Director for endorsement. Then the Airworthiness Section shall publish the corrected AD.

Note 1: An explanation for the corrected AD shall be provided in the AD itself under “Reason”. The correction content shall also be provided where appropriate.

Note 2: A corrected AD does not get a new AD number. This is the reason why corrections are limited to non-substantive errors. Any change that shall be tracked (i.e., affects compliance with the AD) shall be issued as a revision or superseding AD. Correction of a substantive error shall be issued as either a superseding AD or a revision.

7.6.4 SUPERSEDE OF AN AD

With a few notable exceptions, a substantive change to an AD should be issued as a superseding AD. Substantive changes, including corrections, are those made to any instruction or reference that affects the substance of the AD.
Substantive changes may affect part numbers, service bulletin and manual references, compliance time, applicability, methods of compliance, corrective action, inspection requirements, and effective dates.
In general, whenever there is an additional (or different) requirement imposed or an expanded scope of required inspection, the change must be issued as a superseding AD.
Substantive changes to an AD should be assessed by the Airworthiness Inspector in coordination with the Type Certificate Holder, and properly reported to the Director(AR&AW)

A. The steps to be followed, If an error occurs in an AD, then:

1. The Airworthiness Inspector shall assess in coordination with the Type Certificate Holder if it is possible to comply with the AD as published. If so, Airworthiness Inspector shall asses if the superseding AD should be an AD or Emergency

AD, then he should send the AD immediately to the Deputy Director for approval. Distribution and filing should be followed after that.

2. The "reason" paragraph should include a discussion of each change, how each change affects compliance, and the fact that all other parts of the AD remain as originally published.

3. If the AI assesses (in coordination with the Type Certificate Holder) that it is IMPOSSIBLE to comply with the AD as published (such as the publication of a nonexistent part number), he shall inform the Deputy Director, and a revised AD should be issued if it meets the proper criteria.
A superseding AD shall comply with all of the requirements of a new AD as per standard AD process explained in this part

B. The following shall be taken into account when an AD is being superseded:

1. The revised/superseded information section shall indicate that a previous AD is being superseded

2. Where appropriate, credit should be given for corrective actions already accomplished in compliance with the superseded AD. When restating old compliance dates, i.e. compliance dates already included in the superseded AD, they have to be limited to those requirements already included in the superseded AD only. When applicability is expanded, old compliance dates should not be used. On the other hand, it is also important to make sure that provisions of the previous AD that are intended to remain in effect are not omitted inadvertently. A careful "side-by-side" comparison of the previous AD and the new AD draft is essential and strongly recommended.

3. A superseding AD shall get a **new AD number**; the website record and the AD file for the superseded AD is amended to reflect the new 'SUPERSEDED' status. The Airworthiness Section shall archive the superseded AD in a separate file from active ADs (refer filing procedure to make a new file). The industry shall continue to have access to superseded ADs.

7.6.5 REVISION OF AN AD

The Deputy Director shall assess in coordination with theType Certificate Holder. Cases when a revised AD is appropriate:

A. To issue necessary changes that is non-substantive. Examples include a change in the address where a service bulletin is available or a change in the name of the contact person, or something equally non-substantive.

B. If the change is relieving in nature, such as the addition of an optional terminating action. While this would normally be viewed as a substantive change requiring a superseding AD, the reasons for requiring a superseding AD do not apply. In the case of an optional terminating action added to an AD that continues to require a repetitive inspection, failure to record the correct revision number is not critical to compliance. The same required inspection shall be performed under all revisions; compliance with an earlier version would have no effect on safety.

C For reduced applicability. Because this is a type of relieving AD, it is not critical to record a new AD number.

D. To correct substantive errors that causes compliance to be impossible. For example, an AD that requires the installation of a nonexistent part (no such part number) is impossible to comply with, and the issue of whether the proper revision number is recorded is not critical to compliance.

Revised ADs shall retain their original paragraph designations because maintenance record entries that refer to specific paragraphs will be incorrect if the information is moved or replaced. A change in the designation of a paragraph that contains a requirement results in the issuance of a superseding AD.

The Airworthiness Inspector shall submit the proposed revised AD to the Deputy Director for endorsement and publication. The reason paragraph should include a discussion of each change, how each change affects compliance, and the fact that all other parts of the AD remain as originally published.

The following shall be taken into account when an AD is being revised:

a. The revised/superseded information section shall indicate that a previous AD is being revised or superseded.

b. A revised AD retains its AD number with the addition of the revision number, e.g., 2010-01R1.

SECTION TWO

CHAPTER 8 - POLICY & PROCEDURE ON AUDIT & SURVEILLANCE OF AIRWORTHINESS

8.1 POLICY

8.1.1 COMPREHENSIVE AUDITS

Audit on Industry is based on two year period of Audit cycle so that every two years a comprehensive Audit would be planned & conducted as per Manual of Regulatory Audits SLCAP 4010. All International Passenger Operators having a valid AOC shall be subjected to such Audits during that audit cycle. Usually period of scrutiny of documents & records during the audit is four years.

If, for any reason, such comprehensive audit couldn't be performed within due period then localized audits shall be accomplished covering all areas of the comprehensive Audit within a period of one year as a replacement to a comprehensive Audit.
Every CAOM/AMO/AMTO Organization shall be subjected to an audit cycle of once in two years.

8.1.2 PLANNED SURVEILLANCE INSPECTIONS

Inspections on Industry is based on an Annual Surveillance Plan which is developed based on various criteria relating to safety critical areas of an operator. Frequency of Inspections is also decided depending on such information as well & may vary from one operator to another. Surveillance Plan to be revisited every 3 months and corrections to be made to the surveillance activities according to the present requirement of surveillance requirements of that operator.

Therefore following factors shall be considered in developing surveillance plan;

1) Areas of the AMO of an operator for Inspections
2) Number and Age of aircraft,
3) Number of Technicians , Engineers, Mechanics
4) Previous Audit & Inspection findings & follow up of CAPs,
5) Type of operations, frequency of operations,
6) Reported MORs,
7) Special authorizations granted (ex ETOPS) ,
8) Number of years in operation ,
9) Significant changes to organizations.

8.1.3 RANDOM / UNANNOUNCED INSPECTIONS

In addition to the planned Inspections by CAASL Airworthiness Inspectors, as per Annual Surveillance Plan (ASP), they also are required to conduct unannounced Inspections & special Inspections as directed by Director (AR & AW), DDG (FSR) or DGCA. Unannounced inspections are carried out whenever information is received

warranting such inspections requiring mitigation of safety critical events. Special Inspections are required whenever there is a need of an Airworthiness inspector's approval prior to release of an aircraft after a repair or overhaul or if it is sought by industry or any Aerodrome Operator.
Also some random inspections are done on special days or times of operation to assess the operator's capabilities during such critical periods.

8.2 PROCEDURE FOR PREPARATION OF SURVEILLANCE PLAN

Inspection plan to be included to the Surveillance plan to be ready by end of September in the previous year.

Surveillance plan is based on a year and all the surveillance activities mandated by AWP is reflected in detail in this surveillance plan.

Following inspections are detailed for the AWS inspectors.

- AMO Inspections
- AMTO Inspections
- CAMO Inspections
- C of A renewal Inspections
- Ramp Inspections
- Workshops of Sri Lankan Airlines

As there are limited number of organizations in Sri Lanka. All the approved organizations will be inspected once a year. However, if the number of findings / MORs are higher in any organization and / or any other safety alters are high. Those organizations can be considered audited twice per year.

8.3 RESPONSIBILITY OF PREPARATION OF SURVEILLANCE PLAN

Director (Aircraft Registration & Airworthiness) in consultation with the AW section will prepare the surveillance plan. While preparing the plan, the capability and level of Authorization granted to inspectors will be taken into account.

8.4 INSPECTION PROCEDURE

Inspection procedures are discussed in the Airworthiness Inspectors Handbook (SLCAP 6200) together with the applicable Guidance Material.

8.5 INSPECTION FOLLOW UP PROCEDURE

1) Inspection checklist to be filled during the inspection and sent to Director(AR&AW) copying GMO & CAO designated for subject
2) GMO to send findings to respective operator with Director (AR&AW) digital signature. If finding/reply is not received in 7 days, GMO to send the reminder with DDG/FSR's signature to Accountable Manager of the organization.
3) CAO to remind the inspector of finding closure and keep Director (AR&AW) informed.
4) CAO to inform GMO of closure of findings
5) GMO to provide safety related statistics to Director (AR&AW), DFS for every month by 1st week of the succeeding month and bring it in the safety meeting.

6) Inspector to inform the closure of finding to D/AW Director(AR&AW) and Director(AR&AW) to inform the organization concern the acceptance and closure of the finding

8.6 AUDIT FOLLOW UP PROCEDURE (SLCAP 4010)

Refer the chapter 2 of SLCAP 4010 for follow up procedure and post audit surveillance.

8.6.1 SURVEILLANCE PLAN TO BE RE -VISITED EVERY 6 MONTHS

Depending on the safety data received surveillance plan to be re visited and amended accordingly by June each year.

8.6.2 INSPECTION OF FOREIGN AMO FACILITIES

Foreign AMOs approved by that state as per ICAO standard or any other standard higher than ICAO may require only a validation process as per ICAO guidance material 10.11 of Doc 9760.

This process also could be validated with an assessment on safety oversight records on ICAO audit, from ICAO website, EASA Audit and NAA Audit. If there are no concerns found in the site this validation process may be considered adequate for the acceptance of the facility. If not separate inspection shall be planned based on policy criteria mentioned above, as well as scrutiny of audit conducted by the Industry internal Auditors prior to applying for approval of the facility may require a decision of either conducting the same or not.

When it is decided that an Inspection by CAASL Inspectors shall be carried out based on above policy, then initial Inspection is to be carried out and for continued surveillance requirements, subsequent inspections to be carried out in two year Inspection cycles. Other annual inspections shall be based on the approvals granted by the national Authority of the state of the facility.

SECTION TWO

CHAPTER 9 – PROCEDURE FOR MAINTENANCE ORGANIZATION APPROVAL

9.1 PROCEDURE FOR CIVIL AVIATION AUTHORITY – SECTION B

9.1.1
145.B.01 SCOPE

This section establishes the administrative procedures which the CAASL shall follow when exercising its tasks and responsibilities regarding issuance, continuation, change, suspension or revocation of IS-145 maintenance organization approvals.

9.1.2
145.B.10 CIVIL AVIATION AUTHORITY OF SRI LANKA

1. General

   For the purpose of this Part, the CAASL shall be:
   For organizations having their principle place of business in Sri Lanka shall be Civil Aviation Authority of Sri Lanka.
   The Civil Aviation Authority shall establish documented procedures and an organizational structure

2. Resources

   The number of staff must be appropriate to carry out the requirements as detailed in this section.

3. Qualification and training

   All staff involved in IS -145 approvals must:

   (a) be appropriately qualified and have all necessary knowledge, experience and training to perform their allocated tasks.

   (b) have received training/continuation training on IS -145 where relevant, including its intended meaning and standard.

4. Procedures
   The CAASL shall establish procedures detailing how compliance with this Section B is accomplished.

   The procedures must be reviewed and amended to ensure continued compliance.

9.1.2.1
AMC 145.B.10(1) CIVIL AVIATION AUTHORITY OF SRI LANKA – GENERAL

1. In deciding upon the required organizational structure, the CAASL should review the number of certificates to be issued, the number and size of potential IS-145 approved maintenance organizations within Sri Lanka, as well as the level of civil aviation activity, number and complexity of aircraft and the size of the Sri Lanka aviation industry.

2. The CAASL should retain effective control of important surveillance functions and not delegate them in such a way that IS-145 organizations, in effect, regulate themselves in airworthiness matters.

3. The set-up of the organizational structure should ensure that the various tasks and obligations of the CAASL are not relying on individuals. That means that a continuing and undisturbed fulfilment of these tasks and obligations of the CAASL should also be guaranteed in case of illness, accident or leave of individual employees.

9.1.2.2
AMC 145.B.10(3) CAASL – QUALIFICATION AND TRAINING

1. CAASL inspectors should have:
   - 1.1 practical experience and expertise in the application of aviation safety standards and safe operating practices;
   - 1.2 comprehensive knowledge of:
     - a. relevant parts of implementing rules, certification specifications and guidance material;
     - b. the CAASL's procedures;
     - c. the rights and obligations of an inspector;
     - d. quality systems;
     - e. continuing airworthiness management;
     - f. operational procedures when affecting the continuing airworthiness management of the aircraft or the maintenance.
   - 1.3 training on auditing techniques.
   - 1.4 five years relevant work experience to be allowed to work as an inspector independently. This may include experience gained during training to obtain the 1.5 qualification.
   - 1.5 a relevant engineering degree or an aircraft maintenance technician qualification with additional education. 'Relevant engineering degree' means an engineering degree from aeronautical, mechanical, electrical, electronic, avionic or other studies relevant to the maintenance and continuing airworthiness of aircraft/aircraft components.
   - 1.6 knowledge of maintenance standards, including Fuel Tank Safety (FTS)

training as described in Appendix IV to AMC to 145.A.30(e) and 145.B.10(3).

2. In addition to technical competency, inspectors should have a high degree of integrity, be impartial in carrying out their tasks, be tactful, and have a good understanding of human nature.
3. A programme for continuation training should be developed ensuring that the inspectors remain competent to perform their allocated tasks.

9.1.2.3
AMC 145.B.10(4) CAASL – PROCEDURES

The documented procedures should contain the following information:

(a) The designation of the CAASL
(b) The title(s) and name(s) of the manager(s) of the CAASL and their duties and responsibilities.
(c) Organization chart(s) showing associated chains of responsibility of the senior persons.
(d) A procedure defining the qualifications for staff together with a list of staff authorised to sign certificates.
(e) A general description of the facilities.
(f) Procedures specifying how the CAASL ensure(s) compliance with IS-145.

9.1.3
145.B.15 *RESERVED*

9.1.4
145.B.17 ACCEPTABLE MEANS OF COMPLIANCE

The AMC material has been developed in such a way that when this is complied with the related requirements of this IS shall be considered as met.

9.1.5
145.B.20 INITIAL APPROVAL

1. Provided the requirements of 145.A.30 (a) and (b) are complied with, the CAASL shall formally indicate its acceptance of the personnel, specified in 145.A.30 (a) and (b), to the applicant in writing.
2. The CAASL shall verify that the procedures specified in the maintenance organization exposition comply with IS-145 and verify that the accountable manager signs the commitment statement.
3. The CAASL shall verify that the organization is in compliance with the requirements of IS-145.
4. A meeting with the accountable manager shall be convened at least once during the investigation for approval to ensure that he/she fully understands the significance of the approval and the reason for signing the exposition commitment of the organization to compliance with the procedures specified in the exposition.

5. All findings must be confirmed in writing to the organization.
6. The CAASL shall record all findings, closure actions (actions required to close a finding) and recommendations.
7. For initial approval all findings must be corrected before the approval can be issued.

9.1.5.1
AMC 145.B.20(1) INITIAL APPROVAL

1. Formally indicated by the CAASL in writing means that the CAASL Form 4 should be used for this activity. With the exception of the accountable manager, a CAASL Form 4 should be completed for each person nominated to hold a position as required by 145.A.30(b).
2. Formal indication of acceptance should be by use of the CAASL Form 4 or in the case of the Accountable Manager via approval of the Maintenance Organization Exposition containing the Accountable Managers commitment statement.
3. The CAASL may reject an accountable manager where there is clear evidence that *he/she* previously held a senior position in a CAASL approved Organization and abused that position by not complying with the particular CAASL requirements.

9.1.5.2
AMC 145.B.20(2) INITIAL APPROVAL

Verification that the organization complies with the exposition procedures should be established by the CAASL approving the maintenance organization exposition.

9.1.5.3
AMC 145.B.20(3) INITIAL APPROVAL

1. The CAASL should determine by whom, and how the audit shall be conducted. For example, for a large organization, it will be necessary to determine whether one large team audit or a short series of small team audits or a long series of single man audits are most appropriate for the particular situation.
2. It is recommended that the audit is carried out on a product line type basis in that, for example, in the case of an organization with Airbus A310 and A320 ratings, the audit be concentrated on one type only for a full compliance check and dependent upon the result, the second type may only require a sample check against those activities seen to be weak on compliance for the first type.
3. The CAASL auditing inspector should always ensure that he/she is accompanied throughout the audit by a senior technical member of the organization. Normally this is the quality manager. The reason for being accompanied is to ensure the organization is fully aware of any findings during the audit.
4. The auditing inspector should inform the senior technical member of the organization at the end of the audit visit on all findings made during the audit.

9.1.5.4
AMC 145.B.20(5) INITIAL APPROVAL

1. The audit report form should be the CAASL Form 6.
2. A quality review of the CAASL Form 6 audit report form should be carried out by a competent independent person nominated by the CAASL. The review should take into account the relevant paragraphs of IS-145, the categorisation of finding levels and the closure action taken. Satisfactory review of the audit form should be indicated by a signature on the audit form.

9.1.5.5
AMC 145.B.20(6) INITIAL APPROVAL

1. The reports should include the date each finding was cleared together with reference to the CAASL report or letter that confirmed the clearance.
2. There may be occasions when the CAASL inspector may find situations in the applicant's organization on which he/she is unsure about compliance. In this case, the organization should be informed about possible non-compliance at the time and the fact that the situation will be reviewed within the CAASL before a decision is made.

   If the decision is a finding of being in compliance then a verbal confirmation to the organization will suffice.
3. Findings should be recorded on the audit report form with a provisional categorisation as a level 1 or 2. Subsequent to the audit visit that identified the particular findings, the CAASL should review the provisional finding levels, adjusting them if necessary and change the categorisation from provisional to confirmed.
4. All findings should be confirmed in writing to the applicant organization within 2 weeks of the audit visit.

9.1.6
145.B.25 ISSUE OF APPROVAL

1. The CAASL shall formally approve the exposition and issue to the applicant a CAASL Form 3 approval certificate, which includes the approval ratings. The CAASL shall only issue a certificate when the organization is in compliance with IS-145.
2. The CAASL shall indicate the conditions of the approval on the CAASL Form 3 approval certificate.
3. The reference number shall be included on the CAASL Form 3 approval certificate in a manner specified by the CAASL.

9.1.6.1
AMC 145.B.25(1) ISSUE OF APPROVAL

1. The approval should be based only upon the organizational capability (including any associated sub-contractors) relative to IS-145 and not limited by reference

to EASA/national type certificated products.

For example, if the organization is capable of maintaining within the limitation of IS-145 the Boeing 737-200 series aircraft the approval schedule should state A1 Boeing 737-200 series and not Boeing 737-2H6 which is a particular airline designator for one of many -200 series.

2. The CAASL should indicate approval of the exposition in writing.

9.1.6.2
AMC 145.B.25(3) ISSUE OF APPROVAL

The numeric sequence should be unique to the particular approved maintenance organization.

9.1.7
145.B.30 CONTINUATION OF AN APPROVAL

The continuation of an approval shall be monitored in accordance with the applicable "initial approval" process under 145.B.20. In addition:

1. The CAASL shall keep and update a programme listing the approved maintenance organizations under its supervision, the dates when audit visits are due and when such visits were carried out.
2. Each organization must be completely reviewed for compliance with IS-145 at periods not exceeding 24 months.
3. A meeting with the accountable manager shall be convened at least once every 24 months to ensure he/she remains informed of significant issues arising during audits.

9.1.7.1
AMC 145.B.30(1) CONTINUATION OF AN APPROVAL

Credit may be claimed by the CAASL inspector(s) for specific item audits completed during the preceding 23 month period subject to four conditions:

- the specific item audit should be the same as that required by IS-145 latest amendment, and
- there should be satisfactory evidence on record that such specific item audits were carried out and that all corrective actions have been taken, and
- the CAASL inspector(s) should be satisfied that there is no reason to believe standards have deteriorated in respect of those specific item audits being granted a back credit, and
- the specific item audit being granted a back credit should be audited not later than 24 months after the last audit of the item.

9.1.7.2
AMC 145.B.30(2) CONTINUATION OF AN APPROVAL

1. Where the CAASL has decided that a series of audit visits are necessary to arrive at a complete audit of an organization, the programme should indicate which aspects of the approval will be covered on each visit.
2. It is recommended that part of an audit concentrates on two ongoing aspects of the Part-145 approval, namely the organization's internal self-monitoring quality reports produced by the quality monitoring personnel to determine if the organization is identifying and correcting its problems and secondly the number of concessions granted by the quality manager.
3. At the successful conclusion of the audit including approval of the exposition, an audit report form should be completed by the auditing inspector including all recorded findings, closure actions and recommendation. A CAASL Form 6 should be used for this activity.
4. The accountable manager should be seen at least once every 24 months to ensure he/she fully understands the significance of the approval.
5. In the case of line stations the CAASL can adopt a sampling programme based upon number of line stations and complexity.

9.1.8
145.B.35 CHANGES

1. The CAASL shall receive notification from the organization of any proposed change as listed in 145.A.85.

   The CAASL shall comply with the applicable elements of the initial process paragraphs for any change to the organization.
2. The CAASL may prescribe the conditions under which organization may operate during such changes unless it determines that the approval should be suspended.

9.1.8.1
AMC 145.B.35 CHANGES

The CAASL should have adequate control over any changes to the management personnel specified in 145.A.30(a) and (b) and such changes in personnel will require an amendment to the exposition.

9.1.8.2
AMC 145.B.35(1) CHANGES

The applicable part(s) of the CAASL Form 6 should be used for the changes to the IS-145 approval.

9.1.8.3
AMC 145.B.35(2) CHANGES

The primary purpose of this paragraph is to enable the organization to remain approved if agreed by the CAASL during negotiations about any of the specified changes. Without this paragraph the approval would automatically be suspended in all cases.

9.1.9
145.B.40 CHANGES TO THE MAINTENANCE ORGANIZATION EXPOSITION

For any change to the Maintenance Organization Exposition (MOE):

1. In the case of direct approval of the changes in accordance with point 145.A.70(b), the CAASL shall verify that the procedures specified in the exposition are in compliance with IS-145 before formally notifying the approved organization of the approval.
2. In the case an indirect approval procedure is used for the approval of the changes in accordance with point 145.A.70(c), the CAASL shall ensure (i) that the changes remain minor and (ii) that it has an adequate control over the approval of the changes to ensure they remain in compliance with the requirements of IS-145.

9.1.9.1
AMC 145.B.40 CHANGES TO THE MAINTENANCE ORGANIZATION EXPOSITION

1. It is recommended that a simple exposition status sheet is maintained which contains information on when an amendment was received by the CAASL and when it was approved.
2. The CAASL may define some class of amendments to the exposition which may be incorporated without prior authority approval. In this case a procedure should be stated in the amendment section of the MOE. The exposition chapter dealing with scope of work/approval should not be subject to this procedure.
3. The organization should submit each exposition amendment to the CAASL whether it is an amendment for approval or a delegated approval amendment. Where the amendment requires approval by the CAASL, the CAASL when satisfied, should indicate its approval in writing. Where the amendment has been submitted under the delegated approval procedure the CAASL should acknowledge receipt in writing.

9.1.10
145.B.45 REVOCATION, SUSPENSION AND LIMITATION OF APPROVAL

The CAASL shall:

(a) suspend an approval on reasonable grounds in the case of potential safety threat; or

(b) suspend, revoke or limit an approval pursuant to 145.B.50.

9.1.11
145.B.50 FINDINGS

(a) When during audits or by other means evidence is found showing non-compliance with the requirements of Part-145, the CAASL shall take the following actions:

1. For level 1 findings, immediate action shall be taken by the CAASL to revoke, limit or suspend in whole or in part, depending upon the extent of the level 1 finding, the maintenance organization approval, until successful corrective action has been taken by the organization.
2. For level 2 findings, the corrective action period granted by the CAASL must be appropriate to the nature of the finding but in any case initially must not be more than three months. In certain circumstances and subject to the nature of the finding the CAASL may extend the three month period subject to a satisfactory corrective action plan agreed by the CAASL.

(b) Action shall be taken by the CAASL to suspend in whole or part the approval in case of failure to comply within the timescale granted by the CAASL.

9.1.11.1
AMC 145.B.50 (A) FINDINGS

In practical terms a level 1 finding is where a CAASL finds a significant non-compliance with IS -145.

The following are example level 1 findings:

- Failure to gain access to the organization during normal operating hours of the organization in accordance with 145.A.90(2) after two written requests.
- If the calibration control of equipment as specified in 145.A.40(b) had previously broken down on a particular type product line such that most “calibrated” equipment was suspect from that time then that would be a level 1 finding.

Note: A complete product line is defined as all the aircraft, engine or component of a particular type.

For a level 1 finding it may be necessary for the CAASL to ensure that further maintenance and re-certification of all affected products is accomplished, dependent upon the nature of the finding.
In practical terms where a CAASL inspector finds a non-compliance with IS-145 against one product, it is deemed to be a level 2 finding.

The following are example level 2 findings:

- One time use of a component without any serviceable tag.
- The training documents of the certifying staff are not completed.

9.1.11.2
AMC 145.B.50(B) FINDINGS

Where the organization has not implemented the necessary corrective action within that period it may be appropriate to grant a further period of up to three months, subject to the CAASL notifying the accountable manager. In exceptional circumstances and subject to a realistic action plan being in place, the CAASL may specifically vary the maximum 6 month corrective action period. However, in granting such a change the past performance of the organization should be considered.

9.1.12
145.B.55 RECORD-KEEPING

1. The CAASL shall establish a system of record-keeping with minimum retention criteria that allows adequate traceability of the process to issue, continue, change, suspend or revoke each individual organization approval.
2. The records shall include as a minimum:
   (a) the application for an organization approval, including the continuation thereof.
   (b) the CAASL continued oversight program including all audit records.
   (c) the organization approval certificate including any change thereto.
   (d) a copy of the audit program listing the dates when audits are due and when audits were carried out.
   (e) copies of all formal correspondence including Form 4 or equivalent.
   (f) details of any exemption and enforcement action(s).
   (g) any other CAASL audit report forms.
   (h) maintenance organization expositions.
3. The minimum retention period for the above records shall be four years.
4. The CAASL may elect to use either a paper or computer system or any combination of both subject to appropriate controls.

9.1.12.1
AMC 145.B.55 RECORD-KEEPING

1. The record-keeping system should ensure that all records are accessible whenever needed within a reasonable time. These records should be organised in a consistent way throughout the CAASL (chronological, alphabetical order, etc.).
2. All records containing sensitive data regarding applicants or organizations should be stored in a secure manner with controlled access to ensure confidentiality of this kind of data.
3. All computer hardware used to ensure data backup should be stored in a different location from that containing the working data in an environment that ensures they remain in good condition. When hardware or software changes take place special care should be taken to ensure that all necessary data continues to be accessible at least through the full period specified in 145.B.55.

9.1.13
145.B.60 EXEMPTIONS

All exemptions granted by the CAASL shall be recorded and retained by the CAASL.

9.2 INITIAL APPROVAL, AMENDMENTS, RENEWAL AND CONTINUING OVERSIGHT OF ORGANIZATIONS

9.2.1 AMO 145 / PART M SUB PART F APPROVALS

a) **Purpose**

This procedure establishes the general principles to be followed by the CAASL for processing the initial, continuation, change, renewal, limitation, suspension or revocation of maintenance organization approvals in accordance with relevant provisions of CAASL IS 145 or IS Part M Subpart F.

b) **Legislation**

Table 4.2 Applicable legislations

Origin Primary Legislation	Legislation Act 14/2010
ICAO	Annex 8, Chapter 08 of Annex 6
CAASL	IS -145 and IS Part M Subpart F

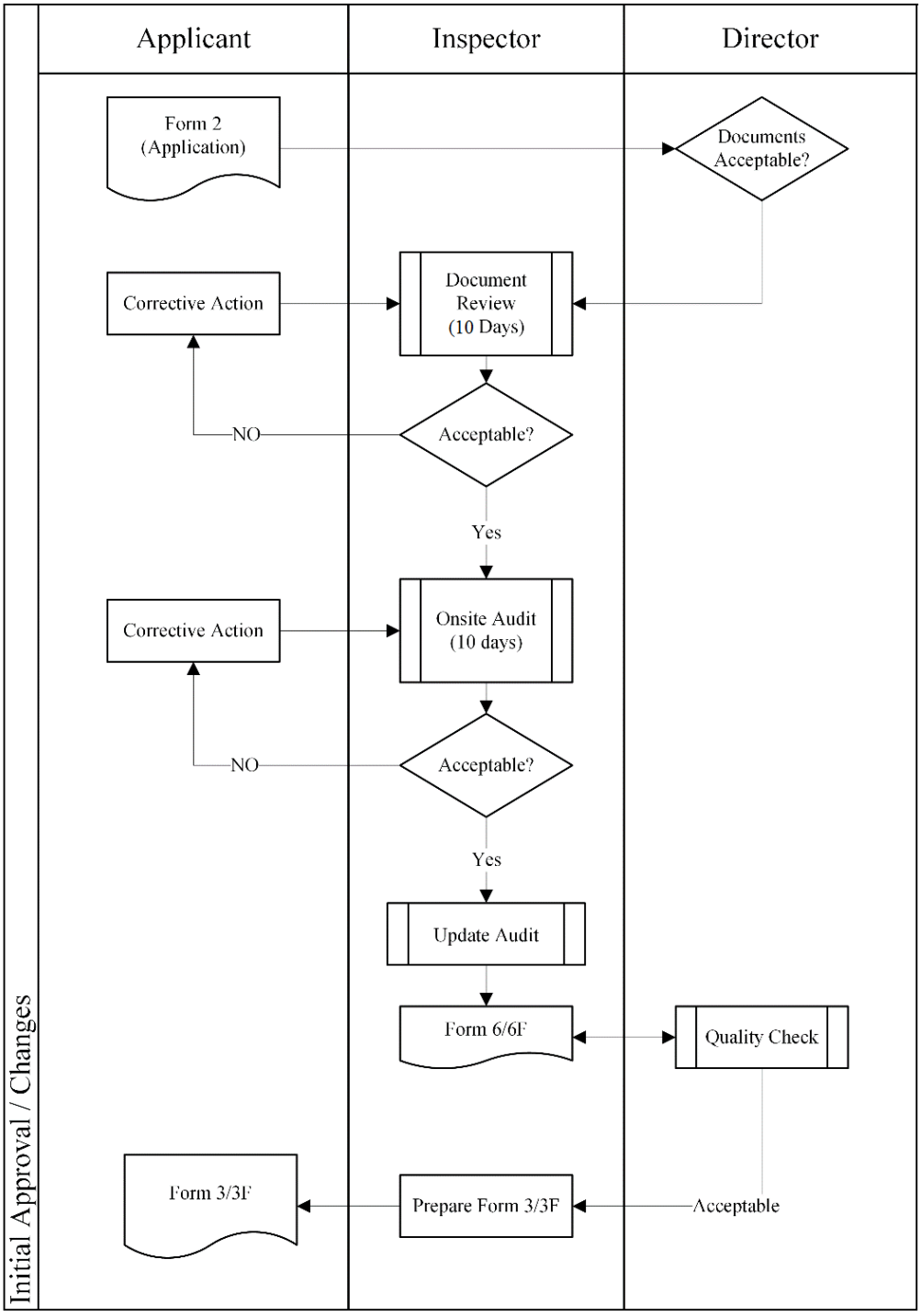
c) **Resources**

The number of staff should be adequate to carry out the requirements of this procedure. Director Airworthiness shall update the Annual Surveillance and Work Plan (man-hour plan) each year and ensure the necessary staff changes incorporated in to the annual budget.

The knowledge, practical experience and expertise of the Inspectors approving maintenance organizations should meet the criteria in Airworthiness Inspector Hand Book Section 01.

Director Aircraft Registration & Airworthiness shall monitor Inspectors continuation training as specified in Airworthiness Office Procedure Manual Section 1 Chapter 5 (Training of Airworthiness Inspectors) to ensure they remain competent.

d) **Initial Application**



e) **Pre-Application**

Applicants wishing to obtain a maintenance organization approval may show expression of interest via an email or a letter addressed to the DGCA. In any case, the applicant shall download the CAASL Form 2, Compliance Checklist and any other application guidelines that may help the applicant in completing the application.

Table 8-2 Pre-application Documents

Document	Local -IS -145	Foreign IS-145	IS -M Subpart F
Application Form (Form 2)	x	x	x
Form 4	x	x	x
Compliance Checklist	x	x	x
Exposition	EASA MOE guidance	Supplement	UK CAA MOM for small

f) **Application**

Application (CAASL Form 2) shall be sent to the CAASL along with the completed MOE/MOA compliance checklist, all Form 4s and a copy of the Maintenance organization exposition. Director Aircraft Registration & Airworthiness should assign an Inspector for the investigation. The Inspector shall:

a. Acknowledge receipt of the application within ten working days.
b. Check the application for completeness and accuracy. Notify, in writing, to the applicant details of any omission and/or errors as soon as possible.
c. Assess the eligibility of the application in accordance with IS-145 or IS-M Subpart F. This should not take longer than week.
d. Arrange a meeting with the applicant if there is a doubt whether the applicant's maintenance activities justify the investigation for issue of IS -145 or IS -M Subpart F approval. This meeting is not intended to establish compliance but rather to see if the activity requires the requested approval. Discuss the IS -145 / Sub Part F compliance checklist with the applicant if appropriate.

Once the assessment is complete, inform the applicant whether its application is accepted or not; and if accepted:

a. The assigned inspector will perform the technical investigation tasks. The Director (Aircraft Registration & Airworthiness) will notify the applicant the projected dates based on current work load in hand with the Assigned inspector.
b. Issue a preliminary approval number with a suffix “P” indicating the pending status of the approval (for example CAASL.145.XXXP)
c. In case of local organizations, fix a date for meeting with senior staff of the organization to explain how the CAA will carry out the technical investigation tasks.
d. Approval costs should include approval fees and the cost of any audits. Refer CAASL-Fee schedule for approval fees.

9.2.2 INVESTIGATION

a) Investigation Team

The investigation team can consist of only Inspectors but may vary in size. It is dependent upon size, nature and complexity of the services covered under the intended approval.

Trainee Inspectors may participate in investigation teams as observers at no direct cost to the operator.

For specific technical investigations the basic team can call for assistance from appropriate technical experts. The technical experts shall follow all applicable provisions detailed in this procedure.

b) Nominated Persons

Formally accept the nominated persons specified in IS 145.A.30 (a) and (b) or M.A.606 (a) and (b) provided the respective requirements are complied with.

For this activity use CAASL Form 4 with the exception of the Accountable Manager who is accepted after the organization exposition containing the Accountable Manager's signature is approved.

All nominated persons shall be interviewed prior to approval by the DGCA.

Director (AR&AW) may reject any nominated person (including the Accountable Manager) where there is clear evidence that they previously held a senior position in an approved Maintenance organization and abused that position by not complying with the relevant regulations or where the person does not have the appropriate experience and/or qualifications to hold the nominated position . The Director (AR&AW) shall notify of his decision to the Chief Executive Officer of that organization

c) Meeting With The Accountable Manager

A meeting with the Accountable Manager shall be convened at least once during the investigation for approval to ensure that he/she fully understands the significance of the approval and the reason for signing the exposition commitment of the organization to compliance with the procedures specified in the exposition.

d) Exposition Procedures

Verify the procedures specified in the organization exposition comply with IS-145 or IS-M Subpart F as applicable.

Verify the Accountable Manager signs the commitment statement.

Verify that the organization complies with the procedures mentioned in the exposition through the 145/Part M Subpart F, Compliance Check lists (CAA/AW/CL/02 & 03). Ensure the procedures are in accordance (or equivalent) with IS -145 or IS -M Subpart F AMC and GM.

Guidance documents such as 'EASA MOE guidance for foreign maintenance organizations may be used in this process.

Indicate the approval of the exposition by stamping all pages and signing the LEP. This will be done after satisfied organization investigation audits after closing all open audit findings.

e) **Audit(s)**

Ensure organization internal quality audit report is received and all findings are closed before launching CAASL on site audit

Investigate the organization to verify that the organization is in compliance with the requirements of IS-145 or IS -M Subpart F.

Determine by whom, and how the audit shall be conducted. For example, for a large organization, it will be necessary to determine whether one large audit team or a short series of small team audits or long series of at least two men audits are most appropriate for the particular situation.

Always ensure you are accompanied throughout the audit by a senior technical member of the organization. Normally this is the quality manager. The reason for being accompanied is to ensure the organization is fully aware of any findings during the audit.

Inform the senior technical member of the organization at the end of the audit visit on all findings made during the audit.

You may use the compliance checklist, audit checklist (Form 6/6F) and the exposition to assist in the audit and to prepare the audit report.

f) **Findings**

Findings should be recorded on the audit report form with a provisional categorization as a level 1 or level 2. Subsequent to the audit visit that identified the particular findings, the Inspector should review the provisional finding levels, adjusting them if necessary and change the categorization from provisional to confirm.

There may be occasions when the Inspector is unsatisfied about compliance of the organization. In this case, the organization (Accountable Manager) should be informed about possible non-compliances at the time and the fact that the situation will be reviewed within the CAASL before a decision is made. If the approval cannot be granted the accountable manager should be informed through a letter describing the grounds for rejecting.

All findings should be confirmed in writing to the applicant organization within 10 working days of the audit visit.

All findings, closure actions (actions required to close a finding) and recommendations must be recorded. The audit reports should include all findings closing dates together with reference to the CAA report or letter that confirmed the finding closure.

For initial approval, all findings must be rectified/corrected before granting approval.

The audit report (approval recommendation report) should be made on Form 6 or Form 6F.

g) **FORM 6/6F Quality Check**

When the full investigation for compliance of the applicant with IS-145 (or IS Part-M Subpart F) has been satisfactorily determined, Director(AR&AW) (or senior Inspector in his absence) shall carry out a quality review of the following documentation:

Document	Action Items – Ensure
Form 4	Correct form is used Position in the organization warrants a form Post holder has signed the form Inspector has signed the form Person referenced on the Form 4 is detailed in the MOE /MOM
Form 6 (or 6F) Part 1	Organization name, address are correct and cross check with application Necessary fields are completed Inspector has signed the form
Form 6 (or 6F) Part 2 and 3	Appropriate columns are completed as to the scope of the investigation All required boxes are annotated with a 'tick', NA (not applicable), NR (not reviewed), 'Not Satisfied" and a number which relates to a finding in Part 4 Adequate cross-referencing to Part 4 as necessary
Form 6 (or 6F) Part 4	All Level 1 and 2 findings have been resolved in accordance Chapter 9.2.4 e) of this procedure. Audit number is correct and the Inspector has signed and dated the form
Form 6 (or 6F) Part 5	Organization's details are correct Scope of approval ratings match with Form 2 and have been confirmed by the Inspector Recommendation identifies the addition or deletion of any conditions on the Part 5 The form contains, as applicable, the allocated survey reference, approval numbers and delete the relevant NOT APPLICABLE / ISSUE / CONTINUATION / CHANGE statement as necessary – throughout the form where appropriate Inspector has signed and dated the Form
Surveillance Plan	The surveillance plan is updated with when the Date of next Form 6 (or 6F) recommendation is due.

9.2.3 ISSUE OF APPROVAL

a) Certificate

Prepare the approval certificate, i.e. Form 3 or Form 3F as follows:

Ensure the pending indicator “P” is removed from the approval reference.
Indicate class and aircraft ratings in accordance with IS Part M Appendix IV Aircraft ratings should be listed using IS-66 AMC Appendix type rating list. Flexibility to the organization should be given wherever applicable.
Indicate the conditions of the approval as specified in the applicable regulation.
Expiry shall be one year for IS-145 approvals and IS Part M Subpart F Approvals.
DGCA shall sign the initial approval certificate when satisfied with the Form 6/6F
Recommendation package.
Confirm receipt of the applicable fees and then forward the original of the signed approval certificate to the applicant

b) Registers

Update the CAASL maintenance organization soft copy and hard copy registers accordingly

CAA SL-145 Register
CAA SL IS M Part F Register

The registers should contain the following information as a minimum.

Approval number
Name of organization
Address
Scope of approval
Contact Details (Phone Number, Fax Number and E-mail address)
Date of initial issue of approval
Date of expiry of approval

c) Changes to the Organization

Process any proposed changes covered by IS 145.A.85 or IS Part M.A.617 in accordance with the applicable elements of the initial approval process.

Determine the extent and impact of the proposed changes on the organization and prescribe the conditions, if any, under which the organization will be allowed to operate during the change. Inform the Chief Executive if such a change requires suspension of the approval.

Change	Notification	Key Actions
Name	Form 2 Exposition	Approve the exposition Issue certificate valid up to the current expiry date (A name change alone does not require an audit)
Location(s)	Form 2 Exposition	Process in accordance with applicable parts of the initial approval process.
AM	Form 2 Exposition	Interview and approve the exposition
Nominated Persons	Form 2 Exposition	Interview and formally accept
Scope	Form 2 Exposition	Follow the initial approval process Review and approve the exposition Audit if necessary
Procedures	Exposition	Review and approve the exposition Audit if necessary

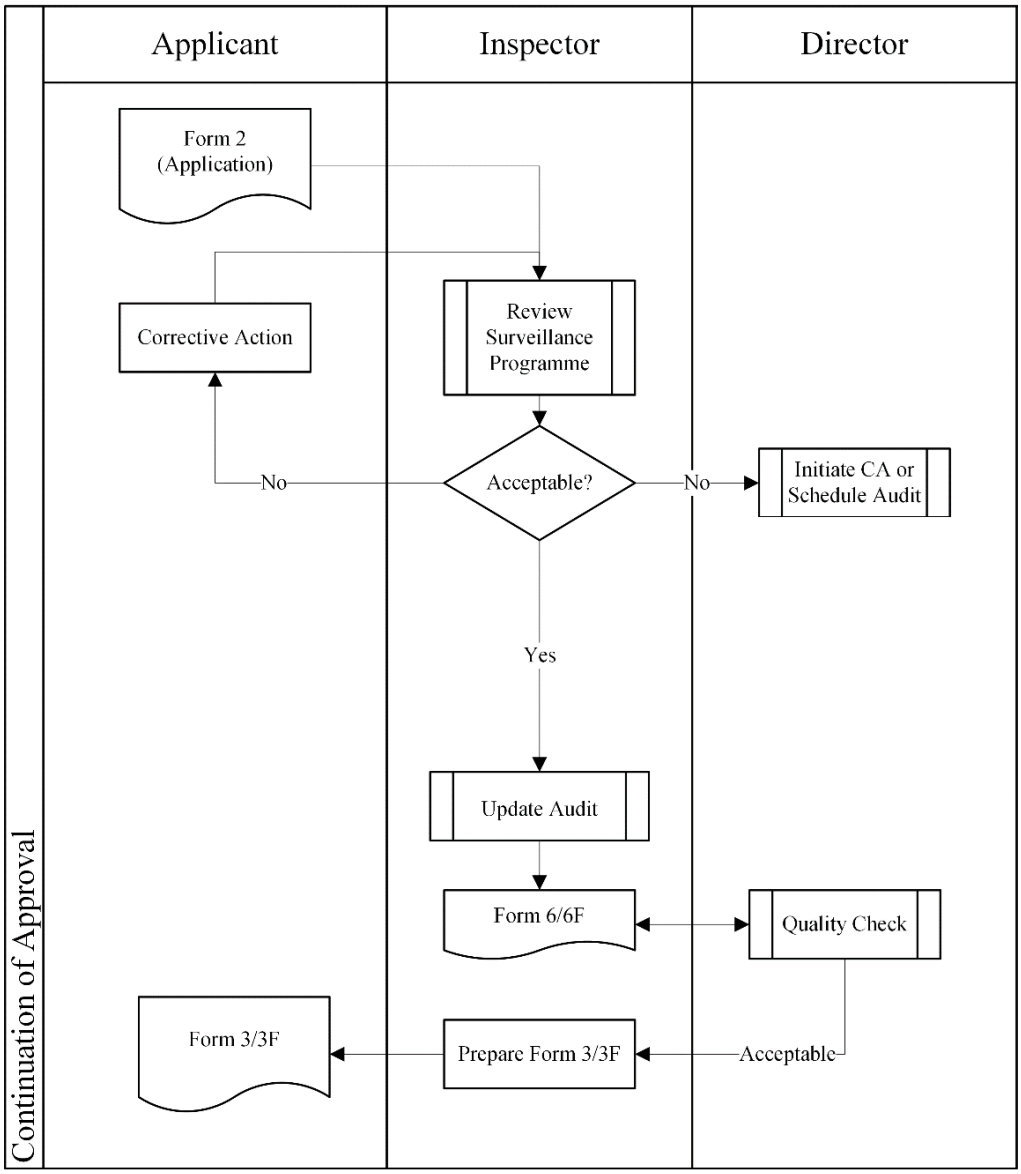
Use Form 6 (or 6F) process to document the change activities.

d) **Exposition Amendments**

Ensure the exposition procedures meet the intent of 145.A.70 or M.A.604 as applicable. Use AMC/GM to these requirements, EASA User Guide for MOE (UG.CAO.0024), UK CAA 'Anybody's MOM for Small Organizations' etc. as guidance.

Case	Key Processes
Direct Approval	Review document in accordance with 145.A.70 or M.A.604. Document this using Form 6 or 6F. Request any necessary changes. Sign and stamp the LEP. Notify the organization using 'manual approval form'. File all documents Request any necessary changes. Sign and stamp the LEP. Notify the organization using 'manual approval form'. File all documents
Indirect Approval	Ensure exposition has an approved procedure for indirect approval. Ensure the procedure does not affect the 'management' part of the exposition. Send acknowledgement form and file the relevant documents.

a) **Continuation of Approval**



9.2.4 SURVEILLANCE PROGRAMME

Director (AR&AW) shall keep and update a continued surveillance plan listing the approved maintenance organizations under supervision. It should include the dates when audit visits are due and when such visits were carried out.

Where it has been decided that a series of audit visits are necessary to arrive at a complete audit of an organization, the program should indicate which aspects of the approval will be covered on each visit.

Adopt a sampling program in the case of multiple line stations. Adapt the program based upon number of line stations and complexity. The continued surveillance plan shall be communicated to the relevant organizations.

a) **Audits**

Review completely, the approved maintenance organization, for compliance with IS-145 or IS Part M Subpart F requirements, at periods not exceeding 24 months. This period may be reduced according to the audit policy specified in SLCAP 4010 Chapter 2.

Credit may be claimed by Inspectors for specific item audits completed during the preceding 24 months period subject to four conditions.

a. the specific item audit should be the same as that required by the latest amendment of IS145 or IS-M Subpart F, and
b. there should be satisfactory evidence on record that such specific item audits were carried out and that all corrective actions have been taken, and
c. the Inspector should be satisfied that there is no reason to believe standards have deteriorated in respect of those specific item audits being granted a back credit, and
d. the specific item audit being granted a back credit should be audited not later than 24 months after the last audit of the item.

It is recommended that part of an audit concentrates on two ongoing aspects of the IS 145 approval, namely the organization's internal self-monitoring quality reports produced by the quality monitoring personnel to determine if the organization is identifying and correcting its problems and secondly the number of concessions granted by the Quality Manager.

Send the audit report after the successful conclusion of the audit including any review of the exposition. Use Form 6 (or 6F) for this activity and record all recorded findings, closure actions and recommendations.

A meeting with the accountable manager shall be convened at least once every 24 months to ensure he/she remains informed of significant issues arising during audits.

b) **Findings**

Process all findings in accordance with Chapter 9.2.4 e).

c) **Negative decisions**

The Inspector shall notify the Director (AR&AW) who will inform the Chief Executive immediately regarding any Level 1 findings together with any actions the maintenance organization has taken.

Director (AR&AW) shall review the finding and take appropriate action.

In case of a negative decision by the CAASL, the Inspector will notify the approval holder by letter, detailing the limitation, suspension or revocation of the approval. This letter will make reference to the possibility for appeal.

d) **Continued Approval.**

Notify the approved maintenance organization and update the approvals database where continued validity of the certificate is accepted.

Inspector shall review the surveillance plan and organization file to verify any pending revocation, suspension or change action pursuant to section 9.2.7 for pending actions process. Further, check and investigate the reasons if details on the CAASL file are different from the application.

If the documents are identical and no action is pending, recommend continuation of approval on Form 6/6F. Once the recommendation is accepted update the database and issue the renewed certificate.

Issue the approval in accordance with section 9.2.3

e) **Findings**

Take the following actions when during audits (or by other means) evidence is found showing non- compliance with the requirements of IS - 145 or IS Part M Subpart F:

For level 1 findings, immediate action shall be taken to revoke, limit or suspend in whole or in part, depending upon the extent of the level 1 finding, the maintenance organization approval, until successful corrective action has been taken by the organization.

For level 2 findings, grant a corrective action period that is appropriate to the nature of the finding but in any case initially must not be more than three months. In certain circumstances and subject to the nature of the finding Director / DGCA may extend the three month period subject to a satisfactory corrective action plan.

Action shall be taken by the DGCA to suspend in whole or part the approval in case of failure to comply within the timescale granted by DGCA.

[Definitions of findings specified in M.A.619 and 145.A.95]

9.2.5 RECORD KEEPING

Approval certificate, Form 6 or 6F and all the documents generated during the approval process shall be retained under the approval number in accordance with AWOPM Chapter 9.1.12

9.2.6 ADDITIONAL PROVISIONS

Experts

The CAASL may use specialists with extensive technical knowledge and experience necessary for certain approvals as and when required.

The specialists are available for advice on technical certification principles and technical interpretation of the regulations, technical standardization and technical training ensuring appropriate technical certification knowledge. They may also act as team members provided their roles do not conflict.

The experts shall notify the CAASL of any possible conflict of interest. In such cases they shall abstain from participating in the approval process.

The CAASL regulations concerning the public access to documents are applicable to the experts.

9.2.7 LIMITATION, SUSPENSION AND REVOCATION

A Maintenance Organization Approval shall be limited, suspended or revoked by DGCA if:

a. Certificate becomes invalid under the conditions specified in IS- 145/IS Part M Subpart F.
b. Organization fails to comply with CAASL Aviation Charges
c. Potential safety threats have been identified
d. Organization fails to comply with the IS-145.A.95 / IS Part M.A.619 Findings, depending .on the nature of finding CAASL shall notify the Maintenance Organization in writing about this suspension or revocation including the reasons thereof and the right to appeal against the decision in accordance with Sri Lanka Civil Aviation Regulations.

9.2.8 RESOLUTION OF DISAGREEMENTS

Every effort shall be made to resolve all kind of disagreements concerning issues between the CAASL and the maintenance organization at the lowest possible level.

Inspectors will be the primary decision makers in the process and shall have the ability and power to take the first decisions to the largest possible extent.

Director (AR&AW) shall be contacted where the organization and the Inspector could not come to a mutually acceptable resolution.

If further escalation is necessary the final decision will be made by the CAA SL Director of Aircraft Registration & Airworthiness.

9.2.9 INVOLVEMENT OF THE LEGAL SERVICE

Director (AR&AW)shall consult the CAASL lawyer:

a. Before the adoption of a negative decision taken during the certification process which is subject to appeal.
b. When an organsiation requests that a disagreement be formally handled.
c. When there is a disagreement with the organization on a significant decision affecting the result of the certification process outside the scope of this procedure.

9.2.10 COMMUNICATION AND PUBLICATION

Significant decisions affecting the result of the certification procedure shall be communicated to the applicant in writing.

Decisions related to the issuing, modification, limitation, suspension or revocation of certificates shall be published in its Official Publication. (CAASL website is considered as official publication.)

9.2.11 CONFIDENTIALITY OF DOCUMENTS

All documents and information received and held by CAASL related to the certification procedure which originates from the applicant or a third party are subject to protection from disclosure in accordance with the prevailing CAASL working procedures.

9.2.12 APPENDIX 1 – GUIDANCE NOTES

Area	Requirement / Guidance	Notes
Exposition		
Form 4 nominated person(s)		
Line Maintenance		
Aircraft certifying staff		
6-24 month maintenance experience		
Component, Engine and APU certifying staff		
Fabrication of Parts		

9.2.13 APPENDIX 2 - CHECKLIST FOR VARIATION OR INITIAL APPROVAL OF MAINTENANCE ORGANIZATIONS

Date	**Applicant**	**Inspector**

#	Task	**Status (yes No N/A)**
a	Form 2 completed and correct	☐ ☐ ☐
b	Receipt of Fees confirmed by Finance Section	☐ ☐ ☐
c	Acknowledge receipt of application within 5 working days	☐ ☐ ☐
d	Form 4's accepted. [Attach interview form & update register]	☐ ☐ ☐
e	Meeting with Accountable Manager	☐ ☐ ☐
f	Exposition (or supplement) approved. [Use manual approval form to inform applicant]	☐ ☐ ☐
g	Audit completed and all findings corrected	☐ ☐ ☐
h	Continued surveillance plan prepared	☐ ☐ ☐
i	Completed Form 6/6F	☐ ☐ ☐
j	Quality review of Form 6/6F	☐ ☐ ☐
k	Approval certificate completed	☐ ☐ ☐
l	Register updated (soft copy and hard copy)	☐ ☐ ☐
m	Dispatch the Certificate	
n	File all the documents	

9.2.14 APPENDIX 3 - CHECKLIST FOR RENEWAL OF IS-145/ IS Part M Subpart F APPROVALS

Date	Applicant	Inspector

#	Task	Status		
a	Form 2 completed and acceptable	Yes	No	NA
b	Receipt of Fees confirmed by Finance Section	Yes	No	NA
c	Verify any pending revocation, suspension or variation action	Yes	No	NA
d	Details on submitted application are identical to CAA records	Yes	No	NA
e	Continued surveillance plan updated	Yes	No	NA
f	Issue Form 6/6F recommendation [1 year (local) or 2 years (foreign)]	Yes	No	NA
g	Quality review of documents	Yes	No	NA
h	Form 3 completed	Yes	No	NA
i	Registers updated (soft copy and hard copy)	Yes	No	NA
j	Dispatch the Certificate			
k	File all the documents			

9.2.15 APPENDIX 4 – FORM 6 APPROVAL RECOMMENDATION REPORT

[Attached separately].

9.2.16 APPENDIX 5 – FORM 6F APPROVAL RECOMMENDATION REPORT

[Attached separately].

9.2.17 APPENDIX 6 – IS -145 AUDIT MODULES

[Attached separately].

9.2.18 APPENDIX 7 – IS-M SUBPART F AUDIT MODULES

[Attached separately].

9.2.19 APPENDIX 8 – EASA / FAA 145 SUPPLEMENT

[Attached separately].

9.3 PROCEDURE FOR APPROVAL OF 145 ORGANIZATION

9.3.1 INTRODUCTION

This procedure is to be used for guidance of CAASL AWS inspectors in approving orgnizations for IS-145. To be used as guidance material only, IS-145 regulations taken procedure.

9.3.2 SCOPE

The CAASL AWS Section is responsible for managing the oversight of IS-145 Organizations

This work instruction is complementary to the requirements of IS-145 and AMC “as amended” does not supersede or replace the information defined within the IS document.

9.3.3 PURPOSE

The purpose of this work instruction is to assist the CAASL AWS Inspector in the management of the “Technical investigation” for:

- Initial approval
- Change of approval
- Continuation of approval

9.3.4 COMMUNICATION

All documents and correspondences between the Applicant, and CAASL shall be in the English language.

9.3.5 GENERAL PRINCIPLES

The two last section of this Work Instruction provide:

- a list of forms and checklist
- a list of user guides

9.3.6 TECHNICAL INVESTIGATION

9.3.6.1 APPROVAL OF THE MOE IN ACCORDANCE WITH 145.B.25 & 145.B 40

IS-145 Requirement	
145 B 25 §1 **AMC 145.B.25 (1) and (3)** The CAASL shall formally approve Initial issue of the Exposition	Verify the compliance of the Exposition (including separated procedures and lists) with IS-145 requirements. When satisfied, he/she recommends the approval using "145 Approval Technical Clearance Form CAASL-AW-001" and sends it to CAASL Director (AR&AW) The review of MOE should also include the associated procedures and lists when managed separately.
145.B.40 (§1) & AMC 145.B.40 Direct Approval of MOE amendments	Verify the compliance of the Exposition with IS-145 requirements. When satisfied, he/she recommends the approval using "145 Approval Technical Clearance Form CAASL-AW-001" and sends it to CAASL Director (AR&AW). The review of MOE should also include the associated procedures and lists when managed separately.
CAASL Formal MOE approval notification	The approval of the Exposition is formally notified in writing to the applicant by using the Letter "Annex A" approval of MOE". The approval of MOE should also include the associated procedures and lists when managed separately.
IS-145 B 40 §2 **AMC 145.B.40** Indirect Approval of MOE amendment	The indirect approval consists in the AMO Quality System approving documents in accordance with a procedure included to the MOE and therefore to be approved by the Authority. • The "indirect approval" privilege shall be based upon the CAASL confidence on the organization structure and ability of the quality system to comply and remain compliant with the regulation. • This "indirect approval" cannot be granted at the time of the initial approval and in any case cannot be granted before the first 2 year period has been completed and found satisfactory. • Such a procedure for indirect approval can only apply to minor changes. • CAASL must receive a copy of such minor changes when "indirectly" approved. • As per AMC 145.B.40 (3) CAASL should acknowledge receipt in writing of the amendment to the Organization.

IS-145 B 40 §2 **AMC 145.B.40** Verification that the MOE procedures comply with IS-145	CAASL verifies that the procedures specified in the Exposition comply with IS-145 by using Maintenance Organization Exposition compliance checklist" (CAA/AW/CL/02) as reference material.

9.3.6.2 ACCEPTANCE OF MANAGEMENT PERSONNEL IN ACCORDANCE WITH 145.A.30 (A) AND (B)

IS-145 Requirement	
145 B 20 §1 & AMC 145.B.20 (1) §1 Formal acceptance of the management personnel	
Formal acceptance of the management personnel	The acceptance of the management personnel is formally notified in writing to the applicant by using the Letter Annex B "Acceptance of nominated personnel" and by signing the Form 4s'.
145 B 20 §4 & AMC 145.B.20(1) §2 Acceptance of the Accountable Manager	Provided the requirements of IS-145.A.30 (a) are complied with, acceptance of the Accountable Manager is formalized by the approval of the Maintenance Organization Exposition containing the Accountable Manager's signed commitment. However the AMO may also provide a CAASL Form 4 to demonstrate compliance of the Accountable Manager with the relevant IS-145 requirements. In any case when satisfied, he/she recommends the approval using the "145 Approval Technical Clearance Form CAASL-AW-001" and sends it to the Director (AR&AW) CAASL.
145 B 35 & AMC 145.B.35 Changes of Management Personnel	CAASL verifies the compliance of the Form 4's with IS-145 requirements. When satisfied, he/she recommends the approval using "145 Approval Technical Clearance Form CAASL-AW-001" and sends it to the Director (AR&AW).
Formal acceptance of changes of Management Personnel	The formal acceptance of changes of management personnel is notified in writing to the applicant by using the Letter Annex B "Acceptance of nominated personnel" and by signing the Form 4s'.

Note: CAASL should have adequate control established through the MOE procedure that they are timely informed by the Organization of any change of the Management personnel.
Note: According to paragraph IS-145.B.20 §4 CAASL shall hold a meeting with the Accountable Manager at least once during the investigation for initial approval to ensure he/she understands his/her responsibilities under IS-145. According to paragraph IS-145.B.30 (2) the Accountable Manager should be met minimum once during the 2 year surveillance cycle.
Note: For any management personnel change the organization shall supply CAASL with an amendment to the MOE. The approval of the MOE shall be done according to paragraph. 1.1of this work instruction.

9.3.6.3 ACCEPTANCE OF THE CERTIFYING STAFF

a) Line and base maintenance certifying staff

- **National License:**

When the compliance of the national licensing system with ICAO Annex I has not been yet evaluated (country not listed within the ICAO database) CAASL shall verify such compliance during the initial investigation process. The document used to demonstrate the compliance shall be part of the recommendation package.
Moreover CAASL should verify every two year that the national licensing system remains in compliance with ICAO Annex I. If differences are reported, they must be notified to the D(AR&AW) CAASL.
The check lists IS-145 Appendix IV compliance Check List" form CAA/AW/CL/20 could be used as a tool for checking and recording the compliance with Appendix IV of IS-145.

- **Type training**

According to Appendix IV:

- "Line maintenance certifying staff and base maintenance support staff shall receive type training at a level corresponding to IS-66 Appendix III at level 3 for every A/C on which they are authorized to make certification".
- "Base maintenance certifying staff shall receive type training at a level corresponding to IS-66 Appendix III at level 1 for every A/C on which they are authorized to make certification".

CAASL shall use the "UG.CAO.00005-004 - Foreign IS-145 approvals - User guide for NAA/ EASA". Paragraph « Instruction for Certifying Staff / Support Staff assessment» when:

- validating and auditing the procedures related to certifying staff/ support staff qualification within the MOE
- sampling the certifying staff files during the continued surveillance or reviewing the certifying staff list.

b) Component certifying staff

Component certifying staff shall comply with IS-66. A IS-66 specifies in paragraph 66.A.200; “Until such time as this Part specifies a requirement for certifying components, the relevant Member State Regulation shall apply”.
This means that any relevant State Regulation for component certifying staff can be used.
However when a foreign IS-145 organization is nominating component certifying staff the exposition shall describe the procedure of qualification. This procedure shall at least comply with the requirements as detailed in the paragraph «Component Certifying Staff» of the “UG.CAO.00005-004 - Foreign IS-145 approvals - User guide for NAA/ EASA”.

9.3.6.4 AUDIT OF AN IS-145 MAINTENANCE ORGANIZATION

As soon as the draft of the MOE, the CAASL Forms 4, the associated documents, the Quality Assurance Manager statement, the audit report if requested, are deemed acceptable, CAASL initiates the onsite investigation in accordance with Section B of IS-145, its associated Acceptable Means of Compliance (AMC) / Guidance Material (GM) and Internal procedures and work instructions.

Preparation	The audit plan should be prepared by the Auditor/Team Leader by taking into account the available resources (audit team) and the scope of work of the Organization. The plan should establish compliance against the particular regulation and the current MOE revision by auditing a cross section of the Organization’s activities. The audit plan should be notified to the Organization. **For initial approvals and changes of approval, a Statement signed by the Organization Quality Assurance Manager shall always be provided before the audit takes place confirming that processes, facilities, documentation, tools and personnel subject to the application have been reviewed and audited showing compliance with all applicable requirements. The relevant audit report shall be requested by CAASL.** The following points should be considered when preparing the audit plan: o Any follow-up actions from previous audits where necessary;

	o Dates and places where the audit activities are to be conducted o Audit scope, including identification of the organizational and functional units and processes to be audited; o Quality Assurance Manager Compliance Statement and when requested the audit report o Expected time and duration of audit activities, including meetings with the auditee's management and audit team meetings.
Achievement	An opening meeting will be held with the auditee's management. The following points should be considered when carrying out the meeting: o Confirmation of the audit schedule (including the scope of the audit). o Explanation on the method used for reporting nonconformities and dealing with Level 1 finding. All information relevant to the audit objectives, scope and criteria will be collected by appropriate sampling (through interviews, observation of activities, review of documents and records) and verified. It is therefore understood that only verifiable information will be recorded as audit evidence. The audit evidence will be evaluated against the audit objective and references in order to determine findings. The audit team will review the findings at appropriate stages of the audit with the auditees in order to prevent any future misunderstanding. All nonconformities and their supporting evidence must be recorded where applicable to allow traceability. Prior to the closing meeting, the audit team shall review the audit findings and evidence collected against the current/intended scope of approval, agree on level***** and time scales and prepare the audit conclusions to be presented. A closing meeting, chaired by the audit Team Leader will be held to present the audit findings and conclusions to the auditees in order to ensure that they are understood and accepted. The auditee will be given the opportunity to discuss any non-compliance identified. Corrective actions and an acceptable timeframe for implementation could be also discussed.
***** Classification of Level 1 findings is subject to prior confirmation by (See the relevant paragraph of this W.I.)	
NOTE: Any finding discovered during the audit must be debriefed to the Organization. No finding could be added to the audit report that has not been debriefed to the Organization.	

NOTE: During the audit of the organization CAASL will crosscheck the number of technical staff as detailed within the MOE and the CAASL Form 2. He/she will identify any inconsistency with the number of staff required to meet the manpower requirements of the approval scope and rating as detailed in IS-145.A.30 and the manpower aspects of IS-145.A.30 (d) and as detailed in the approved MOE.
Note: For an initial audit the findings should not be classified as Level 1 or 2 as no action can be taken against the certificate.

9.3.6.5 IS-145 AUDIT REPORT

Audit form	The report form to be used by CAASL is the CAASL Form 6 Part 4 “Findings IS-145 compliance status”.
Additional audit report	The CAASL could additionally complete a narrative of the areas audited (in line with normal practice) and will show the areas reviewed, the examples checked and where found in compliance. The form of this additional document is at the auditors’ discretion but can be hand written notes (if legible) or a typed report.
Notification letter	The audit report is transmitted to the applicant together with the “notification of audit findings” Form CAASL-AW-003. Even when no finding has been raised, a notification letter should be sent to the organization.
Notification letter in case of Level 1 finding confirmed by CAASL	CAASL will notify the finding(s) to the Organization together with the decision against the approval. As audit report, the CAASL Form 6 – Part 4 is attached to this notification.
Time frame for generating the Audit Report	The audit report is normally produced at the time of completion of the audit. The formal notification of the findings must be sent to the Organization within a maximum of 12 calendar days from the end of the audit. Only those findings discussed and agreed with the Organization before departure can be included in the report as non-compliances.

9.3.6.6 AUDITORS’ QUALIFICATION REQUIREMENTS

Auditor’s Qualification requirements	Each auditor should comply with Section B of the relevant Annexes to the Regulation. CAASL team leader shall hold and carry a valid “Credential Letter” with him/her when performing an investigation.
Note: The qualification criteria shall include knowledge and experience of auditing techniques, as well as theoretical knowledge and practical experience in the relevant technical matters covered by the relevant Regulation and subsequent amendments.	

9.3.6.7 MANAGEMENT OF FINDINGS

A. **Level 1 finding**:

In case a significant non-compliance with any applicable requirement of Regulation and subsequent amendments which lowers the safety standard and hazards seriously the flight safety is identified, the Inspector must follow the following steps:

1. Information to CAASL:

He/she immediately inform CAASL Director (AR&AW) by any available means of communication (phone, e-mail, fax).

Telephone : +94 112358895

E-mail address: daw@caa.lk

This number is being distributed to the NAAs, Air Accident Investigation Boards, major manufacturers and certain other Organizations to enable them to contact CAASL in an emergency. It is not to be used as a general phone number. The dedicated email address functions 24 hours per day, the telephone line, however, is operational Monday to Friday from 8.30 a.m. to 04.00 p. m.

2. Information to the organization

As soon as the assigned inspector identifies a serious safety concern that she/ he feels is possibly a level 1 finding, the organization must be briefed accordingly explaining that CAASL confirmation is needed prior to formal notification of the level 1 finding.

3. Debrief to the organization

Once the CAASL confirmation is received the assigned inspector should orally brief the Organization accordingly.

4. Audit report

In case of potential level 1 finding (confirmed or not), the assigned inspector shall NOT transmit to the Organization the audit report. CAASL will notify the finding(s) to the Organization together with the decision against the approval.

5. F6 Recommendation

The assigned inspector shall transmit the relevant Form 6 recommendation filled in all its Parts, to the D(AR&AW), CAASL. The Part 5 shall also include the recommendation regarding the certificate.

6. Notification to the organization

In case of confirmed level 1 finding CAASL will notify the finding(s) to the Organization together with the decision against the approval. The CAASL Form 6 – Part 4 will be used as audit report and be attached to this notification.

B. **Level 2 finding**:

When any non-compliance with any applicable requirement of IS 145 and subsequent amendments which could lower the safety standard and possibly hazard the flight safety is identified, CAASL should notify the Organization in writing according to the relevant Part and the paragraph 2.4 “notification report” of this work instruction.
The corrective action period granted by CAASL must be appropriate to the nature of the finding but in any case initially must not be more than three months.

Note: For an initial Audit the findings should not be classified as Level 1 or 2 as no action can be taken against the certificate. They should however still be tracked to ensure they are closed before the recommendation is made. A maximum of three months shall be allowed to take corrective action for each finding raised during the initial audit. Failure to close these findings during this three months period could lead CAASL to terminate the application.

C. **Tracking and Closure of Level 1 and Level 2 Findings:**

CAASL is responsible for tracking the implementation of the corrective action(s).

Tracking of corrective actions	It is the responsibility of CAASL to manage both level 1 & 2 finding due dates and also any additional limits imposed by CAASL that are addressed in the notification letter.
Closure of the audit report which includes level one finding	When CAASL is satisfied with the corrective actions that have been proposed by the Organization in respect of finding(s) raised during the audit, he/she notifies in writing the organization that the proposed corrective actions are considered to be acceptable. The final closure of the report is subject to an in situ re-instatement audit to confirm the proper implementation of the corrective actions. Once CAASL is satisfied with the implementation of the corrective action, he/she responsible for recording the reference of the corrective actions and the date of closure in the re-instatement of CAASL Recommendation Form 6.
Closure of the audit report which does not include level one finding.	When CAASL is satisfied with the actions that have been taken by the Organization in respect of the finding raised during the audit, he/she notifies the Organization (in writing) that the non-compliances are considered to be closed by using the letter Annex C “Closure of non-compliances”. In the meantime CAASL is responsible for recording the reference of the corrective actions and the date of closure in the CAASL recommendation Form 6 – Part 4.
Note: Any extension of delay related to level 2 finding should be justified and sent in writing by the Organization to the CAASL. CAASL shall notify his/her decision to the Accountable Manager and record such an extension in the Audit report. Such an extension should not be systematically granted (AMC 145.B.50 (b1)). Before extending the initial period the authority must be satisfied with a corrective action plan provided by the AMO.	

Note: According to IS-145.B.50 (b), when the Organization cannot meet the timescales specified for Level 2 finding and did not request any extension, CAASL should will take together with the CAOM the decision to re-classify the Level 2 finding to Level 1 with the associated decision related to the approval (suspension, limitation).

9.3.7 RECOMMENDATION OF AN APPROVAL

9.3.7.1 CONTACT POINTS WHEN RECOMMENDING AN APPROVAL

The initial application and the application for change are directly sent to CAASL by the applicant

. 9.3.7.2 RECOMMENDATION PACKAGE COMPLETION

The accuracy and completeness of the recommendation package is essential to issue an approval based upon full confidence in the recommendation. It is imperative that all the documents submitted to the CAASL are thoroughly checked before submission by authorized staff. Only the CAASL Forms have to be used when providing a recommendation for IS-145 approval.

A CAASL Recommendation package shall be completed:

- For the initial issuance of an approval (recommendation for initial approval).
- For each change of approval (recommendation for change).
- Every 24 months (recommendation for continuation of approval).
- For a suspension/revocation when a Level 1 finding is raised.
- For reinstatement of approval after suspension/limitation.

a) The recommendation package for an Initial application should contain :

- the signed recommendation CAASL Form 6
- the signed “145 Approval Technical Clearance Form CAASL-AW-001”
- CAASL Form 4 (s)
- a copy of the MOE chapters 1.7 “manpower resources”, 1.9 “scope of approval”, 5.3”list of Line maintenance locations”.
- the Form 3 template certificate
- a copy of the Form 2
- the surveillance plan
- the organization QAM statement.
- a copy of the initial compliance document of the national licensing system with the ICAO Annex I requirements (as necessary).

b) The recommendation package for a change of approval should contain :

- the signed recommendation CAASL Form 6
- a copy of the Form 2 (+ copy of the C of I if name change)
- the organization QAM statement
- the signed "145 Approval Technical Clearance Form CAASL-AW-001"
- CAASL Form 4 (s) (as necessary)
- a copy of the MOE chapters 1.7 "manpower resources" 1.9 "scope of approval", 5.3 "list of Line maintenance locations"
- the form 3 template certificate (as necessary)
- the surveillance plan (as necessary)

c) The recommendation package for a continuation of approval should contain:

- the signed recommendation CAASL Form 6
- the surveillance plan
- a copy of the continued compliance document of the national licensing system with the ICAO Annex I requirements.

d) The recommendation package for a suspension/revocation of approval should contain:

- the signed recommendation CAASL Form 6
- the form 3 template certificate (as necessary)
- the surveillance plan (as necessary)

e) The recommendation package for a re-instatement of approval should contain:

- the signed recommendation CAASL Form 6
- the organization QAM Statement
- the signed "145 Approval Technical Clearance Form CAASL-AW-001" (as necessary)
- CAASL Form 4 (s) (when necessary)
- a copy of the MOE chapters 1.7 "manpower resources" 1.9 "scope of approval", 5.3 "list of Line maintenance locations"
- the form 3 template certificate (as necessary)
- the surveillance plan (as necessary)

When using the Template Form 3 to recommend the scope instead of using part 5 of the Form 6, a cross reference between both documents must be recorded

9.3.7.3 QUALITY CHECK

The recommendation package shall be checked for completeness and accuracy (quality check) by an authorized person and then sent to review:

Authorized person	CAASL Assigned	
The quality review includes the checking of the following: • The completeness of CAASL Form 6 (all 5 parts)		

- The completeness of CAASL “145 Approval Technical Clearance Form CAASL-AW-001” (as necessary)
- MOE Issue/Revision status
- Corrective action plan addressed when there are open findings.
- CAASL Form 4s
- MOE chapter 1.7 “manpower resources” and chapter 1.9 “scope of approval” (as necessary).
- The continued surveillance plan
- The consistency of the CAASL Form 2 with the MOE (“number of staff” & “scope of approval”), CAASL Form 6 and the Technical Clearance Form
- Availability of document showing the initial / continued compliance of the national licensing system with the ICAO Annex I requirements (as necessary)
- Availability of the organization QAM Statement (as necessary)

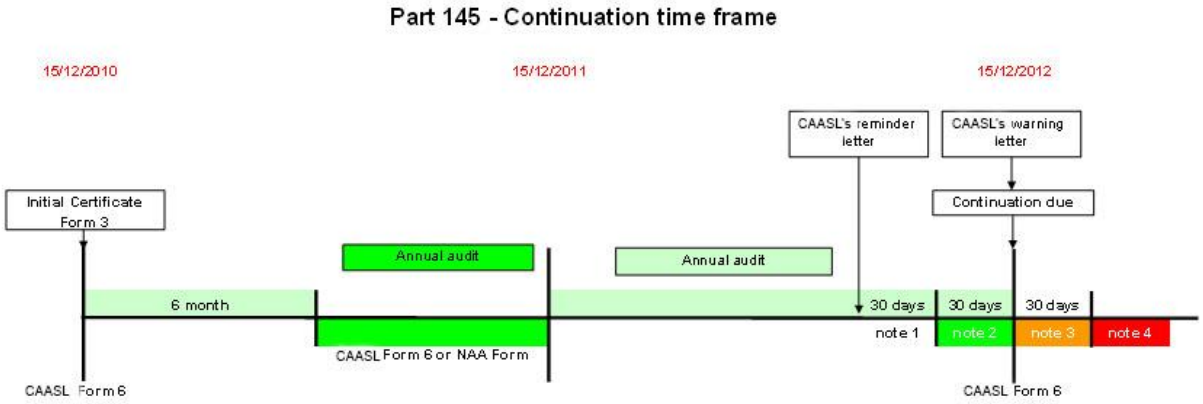
9.3.8 GENERAL TIME FRAMES

A. **TIME FRAME FOR AN INITIAL IS-145 APPROVAL**

note 1: the MOE guidance is made available to the applicant
note 2: The allocation is confirmed by the PIV

note 3: MOE draft review by the team leader and correction by the applicant up to an acceptable level
note 4: Implementation of corrective actions and notification to the Team Leader by the applicant.
note 5: The Team Leader to close the findings and issue the Recommendation package
note 6: Form 6 and TV quality check: 2 weeks CAASL to review recommandation package and forward to DAW
note 7: 2 weeks CAASL to process the recommandation package and issue the certficate F3.

B. TIME FRAME FOR CONTINUATION OF IS-145 APPROVAL



note 1 : CAASL to send a reminder letter 60 days BEFORE the due date.
note 2 : the recommendation package should not be dated more than 30 days BEFORE the due date.
note 3: the recommendation package should not be dated more than 30 days AFTER the due date.
note 4: in case of "force majeure", a documented extension request is to be sent to CAASL

9.3.9 ADMINISTRATIVE ISSUES

A. TEAM SIZE & FREQUENCY OF AUDIT

Determination of the team size	Normally, one auditor is to be used The criteria that will be applied by CAASL to determine the investigation team (more than one auditor) are as follows: o Complexity of the organization approval o Number of sites to be audited o Type of audit (initial, changes, follow up audits, findings etc.) o Size of the organization o Nature of the services to be covered by the AMO and its direct impact to aviation safety o Appropriate technical experts
Frequency of audits	Normally the frequency shall be one visit per year referring to the Surveillance Cycle. This implies that: o A first intermediate audit should be carried out between 6 months and 12 months from the date the certificate was granted; o The second intermediate audit should take place between 12 and 24 months from the date of the certificate was granted; o CAASL should ensure that a period of minimum 6 months and maximum 18 months between each audit is maintained - never exceeding 24 months from the date the certificate was granted The criteria to be reviewed by the CAASL for increasing audit frequency are as follows: o Follow up of audits / findings o Change to approval o Incident response o Request by the Agency o Large complex Organization o Number of aircraft/aircraft type managed by the Organization The frequency of audit of Line stations is detailed in the paragraph “Instruction for foreign IS-145 Line station “of the“UG.CAO.00005-004 - Foreign Part 145 approvals - User guide for NAA/ EASA”.

9.3.10 FORMS

1. CAASL Form 6
2. "145 Approval Technical Clearance Form CAASL-AW-001"
3. Surveillance Plan
4. IS-145 Appendix IV compliance check list CAA/AW/CL/20

9.3.11 USER GUIDE

"UG.CAO.00005-004 "Foreign Part 145 approvals User guide for NAA / EASA"
This user guide gives instruction for:

- Instruction for use of the EASA Foreign Form 6
- Instruction for use of the MOE/F4 Technical Clearance
- Instruction for use of the Appendix IV compliance check list
- Instruction for C/S and support staff assessment
- Instruction for Component Certifying Staff
- Instruction for desktop audit
- Instruction for Foreign Part 145 Line Station

UG.CAO.00024-000 "Foreign Part 145 approvals - User guide for Maintenance Organization Exposition"

9.3.12 RECORDS

Appendix A : Operational Documents

Record	Step / Related to

Appendix B : External Documents

Record	Step / Related to

9.4 145 MOE PROCEDURE

1. The organization to down load the MOE checklist and show compliance to IS-145 in draft MOE by marking in MOE reference column in the table, cross reference to MOE section. Where not applicable to indicate N/A
2. Organization is to ensure the Accountable managers Statement is signed in the draft MOE by the AM nominee, to ensure MOE draft contents are read and sanctioned by the AM.
3. The Organization to submit the draft copy of the MOE in hard copy along with the duly completed application, Form 2.
4. CAASL will review the draft MOE for adequacy for the approval requested and communicate with the applicant for additional reports , amendments Etc. as deemed necessary
5. From the point of acceptance of the application , MOE review and necessary amendments in consultation with the applicant to be completed within 20 working days , thus applicant needs to work diligently with the assigned Airworthiness Inspector to meet the time frame target.
6. Upon closing the review process of MOE , final version of MOE draft as accepted to be advised to the applicant for organizational preparation prior to on site audit in line with the agreed final version of draft MOE.
7. Upon completion of audit and closure of all open items the applicant will be advised to submit 2 hard copies of final version of the MOE with necessary signatures in place for approval by the CAASL
8. CAASL will stamp every page of the MOE and release one hard copy to the applicant and retain the other copy in the AW section.

9.4.1 SCOPE

The purpose of the Maintenance Organization Exposition (MOE) compliance checklist and user guide is to assist aircraft and component maintenance organization wishing to obtain CAASL IS 145 approval. This document is complementary to the requirements of Implementing Standard.
The checklist includes suggested subject headings and all the relevant information as detailed in 145.A.70 and its AMC & GM, the format of which may be modified to suit the organization preferred method. The checklist should show compliance by referring in the “MOE reference / comment” where the information in the MOE is located and explanation if not applicable.
This checklist, when completed, should be submitted with the initial draft MOE.

9.4.2 IMPORTANT WARNING

This user guide is designed to be used by:

- IS145 Maintenance Organizations - To assist them in the production and/or maintaining of their own MOE
- CAASL - As a comparison document for MOEs submitted to them for approval

The user guide is provided for guidance only and should be customised by each organization to demonstrate how they comply with IS 145. It is the responsibility of the organization to ensure compliance with the IS. The organization may choose to use another format as long as all the applicable sections of the regulation are addressed and cross-referenced.

For each detailed procedure described within the MOE, the IS145 organization should address the following questions:
What must be done? Who should do it? When must it be done? Where must it be done? How must it be done? Which procedure(s)/form(s) should be used?

The MOE should be written in the English language.

9.4.3 EXPOSITION FORMAT

The MOE may be produced in hardcopy or electronic format;

- Hardcopy: CAASL does recommend using white paper (format A4); The MOE shall be provided in a binder with section dividers. (recto/verso can be used)
- Electronic Format: The Exposition should be in Portable Document Format (PDF) but a printed copy shall be delivered to the CAASL to facilitate the document study.

9.4.4 STRUCTURE OF THE MAINTENANCE ORGANIZATION EXPOSITION

The MOE may be produced in the form of a single document or may consist of several separate documents.

- Single document: The standard MOE produced i.a.w. AMC 145.A.70 (a) is a unique and complete document. It must contain all the information required to show compliance with the regulation including detailed maintenance procedures and detailed quality system procedures (see AMC 145.A.70 (a)).

- Several documents: The MOE must contain at least the information as detailed in AMC 145.A.70 (a) 1.1 to 1.11 (Management). The additional material may be published in separate documents which must be referenced from the MOE. In this case:

- The MOE should cross refer to the associated procedures, documents, appendices, forms and all other lists which are managed separately (e.g. the list of certifying staff, the capability list).
- These associated documents must meet the same rules as described for the MOE.
- This/these associated document(s), procedure(s) and form(s) etc. must be provided to the CAASL, as part of the MOE.

For some organizations certain sections of the headings defined within AMC 145.A.70 (a) may be 'not applicable'. In this case they should be annotated as such within the MOE.

9.4.5 EXPOSITION PAGES' PRESENTATION

Each page of the MOE should be identified as follows (this information may be added in the header or footer;

- the name of the organization (official name as defined on the CAASL Form 3 approval certificate)
- the issue number of the MOE
- the amendment/revision number of the MOE
- the date of the revision (amendment or issue depending on the way the organization has chosen to revise the MOE)
- the chapter of the MOE
- the page number
- the name of the document "Maintenance Organization Exposition"

At the beginning of the volume, the Cover page should specify:

- IS145 Maintenance Organization Exposition;
- The name of the organization (the official one defined on the CAASL Form 3 approval certificate)
- The approval reference of the IS145 organization
- The copy number from the distribution list

9.4.6 CORPORATE COMMITMENT BY ACCOUNTABLE MANGER

Prior to submission of the 'draft' MOE to the CAASL for approval the Accountable Manager must sign and date the Corporate Commitment statement (Management 1.1). This confirms that they have read the document and understand their responsibilities under the approval. In the case of change of Accountable Manager, the new incumbent should sign the document and submit a suitable amendment the CAASL for approval.

9.5 PROCEDURE FOR ASSESSMENT OF ACCOUNTABLE MANAGER / QUALITY MANAGER / BASE MAINTENANCE MANAGER

9.5.1 ACCOUNTABLE MANAGER ASSESSMENT

The organization shall appoint an accountable manager who has corporate authority for ensuring that all maintenance required by the customer can be financed and carried out to the standard required by this Part. The accountable manager shall:

1. ensure that all necessary resources are available to accomplish maintenance in accordance with 145.A.65(b) to support the organization approval.
   Check knowledge (Yes/No)
2. establish and promote the safety and quality policy specified in 145.A.65(a).
   Check knowledge (Yes/No)
3. demonstrate a basic understanding of the applicable Part.(145/147 or Part M)
   Check knowledge (Yes/No)

Note : With regard to the accountable manager, it is normally intended to mean the chief executive officer of the approved maintenance organization, who by virtue of position has overall (including in particular financial) responsibility for running the organization. The accountable manager may be the accountable manager for more than one organization and is not required to be necessarily knowledgeable on technical matters as the maintenance organization exposition defines the maintenance standards.

4. When the accountable manager is not the chief executive officer the CAASL will need to be assured that such an accountable manager has direct access to chief executive officer and has a sufficiency of 'maintenance funding' allocation.
   Check access (yes/no)

5. Received an initial and continuation human factors training.
   Check HF training (yes/no)

CAASL may reject an accountable manager where there is clear evidence that he/she previously held a senior position in a Competent Authority approved Organization and abused that position by not complying with the particular CAASL requirements

Approval of AM is by signing the MOE /and or through signing Form 4 submitted and submission of letter in Annex B of Section 3

9.5.2 QUALITY MANAGER ASSESSMENT

The accountable manager shall appoint a person with responsibility for monitoring the quality system, including the associated feedback system as required by 145.A.65(c). The appointed person shall have direct access to the accountable manager to ensure that the accountable manager is kept properly informed on quality and compliance matters Monitoring the quality system includes requesting remedial action as necessary by the accountable manager and the nominated persons referred to in 145.A.30(b) (Base Manager/Line Manager/Workshop Manager).Such person(s) shall ultimately be responsible to the accountable manager.

1. The person or persons nominated shall represent the Quality management structure of the organization and be responsible for all functions specified in this Part.
   Check suitability/knowledge (yes/no)
2. The person or persons nominated shall be identified and their credentials submitted in a form and manner established by the CAA SL.
   Check submission of Form 4 with credentials and suitability (yes/no)
3. The person or persons nominated shall be able to demonstrate relevant knowledge, background and satisfactory experience related to aircraft or component maintenance and demonstrate a working knowledge of this Part.
   Check relevant experience /knowledge (yes/no)
4. Procedures shall make clear who deputises for any particular person in the case of lengthy absence of the said person.
   Check deputy nomination /MOE (yes/no)
5. Received an initial and continuation human factors training.
   Check HF training (yes/no)

Approval of QM is by signing the Form 4 submitted and submission of letter in Annex B of Section 3

Note : The organization should have, dependent upon the extent of approval, a base maintenance manager, a line maintenance manager, a workshop manager and a quality manager, all of whom should report to the accountable manager except in small IS-145 organization where any one manager may also be the accountable manager, as determined by the Competent Authority, he/she may also be the line maintenance manager or the workshop manager.

9.5.3 BASE MAINTENANCE MANAGER ASSESSMENT

The base maintenance manager is responsible for ensuring that all maintenance required to be carried out in the hangar, plus any defect rectification carried out during base maintenance, is carried out to the design and quality standards specified in 145.A.65 (b). The base maintenance

manager is also responsible for any corrective action resulting from the quality compliance monitoring of 145.A.65(c).

The accountable manager shall appoint a person with responsibility for managing Base Maintenance ,.

1. The person or persons nominated shall represent the Base management structure of the organization and be responsible for all functions specified in this Part.
   Check suitability/knowledge (yes/no)
2. The person or persons nominated shall be identified and their credentials submitted in a form and manner established by the CAA SL.
   Check submission of Form 4 with credentials and suitability (yes/no)
3. The person or persons nominated shall be able to demonstrate relevant knowledge, background and satisfactory experience related to aircraft or component maintenance and demonstrate a working knowledge of this Part.
   Check relevant experience /knowledge (yes/no)
4. Procedures shall make clear who deputises for any particular person in the case of lengthy absence of the said person.
   Check deputy nomination /MOE (yes/no)
5. Received an initial and continuation human factors training.
   Check HF training (yes/no)

Approval of BMM is by signing the Form 4 submitted and submission of Letter in Annex B of Section 3

9.5.4 LINE MAINTENANCE MANAGER ASSESSMENT

The line maintenance manager is responsible for ensuring that all maintenance required to be carried out on the line including line defect rectification is carried out to the standards specified in 145.A.65(b) and also responsible for any corrective action resulting from the quality compliance monitoring of 145.A.65(c).

The accountable manager shall appoint a person with responsibility for managing Line Maintenance.

1. The person or persons nominated shall represent the Base management structure of the organization and be responsible for all functions specified in this Part.
   Check suitability/knowledge (yes/no)
2. The person or persons nominated shall be identified and their credentials submitted in a form and manner established by the CAA SL.
   Check submission of Form 4 with credentials and suitability (yes/no)
3. The person or persons nominated shall be able to demonstrate relevant knowledge, background and satisfactory experience related

to aircraft or component maintenance and demonstrate a working knowledge of this Part.
Check relevant experience /knowledge (yes/no)

4. Procedures shall make clear who deputises for any particular person in the case of lengthy absence of the said person.
Check deputy nomination /MOE (yes/no)

6. Received an initial and continuation human factors training.
Check HF training (yes/no)

Approval of QM is by signing the Form 4 submitted and submission of Letter in Annex B of Section 3

9.6 REQUIREMENTS FOR FOREIGN MAINTENANCE ORGANISATIONS UNDER IS 145 REGULATION

9.6.1 GENERAL

In accordance with regulations aircraft registered in Sri Lanka shall not be maintained or modified or repaired by an organization outside Sri Lanka except with the Approval of the Director General. The detailed requirements for Maintenance Organizations approved by Sri Lanka Civil Aviation Authority are prescribed in IS -145.

The Purpose of this procedure is to lay down the requirements beside those in IS-145 specific to Maintenance Organizations / Repair Stations located outside Sri Lanka, undertaking any maintenance on Sri Lanka registered aircraft and associated components.

9.6.2 SCOPE

This Procedure is applicable to all Foreign Aircraft Maintenance Organizations seeking initial or change/continuation of CAA approval for undertaking maintenance on Sri Lanka registered aircraft and associated components including all maintenance organizations categorized as Technical Handling Agencies under SLCAA regulations.

CAA direct approval shall be required for maintenance on aircraft, complete engines and landing gear assemblies only. However, all other components/equipment fitted to Sri Lanka registered aircraft shall be maintained by foreign organizations accepted by the aircraft operator/maintenance organization (as per responsibility for arrangement of spares mentioned in contract) according to procedures agreed by CAASL.

9.6.3 MOE SUPPLEMENT FOR CAASL

1. In addition to the Maintenance Organization Exposition (MOE) of the Organization, approved by its National Aviation Authority (NAA) or EASA, the applicant organization shall also provide an MOE Supplement for CAASL, covering requirements & procedures of Maintenance Organization under IS-145, identified as different from those required under the Organization's own NAA / EASA regulations. The identification of differences between CAASL IS-145 and Organization's own NAA / EASA will be the responsibility of the applicant organization.
2. The MOE Supplement together with the approved MOE by NAA / EASA shall form the basis for acceptance by CAASL under IS-145 for maintenance of aircraft and/or components under the regulatory control of CAASL.
3. Furthermore, the MOE Supplement shall also include any additional regulatory requirement highlighted by CAASL during

audit of the Maintenance Organization or otherwise considered necessary to be accomplished on aircraft and associated components maintained by the applicant organization.

4. The MOE supplement for CAASL shall be reviewed periodically by the Organization. The CAASL Airworthiness Directorate shall be consulted where there is any difficulty about the interpretation of the requirements, associated procedures, or on any airworthiness matter, which in the opinion of the Organization involves new procedures or techniques.

5. Changes in Organization's MOE approved by NAA/EASA shall be notified to CAASL as soon as practicable. Proposed changes in MOE Supplement shall be forwarded to CAASL for approval. This would also include changes arising amendment in MOE or from the review of MOE supplement or from Audits conducted by the CAASL Airworthiness Directorate.

9.6.4 CONVERSION OF EXISTING CAASL APPROVAL TO IS-145

1. The Foreign Organizations already approved under previously enforced CAASL regulations (ASN 94) are required to convert to IS-145 based approval within the compliance date prescribed in IS-145 in order to continue maintenance on Sri Lanka Registered Aircraft and associated components. The process of initial approval is also applicable to these organizations as per the IS -145.

9.6.5 ORGANIZATION INTENDING TO PERFORM MAINTENANCE UP TO DAILY CHECK

1. The Foreign Maintenance Organizations intending to undertake technical handling services to Sri Lanka Registered Aircraft i.e. Transit Check, Minor Defect Rectification and Daily Check, are not expected to have Base & Workshop Maintenance Facilities. They will not be required to formulate extensive maintenance procedures.

2. These organizations will be audited for the intended limited scope of approval. These Organizations shall fulfill the basic requirements of IS-145 necessary to undertake maintenance up to Daily Check.

9.6.6 GENERAL REQUIREMENTS FOR APPROVAL

1. Certifying staff performing work on Sri Lanka registered aircraft and associated components shall be conversant with the latest CAASL requirements mentioned in the IS-145, this procedure and MOE Supplement.

2. The Nominated personnel of the maintenance Organization shall be accepted on the basis of acceptance issued by its NAA.

3. The organization shall notify CAASL of any proposed change Specific to IS 145.A.85 before such changes take place. This is to enable

CAASL to determine continued compliance with IS 145 and if necessary, to amend the approval certificate, except that in the case of proposed changes in personnel not known to the management beforehand, which must be notified at the earliest opportunity, not exceeding 72 hrs.

4. The CAASL fee for the Foreign Maintenance Organizations shall be charged.

5. CAASL approved Organizations when undertaking works outside their terms of Approval are deemed to be considered as Not Approved.

6. The applicant organization shall be responsible to make all necessary logistic arrangements for the CAASL inspector performing Physical Audit (i.e. visa, return ticket, accommodation, transportation and daily allowances) as per latest revision of CAASL regulation "Logistic arrangement of CAA Inspectors while on duty abroad".

7. CAASL Physical Audit of the Organization shall be conducted every two years (even years) for verification of continued compliance on all applicable CAASL requirements. The CAASL Physical Audit may be conducted earlier if so required due to any deterioration in performance of the Approved Maintenance Organization or to verify the capability to perform any additional maintenance if requested by the organization.

8. CAASL may carry out a Desktop Audit in lieu of an onsite Audit of Foreign AMOs which were approved by NAA and/or EASA when processing initial approval, renewal or continuation, change of ratings based on the criteria specified in the check list CAA/AW/CL/25 section 3 to this manual.

9.6.7 PROCESS FOR INITIAL APPROVAL

1 Application for grant of approval shall be made on CAASL Form 2 duly signed by the Accountable Manager. The filled form should be emailed to Director Airworthiness at email address *daw@caa.lk* as well as hard copy to be sent by ground mail for further processing. Along with the CAASL Form 2, the Organization shall also submit the following:

1) MOE approved by NAA / EASA (preferably EASA)
2) Form 4's of Management Personnel accepted by NAA/EASA
3) Approval Certificate by NAA. (Also EASA, if applicable) D6
4) MOE Supplement for CAASL
5) Request for Physical Audit of the Organization by CAASL (If necessary)
6) Evidence of remittance of necessary Fee

2. The application package shall be evaluated in CAASL HQs Airworthiness Directorate for consistency by the nominated CAASL Inspector. If any discrepancy is found, the organization shall be contacted to rectify the same. Consequent to this, a Physical Audit of three (03) working days (excluding journey period) shall be scheduled with intimation to the

Organization. Depending on the workload / locations, the audit period may be extended. CAASL shall direct the nominated inspector of the Airworthiness Directorate to visit the foreign AMO for auditing the area(s) specific to the applied Scope of Approval.

3. The Physical Audit of the organization shall be conducted by the designated inspector who shall verify the compliance status of the organization and the draft MOE Supplement in light of the requirements laid down in IS-145 and this PROCEDURE. This shall be followed by a briefing to Accountable Manager of the Organization on the significant aspects of the audit.

4. Subsequent to the physical audit and MOE Supplement scrutiny, the findings shall be formally forwarded to the Organization by the designated CAASL inspector for rectification of the same. The organization will formulate a corrective action plan and forward the rectification actions to the concerned inspector.

5. On successful closure of all findings, acceptance of MOE Supplement for CAASL and payment of Charges as applicable. Director Airworthiness on behalf of DG CAA shall issue approval on CAASL Form-3

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

9. The Approval shall be valid for a period upto one year and limited to those products and activities specified on Form 3, under 'Approval Schedule'

9.6.8 PROCESS FOR CONTINUATION OF APPROVAL

1. In order to continue the CAASL approval, performance of Approved Maintenance Organization is to be reviewed each year for satisfied with the same, CAASL shall issue Continuation of approval annually. For every year the continuation of approval will be based on Independent QA Audit Report conducted by the AMO's own Quality Management System/NAA Audit Report. For every two years the continuation of approval will be based on Physical Audit (as required) conducted by CAASL itself.

2. Three months prior to expiry of approval, the organization shall apply for Continuation of approval on CAASL Form 2 duly signed by the Accountable Manager. The filled form should be emailed to Director(AR&AW) at email address daw@caa.lk; as well as hard copy to be sent by post for further processing. Along with the CAASL Form 2, the Organization shall also submit the following:

   1) Valid Approval Certificate by NAA. Also EASA (if applicable)
   2) Evidence of remittance of necessary Fee.

3) An 'Independent QA Audit Report' conducted by the AMO's own Quality Management System ensuring compliance on requirements of IS-145 (For every year) or

4) Request for Physical Audit of the Organization by CAASL (For once in two years years)

3. CAASL on being satisfied on compliance of requirements of IS-145 & payment of Charges as applicable, shall issue the revised CAASL Form 3 Continuation of Approval for subsequent year.

9.6.9 PROCESS FOR CHANGE OF APPROVAL

1. If the Organization intends to enhance the existing scope of approval granted by CAASL to perform any maintenance on Sri Lanka Registered Aircraft and associated components, the organization shall apply on CAASL Form 2 duly signed by the Accountable Manager. The filled form should be emailed to Director Airworthiness at email address daw@caa.lk as well as hard copy to be sent by post for further processing. Along with the CAASL Form 2, the Organization shall also submit the following:

   1) Revised MOE approved by NAA / EASA if applicable
   2) Revised Approval Certificate by NAA. Also EASA (if applicable)
   3) Revised MOE Supplement for CAASL
   4) Request for Physical Audit of the Organization by CAASL.
   5) Evidence of remittance of necessary Fee

2. Subsequent to submission of the application package, the process shall be followed.

3. On successful closure of all findings, payment of Charges and CAASL being satisfied on compliance of all applicable CAASL requirements, a revised CAASL Form 3 for Change in Approval shall be issued.

9.7 COMPLETION PROCEDURE FOR CAASL FORM 3

1. CAASL shall formally approve the exposition and issue to the applicant a CAASL Form 3 approval certificate, which includes the approval ratings. CAASL shall only issue a certificate when the organization is in compliance with IS-145.

2. CAASL shall indicate the conditions of the approval on the CAASL Form 3 approval certificate.

3. The reference number shall be included on the CAASL Form 3 approval certificate in a manner specified by CAASL. The numeric sequence should be unique to the particular approved maintenance organization.

4. The approval should be based only upon the organizational capability (including any associated sub-contractors) relative to IS-145 and not limited by reference to EASA/national type certificated products.

   For example, if the organization is capable of maintaining within the limitation of IS-145 the Boeing 737-200 series aircraft the approval schedule should state A1 Boeing 737-200 series and not Boeing 737-2H6 which is a particular airline designator for one of many -200 series.

5. Aircraft or engine type should reflect EASA type certificate identification.

6. On page 2,

   Date of original issue: It refers to the date of the original issue of the maintenance organization exposition

   Date of last revision approved: It refers to the date of the last revision of the maintenance organization exposition affecting the content of the certificate. Changes to the maintenance organization exposition which do not affect the content of the certificate do not require the reissuance of the certificate.

   Revision No: It refers to the revision No of the last revision of the maintenance organization exposition affecting the content of the certificate. Changes to the maintenance organization exposition which do not affect the content of the certificate do not require the reissuance of the certificate.

SECTION TWO

CHAPTER 10 – PROCEDURE FOR MAINTENANCE TRAINING ORGANIZATION APPROVAL

10.1 PROCEDURE FOR CIVIL AVIATION AUTHORITY – SECTION B

SUBPART A – GENERAL

10.1.1
147.B.05 SCOPE

This section establishes the administrative procedures to be followed by CAASL when exercising its tasks and responsibilities regarding issuance, continuation, change, suspension or revocation of maintenance training organization approvals.

10.1.2
147.B.10 Competent Authority / DGCA

1. General
   Sri Lanka was designated DGCA with allocated responsibilities for the issuance, continuation, change, suspension or revocation of IS-147 certificates. DGCA shall establish documented procedures and an organizational structure.

2. Resources
   The CAA SL shall be appropriately staffed to carry out the requirements of this IS.

3. Procedures
   The CAA SL shall establish procedures detailing how compliance with this IS accomplished.
   The procedures shall be reviewed and amended to ensure continued compliance.

4. Qualification and training
   All staff involved in approvals related to this IS must be appropriately qualified and have all necessary knowledge, experience and training to perform their allocated tasks. Additionally a programme of continuation training on IS-66 and IS-147 shall be implemented.

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10.1.2.1
AMC 147.B.10(1) GENERAL

1. In deciding upon the required organizational structure, the DGCA should review the number of certificates to be issued, the number and size of potential approved maintenance training organization as well as the level of civil aviation activity, number and complexity of aircraft and the size of the Sri Lanka aviation industry.

2. The DGCA should retain effective control of important surveillance functions and not delegate them in such a way that maintenance training organizations, in effect, regulate themselves in airworthiness matters.

3. The set-up of the organizational structure should ensure that the various tasks and obligations of the DGCA are not relying on individuals. That means that a continuing and undisturbed fulfilment of these tasks and obligations of the DGCA should also be guaranteed in case of illness, accident or leave of individual employees.

10.1.2.2
AMC 147.B.10(3) DGCA AIRWORTHINESS – PROCEDURES

The documented procedures should contain the following information:

(a) Designation of the CAASL
(b) The title(s) and name(s) of the manager(s) of the CAASL and their duties and responsibilities.
(c) Organization chart(s) showing associated chains of responsibility of the senior persons.
(d) A procedure defining the qualifications for staff together with a list of staff authorized by DGCA to sign certificates.
(e) A general description of the facilities.
(f) Procedures specifying how the CAASL ensures(s) compliance with IS 147

10.1.2.3
AMC 147.B.10(4) QUALIFICATION AND TRAINING OF THE AW INSPECTOR

1. Airworthiness Inspector should have:

1.1 Practical experience and expertise in the application of aviation safety standards and safe operating practices.

1.2 Comprehensive knowledge of:

a. IS 147;
b. The DGCA's procedures;
c. The rights and obligations of a surveyor;
d. Quality systems;
e. Continuing airworthiness management;

1.3 Training on auditing techniques.

1.4 Relevant work experience to be allowed to work as a surveyor independently. This may include experience gained during training to obtain the qualification of 1.5.

1.5 A relevant engineering degree or an aircraft maintenance *qualification* or training qualification with additional education. A 'relevant engineering degree' means an engineering degree from aeronautical, mechanical,

electrical, electronic, avionic or other studies relevant to maintenance and continuing airworthiness of aircraft / aircraft components.

1.4 Knowledge of a relevant sample of aircraft types.

1.5 Knowledge of maintenance training standards.

2. In addition to technical competency, surveyors should have a high degree of integrity, be impartial in carrying out their tasks, be tactful, and have a good understanding of human nature.

3. A programme for continuation training should be developed that ensures that the surveyors remain competent to perform their allocated tasks.

10.1.3
147.B.15 ACCEPTABLE MEANS OF COMPLIANCE

When the applicant uses the AMC of this IS the CAASL shall consider the requirements of the rule as met.

10.1.4
147.B.20 RECORD-KEEPING

(a) The CAA SL shall establish a system of record-keeping that allows adequate traceability of the process to issue, renew, continue, vary, suspend or revoke each approval.

(b) The records for the oversight of maintenance training organizations shall include as a minimum:

1. The application for an organization approval.
2. The organization approval certificate including any changes.
3. A copy of the audit program listing the dates when audits are due and when audits were carried out.
4. Continued oversight records including all audit records.
5. Copies of all relevant correspondence.
6. Details of any exemption and enforcement actions.
7. Any report from other NAAs relating to the oversight of the organization.
8. Organization exposition (MTOE) and amendments.

(c) The minimum retention period for the paragraph (b) records shall be four years.

10.1.4.1
AMC 147.B.20 RECORD-KEEPING

1. The record-keeping system should ensure that all records are accessible whenever needed within a reasonable time. These records should be organized in a consistent way throughout the CAASL (chronological, alphabetical order, etc.).

2. All records containing sensitive data regarding applicants or organizations should be stored in a secure manner with controlled access to ensure confidentiality of this kind of data.

3. All computer hardware used to ensure data backup should be stored in a different location from that containing the working data in an environment that ensures they remain in good condition. When hardware- or software-changes take place special care should be taken that all the necessary data continues to be accessible at least through the full period specified in 147.B.20

10.1.5
147.B.25 EXEMPTIONS

Any exemptions granted by a DGCA regarding this IS shall be recorded and retained by the CAASL.

SUBPART B - ISSUE OF AN APPROVAL

This Subpart provides the requirements to issue or vary the maintenance training organization approval.

10.1.6
147. B.110 PROCEDURE FOR APPROVAL AND CHANGES TO THE APPROVAL

(a) Upon receipt of an application, the DGCA shall:

1. Review the maintenance training organization exposition; and

2. Verify the organization's compliance with the requirement of IS 147.

(b) All findings identified shall be recorded and confirmed in writing to the applicant.

(c) All findings shall be closed in accordance with point IS 147.B.130 before the approval is issued.

(d) The reference number shall be included on the approval certificate in a manner specified by the CAASL.

10.1.6.1
AMC 147.B.110(a) PROCEDURE FOR APPROVAL AND CHANGES TO THE APPROVAL

1. The audit should be conducted on the basis of checking the facility for compliance, interviewing personnel and sampling any relevant training course for its conduct and standard.
2. The audit report should be made on a DGCA Form 22 (see appendix B).

10.1.6.2
AMC 147.B.110(b) PROCEDURE FOR APPROVAL AND CHANGES TO THE APPROVAL

The date each finding was rectified should be recorded together with the reference document.

10.1.6.3
GM to 147.B.110 PROCEDURE FOR APPROVAL AND CHANGES TO THE APPROVAL

1. A meeting should be arranged between the applicant and the CAASL who issue MTO approvals to determine if the applicant's training activities justify the investigation for issue of MTO approval and to ensure that the applicant understands what needs to be done for MTO approval. This meeting is not intended to establish compliance but rather to see if the activity is an AMTO activity.

2. Assuming that the applicant's activities come within the scope of MTO approval, instructions should be sent to the Airworthiness staff requesting that an audit of the applicant be carried out and when satisfied that compliance has been established, a recommendation for the issue of approval should be submitted to the Airworthiness staff who grant approval unless these are the same staff. The CAASL should determine how and by whom the audit shall be conducted. For example, if the applicant is a large training organization, it will be necessary to determine whether one large team audit or a short series of small team audits or a long series of single person audits is most appropriate for the particular situation. A further consideration in the case of a combined MTO/AMO organization is the possibility to combine the audits.

3. It is not necessary to sample all basic and type training courses that will be approved, but it is necessary to sample, as appropriate, one basic and one type training course for as long as is necessary to establish that training is conducted in an appropriate manner, except that the minimum sampling time for the course being sampled should not be less than 3 hours. Where no training course is being conducted during the audit, arrangements should be made to return at a later date to sample the conduct of a training course.

4. Where it is intended that the maintenance training organization may conduct training away from the maintenance training organization address(es) in accordance with 147.A.145(c), then a sample audit should be carried out by the Airworthiness section from time to time of the process to ensure that procedures

are followed. For practical reasons such sample audits will need to be carried out when training is being conducted away from the maintenance training organization address (es).

5. It is not necessary to sample all examinations associated with a training course, but it is necessary to sample, as appropriate, one basic and one type training course examination.

6. The auditing surveyor should ensure that they are always accompanied throughout the audit by a senior member of the organization making application for MTO approval. Normally this should be the proposed quality manager. The reason for being accompanied is to ensure that the organization is fully aware of any findings during the audit. In any case, the proposed quality manager/senior member of the organization must be debriefed at the end of the audit visit on the findings made during the audit.

7. There will be occasions when the auditing surveyor may find situations in the applicant's organization on which he/she is unsure about compliance. In this case, the organization must be informed about possible non-compliance at the time of audit and the fact that the situation will be reviewed before a decision is made. The organization must be informed of the decision within 2 weeks of the audit visit in writing if the decision is a confirmation of non-compliance. If the decision is a finding of being in compliance, a verbal confirmation to the organization will suffice.

8. A change of name of the maintenance training organization requires the organization to submit a new application as a matter of urgency stating that only the name of the organization has changed including a copy of the organization exposition with the new name. Upon receipt of the application and the organization exposition, the DGCA should reissue the approval certificate valid only up to the current expiry date.

9. A name change alone does not require the competent authority to audit the organization, unless there is evidence that other aspects of the maintenance training organization have changed.

10. A change of accountable manager requires the maintenance training organization to submit such fact to the DGCA as a matter of urgency together with the amendment to the Accountable Manager exposition statement.

11. A change of any of the senior personnel specified in 147.A.105 (b) requires the maintenance training organization to submit a DGCA Form 4 in respect of the particular person to the DGCA. If satisfied that the qualifications and experience meet the standard required by MTO, the DGCA should indicate acceptance in writing to the maintenance training organization.

12. A change in the maintenance training organization’s exposition requires the DGCA to establish that the procedures specified in the exposition are incompliance with IS 147 and then to establish if these are the same procedures intended for use within the training facility.

13. Any change of location of the maintenance training organization requires the organization to make a new application to the DGCA together with the submission of an amended exposition. The DGCA should follow the procedure specified in 147.B.110 (a) and (b) in so far as the change affects such procedure before issuing a new MTO approval certificate.

14. The complete or partial re-organization of a training organization should require the re audit of those elements that have changed.

15. Any additional basic or aircraft type training courses requires the maintenance training organization to make a new application to the DGCA together with the submission of an amended exposition. For basic training extensions, an additional sample of new examination questions relevant to the modules associated with the extension being sought will be required to be submitted. The DGCA should follow the procedure of paragraph 13 in so far as the change affects such procedures unless the DGCA is satisfied that the maintenance training organization has a well-controlled procedure to qualify such change when it is not necessary to conduct the audit elements of the paragraph 13 procedure.

10.1.7
147.B.120 CONTINUED VALIDITY PROCEDURE

(a) Each organization must be completely audited by AWS for compliance with this IS at periods not exceeding 24 months.
(b) Findings shall be processed in accordance with IS 147.B.130.

10.1.8
147.B.125 MAINTENANCE TRAINING ORGANIZATION APPROVAL CERTIFICATE

The maintenance training organization approval certificate format shall be as detailed in Section 3.

10.1.9
147.B.130 FINDINGS

(a) Failure to complete the rectification of any level 1 finding within three days of written notification shall entail revocation, suspension or limitation by the DGCA, of the maintenance training organization approval in whole or in part.

(b) Action shall be taken by the DGCA to revoke, limit or suspend in whole or part of the approval in case of failure to comply within the time scale granted by the DGCA in the case of a level 2 finding.

10.1.9.1
AMC 147.B.130(b) FINDINGS

1. In the case of a level 2 finding, the DGCA may give up to 6 months' notice of the need for rectification. Dependent upon seriousness of the level 2 finding(s) the DGCA may choose a notice period less than 6 months.

2. When the DGCA chooses to allow 6 months, the initial notification should be of 3 months duration to the quality manager followed by the final 3 months' notice to the accountable manager.

SUBPART C - REVOCATION, SUSPENSION AND LIMITATION OF THE MAINTENANCE TRAINING ORGANIZATION APPROVAL

10.1.10
147.B.200 REVOCATION, SUSPENSION AND LIMITATION OF THE MAINTENANCE TRAINING ORGANIZATION APPROVAL

The DGCA shall:

(a) Suspend an approval on reasonable grounds in the case of potential safety threat; or (b) suspend, revoke or limit an approval pursuant to IS 147.B.130.

10.2 ISSUANCE / RENEWAL / CHANGE OF RATING OF THE MAINTENANCE TRAINING ORGANIZATION APPROVAL

10.2.1 GENERAL

10.2.1.1 INTRODUCTION

The objective of this procedure is to establish the general principles to be followed by CAASL to issue / renew / change of rating of the maintenance training organization approval in accordance IS-147.

This SOP on Maintenance Training Organization Approval has been approved by DGCA.

CAASL should retain effective control of important surveillance functions and not delegate them in such a way that IS -147 organizations, in effect, regulate themselves in airworthiness matters.

The set-up of the organizational structure should ensure that the various tasks and obligations of CAASL are not relying on individuals. That means that a continuing and undisturbed fulfilment of these tasks and obligations of CAASL should also be guaranteed in case of illness, accident or leave of individual employees.

10.2.1.2 SCOPE OF PROCEDURE

This procedure describes how CAASL will internally handle the approval of IS-147 maintenance training organizations.

This approval shall be performed in accordance with the provisions of IS-147.

This procedure also describes how CAASL will handle the initial, continuation, change, renewal, limitation, suspension or revocation of the approvals of aforementioned organizations according to IS-147.

10.2.1.3 REFERENCES

IS-147 Approved Maintenance Training Organizations	Revision No: 00	Issue No: 01

10.2.1.4 RESOURCES

A) The number of staff must be appropriate to carry out the requirements as detailed in this procedure.

B) Airworthiness Inspector involved in IS-147 approvals must have:

a) Practical experience and expertise in the application of aviation safety standards

b) Comprehensive knowledge of

i. relevant CAASL Regulation
ii. procedures of Airworthiness Section
iii. the rights and obligations of an Inspector
iv. quality systems
v. continuing airworthiness management

c) Received training on auditing techniques

d) Received training/continuation training on IS-147 where relevant, including its intended meaning and standard

e) Five years relevant work experience to work as an Airworthiness Inspector independently. This may include experience gained during training to obtain the qualification under (f)

f) A relevant engineering degree or an aircraft maintenance engineering qualification with additional qualification. 'relevant engineering degree means an engineering degree from aeronautical, mechanical, electrical, electronic, avionic or other studies relevant to the maintenance and continuing airworthiness of aircraft/aircraft components.

g) Knowledge of maintenance standards.

C) In addition to technical competency, Airworthiness Inspector's should have a high degree of integrity, be impartial in carrying out their tasks, be tactful, and have a good understanding of human nature.

D) AI's should undergo continuation training that ensures the Airworthiness Inspector's remain competent to perform their allocated tasks.

10.2.2 APPLICATION FOR INITIAL APPROVAL

10.2.2.1 ACCEPTANCE OF APPLICATION

An applicant wishing to obtain MTO Approval (IS-147 Organization) may show express of interest via sent to a letter addressed to DGCA. In any case DGCA shall inform the applicant via email or a letter regarding the IS-147 requirements, application form, application form completion guidelines, IS-147 compliance checklist and any other application guidelines that may help the applicant in completing the application.

Applications for IS-147 Maintenance Training Organization Approval (initial/renewal/change of ratings) shall be received on CAASL Form 12. To initiate the application process, the applicant shall submit two copies of the Maintenance Training organization Exposition along with a completed IS-147 compliance checklist CAA/AW/CL/04 for initial issuance and two copies of relevant amendments for change of rating to DGCA. He shall handover the application to D(AR&AW) and D(AR&AW) will assign and process the application. D(AR&AW) may assign Airworthiness Inspector, when required.

Airworthiness Inspector will acknowledge receipt of applications within three working days following the date of receipt by D(AR&AW).

The Airworthiness Inspector will check the applications. Where incorrect or incomplete information is supplied, the Airworthiness Inspector shall notify the applicant as soon as possible by a letter or email detailing the omissions and errors. For any technical issue, the Airworthiness Inspector will consult the D(AR&AW).

The Airworthiness Inspector together with the D(AR&AW) shall make a first check on eligibility according to IS-147 and determine how it will proceed with the application. When eligibility has been fully assessed, the Airworthiness Inspector will inform the applicant of the following within the month following receipt of the correct application:

a) Whether its application is accepted or not. If so:

b) Which Airworthiness Inspector will perform the technical investigation tasks. If no selection has been made yet, the D(AR&AW) will notify the applicant the projected time frames for when resources are expected to be available. This notification will be followed as soon as possible, by the communication of either D(AR&AW) or the selected Airworthiness Inspector.

c) Preliminary approval number with a suffix “IS” indicating the pending status of the approval (for example IS.147.XXX)

d) In case of local organizations, projected date for meeting with senior officials of the organization to explain how CAASL will carry out the technical investigation tasks.

e) Receipt of any fees associated with the application.

10.2.3 DETERMINATION OF THE MTOA TEAM

The composition and size of the basic investigation team can consist of only the Airworthiness Inspector but may vary and is dependent upon:

a) Size of the applicants organization

b) Complexity of the organization approval applied for,

c) Number of sites covered by the approval,

d) Nature of the services to be covered by the MTOA and its direct impact to aviation safety

Trainees may participate in investigation teams at no direct cost to the applicant. For specific technical investigations the basic team can call for assistance from appropriate technical experts. The technical experts shall follow all applicable provisions detailed in this procedure.

10.2.4 CERTIFICATION PROCEDURE

10.2.4.1 AUDIT FOR INITIAL ORGANIZATION APPROVAL

A) THE AUDIT PROCESS WILL BE PERFORMED ACCORDING TO THIS PROCEDURE.

a) A meeting should be arranged between the applicant and CAASL to determine if the applicant's training activities justify the investigation for issue of IS-147 approval and to ensure that the applicant understands what needs to be done for IS-147 approval. This meeting is not intended to establish compliance but rather to see if the activity is an IS-147 activity. During this meeting D(AR&AW)/ Airworthiness Inspector may discuss the IS-147 compliance checklist with the applicant.

b) Provided the requirements of IS 147.105(a) and (b) are complied with; Airworthiness Inspector shall formally indicate its acceptance of the personnel, specified in IS 147.105(a) and (b), to the applicant in writing via D(AR&AW).

Formally indicated in writing; means that the CAASL Form 4 should be used for this activity. With the exception of the Accountable Manager, a CAASL Form 4 should be completed for each person nominated to hold a position as required by IS 147.105(b).

Formal indication of acceptance should be by use of the CAASL Form 4 or in the case of the Accountable Manager via approval of the MTOE containing the Accountable Managers commitment statement.

D(AR&AW) may reject an Accountable Manager where there is clear evidence that they previously held a senior position in any CAASL/DGCA approved organization and abused that position by not complying with the particular CAASL/DGCA requirements. In this case, the D(AR&AW) shall notify DGCA.

c) Airworthiness Inspector shall verify that the procedures specified in the MTOE comply with IS-147 and verify that the Accountable Manager signs the commitment statement. Verification that the organization complies with the exposition procedures may be established through the IS 147 Compliance Check list. While verifying compliance, the Airworthiness Inspector shall ensure they are in accordance (or equivalent) with IS-147 AMC and GM.

d) A meeting with the Accountable Manager shall be convened at least once during the investigation for approval to ensure that he/she fully understands the significance of the approval and the reason for signing the exposition commitment of the organization to compliance with the procedures specified in the exposition. If required the Accountable Manager, may be tested by a written examinations/Interview on the relevant regulations. If this examination may be an open book examination held at the Accountable Manager office. In such a case, the Accountable Manager shall sign a declaration that the examination was done by himself.

e) The Airworthiness Inspector shall verify that the organization is in compliance with the requirements of IS-147.

The Airworthiness Inspector should determine by whom, and how the audit shall be conducted. For example, for a large organization, it will be necessary to determine whether one large team audit or a short series of small team audits or long series of single man audits are most appropriate for the particular situation.

It is not necessary to sample all basic and type training courses that will be approved, but it is necessary to sample, as appropriate, one basic and one type training course for as long as is necessary to establish that training is conducted in an appropriate manner, except that the minimum sampling time for the course being sampled should not be less than 3 hours. Where no training course is being conducted during the audit, arrangements should be made to return at a later date to sample the conduct of a training course.

Where it is intended that the maintenance training organization may conduct training and examinations away from the maintenance training organization address (es) in accordance with IS 147.145(c), then a sample audit should be carried out by CAASL from time to time of the process to ensure that procedures are followed. For practical reasons such sample audits will need to be carried out when training is being conducted away from the maintenance training organization address (es).

It is not necessary to sample all examinations associated with a training course, but it is necessary to sample, as appropriate, one basic and one type training course examination

The CAASL auditing Airworthiness Inspector should always ensure that he/she is accompanied throughout the audit by a senior technical member of the organization. Normally this is the quality manager. The reason for being accompanied is to ensure the organization is fully aware of any findings during the audit.

The auditing Airworthiness Inspector should inform the senior technical member of the organization at the end of the audit visit on all findings made during the audit.

The audit report (approval recommendation report) form should be the CAASL Form 22. The Airworthiness Inspector may use the IS-147 Compliance Checklist, IS-147 Audit Checklist and MTOE to assist in the audit and to prepare the Audit Report CAASL Form 22.

All findings, closure actions (actions required to close a finding) and recommendations must be recorded. The reports should include the date each finding was cleared together with reference to the CAASL report or letter that confirmed the clearance.

Findings should be recorded on the audit report form with a provisional categorisation as a level 1 or level 2. Subsequent to the audit visit that

identified the particular findings, the Airworthiness Inspector should review the provisional finding levels, adjusting them if necessary and change the categorisation from provisional to confirm.

There may be occasions when the CAASL may find situations in the applicant's organization on which he/she is unsure about compliance. In this case, the organization should be informed about possible non-compliance at the time and the fact that the situation will be reviewed within the CAASL before a decision is made. If the decision is a finding of being in compliance then a verbal confirmation to the organization will suffice.

All findings should be confirmed in writing to the applicant organization within 2 weeks of the audit visit.

f) For initial approval all findings must be rectified/corrected before the approval can be issued.

When the full investigation for compliance of the applicant with IS-147 has been satisfactorily determined, the D(AR&AW) shall carry out a quality review of the following documentation:

1. The completed CAASL Form 22 (all 5 parts). Wherever possible the phone number, fax number and e-mail address of the organization should be provided. (Completed and signed by the Airworthiness Inspector and all the Team Members)

2. The Approved MTOE (Reviewed by the Airworthiness Inspector)

3. Approved CAD Form 4s (Reviewed by the Airworthiness Inspector)

4. Consistency of the Form 12 with the Form 22 and the MTOE

5. The continued surveillance plan. The D(AR&AW) shall verify that the continued surveillance plan covers all elements required by this SOP part 10.2.4.4.

The D(AR&AW) shall countersign the Form 22 when satisfied with the review of Para 10.2.4.1 A) - a) to f).

10.2.4.2 ISSUING THE ORGANIZATION APPROVAL CERTIFICATE:

Prepare CAASL Form 11. Ensure that "P" pending number is removed from the Approval reference. Indicate the conditions of the approval on the CAASL Form 11 approval certificate.

The D(AR&AW) shall forward to DGCA the proposal for the CAASL Form 11 approval certificate, the countersigned Form 22 and the current accepted continued surveillance plan.

The DGCA shall contact the D(AR&AW) regarding any issues with the proposal for the CAASL Form 11 approval certificate, the countersigned Form 22 or the current accepted continued surveillance plan.

When satisfied with the above recommendation package DGCA shall sign the CAASL Form 11 approval certificate.

The D(AR&AW) should indicate the approval of the exposition in writing to the applicant.

The Airworthiness Inspector should forward the original of the signed CAASL Form 11 to the applicant once the receipt of fees has been confirmed.

Update the register and Training Organization Approval data base on CAASL server of all Organization Approvals issued by Airworthiness, giving the following details.

a) Approval number

b) Name of organization

c) Address

d) Scope of approval

The D(AR&AW) will establish a system to maintain records of all documents generated and received during the approval process and the subsequent continued surveillance process. CAASL form 22, copy of the form 11 and the continued surveillance plan shall be retained under the allocated CAASL approval number and the records filed in accordance with CAASL filing system. Specific reference will be made to the next date that the form 22 recommendation is due.

10.2.4.3 CHANGES WITHIN THE APPROVED MAINTENANCE TRAINING ORGANIZATION

Any proposed changes covered by IS 147.150 shall be processed by the Airworthiness Inspector

The Airworthiness Inspector will determine the extent of any subsequent review according to the impact of the proposed changes to the Organization and/or its Exposition and shall carry out all necessary actions.

A change of name of the maintenance training organization requires the organization to submit a new application as a matter of urgency stating that only the name of the organization has changed including a copy of the organization exposition with the new name. On receipt of the application and the organization exposition, CAASL should reissue the approval certificate valid only up to the current expiry date

A name change alone does not require CAASL to audit the organization, unless there is evidence that other aspects of the maintenance training organization have changed

A change of Accountable Manager requires the maintenance training organization to submit such fact to CAASL as a matter of urgency together with the amendment to the Accountable Manager exposition statement.

A change of any of the senior personnel specified in IS 147.105(b) or the examination staff in IS 147.105 (e) requires the maintenance training organization to submit a CAASL Form 4 in respect of the particular person to the competent authority. If satisfied that the qualifications and experience meet the standard required by IS-147, CAASL should indicate acceptance in writing to the maintenance training organization.

A change in the maintenance training organization's exposition requires the CAASL to establish that the procedures specified in the exposition are in compliance with the intent of IS-147 and then to establish if these are the same procedures intended for use within the training facility.

Any change of location of the maintenance training organization requires the organization to make a new application to CAASL together with the submission of an amended exposition. CAASL will follow the procedure specified under this SOP (a) and (b) in so far as the change affects such procedure before issuing a new IS-147 approval certificate valid for a new recommended 2 year period or with a new issue date for continuous approvals.

The complete or partial re-organization of a training organization will require the re-audit of those elements that have changed.

Any additional basic or aircraft type training courses requires the maintenance training organization to make a new application to CAASL together with the submission of an amended exposition. For basic training extensions, an additional sample of new examination questions relevant to the modules associated with the extension being sought will be required to be submitted. CAASL will follow the procedure of paragraph 10.2.4 in so far as the change affects such procedures unless CAASL is satisfied that the maintenance training organization has a well-controlled procedure to qualify such change when it is not necessary to conduct the audit elements of the paragraph 10.2.4 procedure.

When the investigation for the change has been satisfactorily completed, the Airworthiness Inspector shall carry out a review of any applicable documents detailed in paragraph 10.2.4.1 and 10.2.4.2 appertaining to the change.

When a change to the certificate is required then paragraph 10.2.4.2 shall be used.

10.2.4.4 CONTINUED SURVEILLANCE

A continued surveillance plan shall be developed by the Airworthiness Inspector taking into consideration follow up of corrective actions and accepted by DGCA. The continued surveillance plan shall be communicated to the organization by the D(AR&AW).

The CAASL form 22 recommendation must be completed every 24 months. The Airworthiness Inspector must carry out a quality review of the form 22 and countersign the form. The TL shall forward the form 22 to the D(AR&AW) for continuation of the approval every 24 months along with the continued surveillance plan.

Where continued validity of the certificate is accepted the D(AR&AW) shall notify the approved maintenance training organization and DGCA (Standard automated letter). The Airworthiness Inspector shall ensure update of the approvals database with all relevant information.

The Airworthiness Inspector shall forward details of all CAASL Form 22 due dates to the D(AR&AW). In case of a negative decision by CAASL, the D(AR&AW) will notify the approval holder by letter and copy the Airworthiness Inspector, detailing the suspension or revocation of the AMTO. This letter will make reference to the possibility for appeal by the AMTO holder.

The Airworthiness Inspector assigned to perform the continued surveillance on behalf of CAASL will process all findings.

The Airworthiness Inspector shall notify D(AR&AW) any Level 1 finding made against the AMTO holder together with any actions it has taken. In case of a Level 1 finding, the D(AR&AW) will review the finding and take appropriate action.

In extenuating circumstances the 24 month audit cycle period may be extended by the D(AR&AW). This is subject to verification by other means that the systems are functioning within the Maintenance Training Organization.

10.2.5 ADDITIONAL PROVISIONS

10.2.5.1 REPORTING SYSTEMS

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IS-147 detail the Maintenance Training Organization Approval holders responsibilities regarding reporting to CAASL. CAASL will process the reports in accordance with their internal procedure. The form and manner for such reports need to be made following the approved company procedures as contained in the AMTO holder

10.2.5.2 PANEL OF EXPERTS

CAASL may liaise and request assistance from a D(AR&AW) which comprises specialists with extensive technical knowledge and experience necessary for approval of Maintenance Training Organizations as and when required.

The PE specialists are available for advice on technical certification principles and technical interpretation of the implementing rules of the basic regulation, technical standardization and technical training ensuring appropriate technical certification knowledge within COSCAP-SA and other affiliated regulatory authorities. They may also act as team members, however respecting then that their roles do not conflict.

The experts shall notify any possible conflict of interest. In such cases they shall abstain from participating in the deliberations of the D(AR&AW). The CAASL rules concerning the public access to documents are applicable to the D(AR&AW).

10.2.5.3 RESOLUTION OF DISAGREEMENTS

Every effort shall be made to resolve all kind of disagreements concerning issues between CAASL and the Approval Holder/Applicant at the lowest possible level.

The investigation team will be the primary decision maker in the process under the supervision of its team leader. The CAASL Team shall have the ability and power to take the first decisions to the large possible extent.

If the Approval Holder/Applicant does not agree with the CAASL Team decision, the Maintenance Training Organization Manager as a first step, and the responsible D(AR&AW) afterwards, will try to reach a mutually acceptable resolution.

If further escalation is necessary the final decision will be made by DGCA, following consultation with experts.

10.2.5.4 INVOLVEMENT OF THE LEGAL SERVICE

The D(AR&AW) shall consult DGCA legal service at the earliest possible stage.

a) Before the adoption of a negative decision taken during the certification process which is subject to appeal according to Civil Aviation Regulations or this internal working procedures.

b) When an applicant or certificate holder requests that a disagreement shall be formally handled according to current CAASL regulations.

c) When there is a disagreement with the applicant or certificate holder on a significant decision affecting the result of the certification process outside the scope of MTOE and this CAASL Procedure.

d) In any other case when deemed necessary.

10.2.5.5 LIMITATION, SUSPENSION AND REVOCATION

A Maintenance Training Organization Approval shall be limited, suspended or revoked by DGCA if the:

a) Certificate becomes invalid under the conditions specified in IS-147

b) Organization fails to comply with Civil Aviation Fees and Charges

c) Approval is suspended an on reasonable grounds in the case of potential safety threat; or
d) Organization fails to comply with the IS-147.130 Findings, depending on the nature of finding.

10.2.5.6 COMMUNICATION AND PUBLICATION

Significant decisions affecting the result of the certification procedure shall be communicated by CAASL to the applicant in writing.

CAASL decisions related to the issuing, modification, limitation, suspension or revocation of certificates shall be published in its Official Publication. The D(AR&AW) shall make provisions in order that relevant information is published. CAASL website is considered as official publication.

10.2.5.7 CONFIDENTIALITY OF DOCUMENTS

All documents and information received and held by CAASL related to the certification procedure which originates from the Approval Holder/Applicant or a third party are subject to protection from disclosure in accordance with Sri Lanka Civil Aviation Regulation and these internal working procedures.

10.2.5.8 RECORD KEEPING

a) The CAASL shall establish a system of record-keeping that allows adequate traceability of the process to issue, renew, continue, vary, suspend or revoke each approval.
b) The records for the oversight of maintenance training organizations shall include as a minimum:

1. The application for an organization approval.
2. The organization approval certificate including any changes.
3. A copy of the audit program listing the dates when audits are due and when audits were carried out.(Complete CAASL Form22)
4. Continued oversight records including all audit records.(CAASL Form 22)
5. Copies of all relevant correspondence.
6. Details of any exemption and enforcement actions.
7. Any report from other competent authorities relating to the oversight of the organization.
8. Organization exposition and amendments.

c) The minimum retention period for the paragraph (b) records shall be four years.

SECTION TWO

CHAPTER 11 – REQUIREMENTS FOR CONTINUING AIRWORTHINESS (IS-M)

11.1 PROCEDURE FOR CIVIL AVIATION AUTHORITY – SECTION B

SUBPART A – GENERAL

11.1.1
M.B.101 SCOPE

This Section establishes the administrative requirements to be followed by the CAASL in charge of the application and the enforcement of Section A of IS M.

11.1.2
M.B.102 CIVIL AVIATION AUTHORITY OF SRI LANKA (CAASL)

(a) General

The CAASL shall allocate responsibilities involving the issuance, continuation, change, suspension or revocation of certificates and for the oversight of continuing airworthiness organization. And for this purpose CAASL shall establish documented procedures and an organizational structure.

(b) Resources

The number of staff shall be appropriate to carry out the requirements as detailed in this Section B.

(c) Qualification and training

All staff involved in IS-M activities shall be appropriately qualified and have appropriate knowledge, experience, initial training and continuation training to perform the tasks allocated to them.

(d) Procedures

The CAASL shall establish procedures detailing how compliance with this Part is accomplished.

The procedures shall be reviewed and amended to ensure continued compliance.

11.1.2.1
AMC M.B.102 (a) CAASL - GENERAL

1. In deciding upon the required airworthiness organizational structure and appropriate cadre, the CAASL should review the number of certificates to be issued, the number and size of potential operators, the number of M.Subpart F approved maintenance organizations and M.Subpart G continuing airworthiness management organizations, as well as the level of civil aviation activity, number and complexity of aircraft and the size of the aviation industry that are under the regulatory purview of CAASL.

2. The CAASL should retain effective control of important inspection functions and not delegate them in such a way that aircraft owners, operators, M. Subpart F approved maintenance organizations and M.Subpart G continuing airworthiness management organizations, in effect, regulate themselves in airworthiness matters.

3. The set-up of the organizational structure should ensure that the various tasks and obligations of the CAASL are not relying on individuals. That means that a continuing and undisturbed fulfilment of these tasks and obligations of the CAASL should also be guaranteed in case of illness, accident or leave of individual employees.

11.1.2.2
AMC M.B.102 (C) CAASL – QUALIFICATION AND TRAINING

1. CAASL inspectors should have:

   1.1 practical experience and expertise in the application of aviation safety standards and safe operating practices;

   1.2 comprehensive knowledge of:

   (a) relevant parts of implementing rules, certification specifications and guidance material;

   (b) the CAASL's procedures;

   (c) the rights and obligations of an inspector;

   (d) quality systems;

   (e) continuing airworthiness management.

   (f) operational procedures when affecting the continuing airworthiness management of the aircraft or the maintenance.

   1.3 training on auditing techniques.

   1.4 five years relevant work experience to be allowed to work as an inspector independently. This may include experience gained during training to obtain the subparagraph 1.5 qualification.

1.5 a relevant engineering degree or an aircraft maintenance technician qualification with additional education. Relevant engineering degree' means an engineering degree from aeronautical, mechanical, electrical, electronic, avionic or other studies relevant to the maintenance and continuing airworthiness of aircraft/aircraft components."

1.6 knowledge of a relevant sample of the type(s) of aircraft gained through a formalised training course including Fuel Tank Safety (FTS) training as described in Appendix XII to AMC to M.706(f) and M.B.102(c). These courses should be at least at a level equivalent to IS-66 Appendix III Level 1 General Familiarization.
"Relevant sample" means that these courses should cover typical systems embodied in those aircraft being within the scope of approval.

1.7 knowledge of maintenance standards.

2. In addition to technical competency, inspectors should have a high degree of integrity, be impartial in carrying out their tasks, be tactful, and have a good understanding of human nature.

3. A programme for continuation training should be developed which provides for the inspectors, at regular intervals, to visit appropriate manufacturers and attend technical symposia as well as training or refresher courses to gain first-hand knowledge of new developments. As a general policy, it is not desirable for the inspectors to obtain technical qualifications from those entities under their direct regulatory jurisdiction.

11.1.2.3
AMC M.B.102 (D) CAASL - PROCEDURES

The documented procedures should contain the following information:

(a) The designation of the CAASL.

(b) The title(s) and name(s) of the manager(s) of the CAASL and their duties and responsibilities.

(c) Organization chart(s) showing associated chains of responsibility of the senior persons.

(d) A procedure defining the qualifications for staff together with a list of staff authorised to sign certificates.

(e) A general description of the facilities.

(f) Procedures specifying how the CAASL ensure(s) compliance with IS-M.

11.1.3
M.B.104 RECORD KEEPING

(a) The CAASL shall establish a system of record-keeping that allows adequate traceability of the process to issue, continue, change, suspend or revoke each certificate.

(b) The records for the oversight of IS-M approved organizations shall include as a minimum:

1. the application for an organization approval.
2. the organization approval certificate including any changes.
3. a copy of the audit program listing the dates when audits are due and when audits were carried out.
4. the CAASL continued oversight records including all audit records.
5. copies of all relevant correspondence.
6. details of any exemption and enforcement actions.
7. organization exposition or manual and amendments.
8. copy of any other document directly approved by the CAASL.

(c) The retention period for the paragraph (b) records shall be in accordance with national regulation.

(d) The minimum records for the oversight of each aircraft shall include, at least, a copy of:

1. aircraft certificate of airworthiness,
2. airworthiness review certificates,
3. Section A Subpart G organization recommendations,
4. reports from the airworthiness reviews carried out directly by the State,
5. all relevant correspondence relating to the aircraft,
6. details of any exemption and enforcement action(s),
7. any document approved by the CAASL pursuant to IS-M

(e) The records specified in paragraph (d) shall be retained for a period in accordance with national regulation.

11.1.3.1
AMC M.B.104 (A) RECORD KEEPING

1. The record-keeping system should ensure that all records are accessible whenever needed within a reasonable time. These records should be organized in a consistent way throughout the CAASL (chronological, alphabetical order, etc.).

2. All records containing sensitive data regarding applicants or organizations should be stored in a secure manner with controlled access to ensure confidentiality of this kind of data.

3. All computer hardware used to ensure data backupshould be stored in a different location from that containing the working data in an environment that ensures they remain in good condition. When hardware- or software-changes take place special care should be taken that all necessary data continues to be accessible at least through the full period specified in M.B.104 (c) and/or (e).

SUBPART B - ACCOUNTABILITY

11.1.4
M.B.201 RESPONSIBILITIES

The CAASL is responsible for conducting inspections and investigations in order to verify that the requirements of IS-M are complied with.

SUBPART C - CONTINUING AIRWORTHINESS

11.1.5
M.B.301 MAINTENANCE PROGRAMME

(a) The CAASL shall verify that the maintenance programme is in compliance with M.302.

(b) Except where stated otherwise in point M.302(c) the maintenance programme and its amendments shall be approved directly by the CAASL.

(c) In the case of indirect approval, the maintenance programme indirect approval procedure shall be approved by the CAASL through the continuing airworthiness management exposition.

(d) In order to approve a maintenance programme according to paragraph (b), the CAASL shall have access to all the data required in points M.302(d), (e) and (f).

11.1.5.1
AMC M.B.301 (A) MAINTENANCE PROGRAMME

For the CAASL to verify compliance with M.A.302, the auditing surveyor/inspector should have received training on maintenance programme development and control.

11.1.5.2
AMC M.B.301 (B) MAINTENANCE PROGRAMME (SEE APPENDICES TO IS-M - APPENDIX I TO AMC M.302 AND AMC M.B.301(B))

1. When assessing aircraft maintenance programmes for approval, the CAASL should verify that the maintenance programme is acceptable for the continued airworthiness of the specific aircraft listed and it is appropriate for the proposed operating environment and scheduled utilisation.

2. The CAASL should assess the contents taking into account the origins of the document i.e. the manufacturers recommended maintenance programme, a MRB report, the operators own experience or another approved programme.

3. A CAASL may elect to publish a proposed maintenance schedule for a piston engined aircraft type or a group of piston engined aircraft types below 2730Kgs maximum take off mass (MTOM) or for a sailplane, powered sailplane or balloon type or for a group of sailplanes, powered sailplanes or balloon types. When owners/operators of the aircraft mentioned above elect to use a CAASL proposed maintenance schedule, all the out of phase manufacturer recommendations should be incorporated into the final maintenance programme in order for it to be approved.

4. A copy of the approved programme should be retained by the CAASL, unless the programme is approved by a M.Subpart G approved organization.

5. The documentation issued by the CAASL to approve the operator's maintenance programme may include details of who may issue certificates of release to service in a particular situation and may define which tasks are considered as complex maintenance tasks or limited pilot owner maintenance according to Appendix VIII to IS-M.

6. In the case of commercial air transport or large aircraft, development of the approved aircraft maintenance programme is dependent upon sufficient satisfactory in-service experience which has been properly processed. In general, the task being considered for escalation beyond the MRB limits should have been satisfactorily repeated at the existing frequency several times before being proposed for escalation. Appendix I to AMC M.302 and M.B.301 (b) gives further information.

7. The CAASL may approve an incomplete maintenance programme at the start of operation of an aircraft or an operator, subject to limiting the approval of the maintenance programme to a period that does not exceed any required maintenance not yet approved.

8. If the CAAASL is no longer satisfied that a safe operation can be maintained, the approval of a maintenance programme or part of it may be suspended or revoked. Events giving rise to such action include:

   8.1 An operator changing the utilisation of an aircraft;

   8.2 The owner or M.Subpart G approved organization has failed to ensure that the programme reflects the maintenance needs of the aircraft such that safe operation can be assured.

11.1.5.3
AMC M.B.301(C) MAINTENANCE PROGRAMME

1. Approval of an aircraft maintenance programme through a procedure established by a M.A. Subpart G organization should require the organization to demonstrate to the CAASL that it has competence, procedures and record keeping provisions, which will enable the organization to analyse aircraft reliability, TC holder's instructions, and other related operating and maintenance criteria.

2. According to the complexity of the aircraft and the nature of the operation, the maintenance programme procedures should contain reliability centred maintenance and condition monitored maintenance programme procedures and have procedures relating to the programme control which contain the following provisions:

   (a) task escalation or adjustment,

   (b) maintenance programme review,

   (c) SB or Service Information assessment,

   (d) component and structures in service performance review,

   (e) maintenance programme revision,

   (f) maintenance procedure effectiveness review and amendment,

   (g) maintenance review board report (MRBR) or manufacturer maintenance planning document (MPD) review and assessment, as appropriate,

   (h) AD review and assessment,

   (i) owner/maintenance/M.Subpart G organization liaison,

   (j) training.

3. When the CAASL requests it, the organization should make provision for the attendance of a representative of the CAASL representative at meetings held to consider maintenance implications arising from reviews of the above provisions.

11.1.5.4
AMC M.B.301(D) MAINTENANCE PROGRAMME

Programmes and all associated airworthiness data, including that data used for substantiating the escalation of programmes should be made available to the CAASL upon request.

11.1.6
M.B.302 EXEMPTIONS

Provided provision exist for exemption in the National regulation all exemptions granted in accordance with this applicable National regulation shall be recorded and retained by the CAASL.

11.1.7
M.B.303 AIRCRAFT CONTINUING AIRWORTHINESS MONITORING

(a) The CAASL shall develop a survey programme to monitor the airworthiness status of the fleet of aircraft on its register.

(b) The survey programme shall include sample product surveys of aircraft.

(c) The programme shall be developed taking into account the number of aircraft on the register, local knowledge and past surveillance activities.

(d) The product survey shall focus on a number of key risk airworthiness elements and identify any findings. Furthermore, the CAASL shall analyse each finding to determine its root cause.

(e) All findings shall be confirmed in writing to the person or organization accountable according to M.201.

(f) The CAASL shall record all findings, closure actions and recommendations.

(g) If during aircraft surveys evidence is found showing non-compliance to a IS-M requirement, the CAASL shall take actions in accordance with M.B.903.

(h) If the root cause of the finding identifies a non-compliance with any Subpart or with another Part, the non-compliance shall be dealt with as prescribed by the relevant Part.

11.1.7.1
AMC M.B.303 AIRCRAFT CONTINUING AIRWORTHINESS MONITORING

The CAASL may create an adapted airworthiness survey programme for the aircraft for which it performs the airworthiness review.

11.1.7.1.1

AMC1 M.B.303 (B) AIRCRAFT CONTINUING AIRWORTHINESS MONITORING*

SCOPE OF SURVEYS

1. The CAASL should undertake sample product surveys of aircraft on its register to verify that:

(a) The condition of an aircraft as sampled is to a standard acceptable for the Certificate of Airworthiness to remain in force.

(b) the operator/owner's management of the airworthiness of the aircraft is effective,

(c) the approvals and licenses granted to organizations and persons continue to be applied in a consistent manner to achieve the required standards.

A physical inspection of the aircraft is necessary during each ACAM survey (ramp or in-depth).

2. Sample product surveys of aircraft include:

(a) in-depth surveys carried out during extensive maintenance that fully encompass selected aspects of an aircraft's airworthiness,

(b) ramp surveys carried out during aircraft operations to monitor the apparent condition of an aircraft's airworthiness.

3. When performing a ramp survey, the inspector(s) should make all possible efforts to avoid an unreasonable delay of the aircraft inspected.

11.1.7.1.2
AMC2 M.B.303 (B) AIRCRAFT CONTINUING AIRWORTHINESS MONITORING

IN-DEPTH SURVEY

1. An ACAM in-depth survey is a sample inspection of the key risk elements (KREs) and should be performed during scheduled/extensive maintenance. Appendix III to GM 1 to M.B.303(b) provides guidance on KREs that can be used for planning and/or analysis of the inspections.

2. The survey should be a 'deep cut' through the elements or systems selected.

3. The record of an ACAM inspection should identify which KREs were inspected.

11.1.7.1.3
AMC3 M.B.303 (B) AIRCRAFT CONTINUING AIRWORTHINESS MONITORING*

KEY RISK ELEMENTS

1. The following KREs should be used for aircraft continuing airworthiness monitoring:

(a) Type design and changes to type design
(b) Airworthiness limitations
(c) Airworthiness Directives
(d) Aircraft documents
(e) Flight Manual
(f) Mass & Balance
(g) Markings & placards

(h) Operational requirements
(i) Defect management
(j) Aircraft Maintenance Programme
(k) Component control
(l) Repairs
(m) Records

2. These KREs and their detailed components should be adapted to the complexity of the aircraft type being surveyed by retaining only those items that are applicable and relevant for the particular aircraft type.

11.1.7.1.4
GM1 M.B.303 (B) AIRCRAFT CONTINUING AIRWORTHINESS MONITORING*

KEY RISK ELEMENTS

The KREs define the scope of continuing airworthiness. The list of KREs is intended to provide the basis for planning and control of the ACAM survey programme. It will ensure that the programme covers all aspects of continuing airworthiness. While it is not required to cover all KREs during a given inspection, the ACAM survey programme needs to ensure that there is no omission, i.e. certain KRE are never inspected.

11.1.7.2
AMC M.B.303 (C) AIRCRAFT CONTINUING AIRWORTHINESS MONITORING

The CAASL should create an annual programme of surveys, selecting aircraft and/or operators depending on local knowledge of the maintenance environment, operating conditions, airworthiness standards and past surveillance experience. The programme should be used to identify the operator/fleet/aircraft, which are causing the greatest concern.

11.1.7.3
M.B.304 REVOCATION, SUSPENSION AND LIMITATION

The CAASL shall:

(a) suspend an airworthiness review certificate on reasonable grounds in the case of potential safety threat, or;

(b) suspend, revoke or limit an airworthiness review certificate pursuant to M.B.903(1).

SUBPART D MAINTENANCE STANDARDS

(TO BE DEVELOPED AS APPROPRIATE)

SUBPART E COMPONENTS

(TO BE DEVELOPED AS APPROPRIATE)

SUBPART F MAINTENANCE ORGANIZATION

11.1.8
M.B.601 *RESERVED*

11.1.9
M.B.602 INITIAL APPROVAL

(a) Provided the requirements of M.606(a) and (b) are complied with, the CAASL shall formally indicate its acceptance of the M.606(a) and (b) personnel to the applicant in writing.

(b) The CAASL shall establish that the procedures specified in the maintenance organization manual comply with M.Subpart F and ensure the accountable manager signs the commitment statement.

(c) The CAASL shall verify that the organization is in compliance with the IS-M M. Subpart F requirements.

(d) A meeting with the accountable manager shall be convened at least once during the investigation for approval to ensure that he/she fully understands the significance of the approval and the reason for signing the commitment of the organization to compliance with the procedures specified in the manual.

(e) All findings shall be confirmed in writing to the applicant organization.

(f) The CAASL shall record all findings, closure actions (actions required to close a finding) and recommendations.

(g) For initial approval all findings shall be corrected by the organization and closed by the CAASL before the approval can be issued.

11.1.9.1
AMC M.B.602 (A) INITIAL APPROVAL

1. ‘Formally indicate in writing’ means that a Form 4 (appendix X) should be used for this activity. With the exception of the accountable manager, a Form 4 should be completed for each person nominated to hold a position required by M.606 (b)

2. In the case of the accountable manager approval of the maintenance organization manual containing the accountable manager’s signed commitment statement constitutes formal acceptance.

11.1.9.2
AMC M.B.602 (B) INITIAL APPROVAL

The CAASL should indicate approval of the maintenance organization manual in writing.

11.1.9.3
AMC M.B.602 (C) INITIAL APPROVAL

1. The CAASL should determine by whom, and how the audit shall be conducted. For example, it will be necessary to determine whether one large team audit or a short series of small team audits or a long series of single man audits are most appropriate for the particular situation.

2. The audit may be carried out on a product line type basis. For example, in the case of an organization with Socata TB20 and Piper PA 28 ratings, the audit is concentrated on one type only for a full compliance check. Depending upon the result, the second type may only require a sample check that should at least cover the activities identified as weak for the first type.

3. The CAASL auditing surveyor should always ensure that he/she is accompanied throughout the audit by a senior technical member of the organization. The reason for being accompanied is to ensure the organization is fully aware of any findings during the audit.

4. The auditing surveyor should inform the senior technical member of the organization at the end of the audit visit on all findings made during the audit.

11.1.9.4
AMC M.B.602 (E) INITIAL APPROVAL

1. Findings should be recorded on an audit report form with a provisional categorisation as a level 1 or 2. Subsequent to the audit visit that identified the particular findings, the CAASL should review the provisional finding levels, adjusting them if necessary and change the categorisation from ‘provisional’ to ‘confirmed’.

2. All findings should be confirmed in writing to the applicant organization within 2 weeks of the audit visit.

3. There may be occasions when the CAASL finds situations in the applicant's organization on which it is unsure about compliance. In this case, the organization should be informed about possible non-compliance at the time and the fact that the situation will be reviewed within the CAASL before a decision is made. If the review concludes that there is no finding then a verbal confirmation to the organization will suffice.

11.1.9.5
AMC M.B.602 (F) INITIAL APPROVAL (SEE APPENDICES TO IS-M - APPENDIX VI TO AMC M.B.602(F))

1. The audit report should be made on a Form 6F (see appendix VI).

2. A quality review of the Form 6F audit report should be carried out by a competent independent person nominated by the CAASL. The review should take into account the relevant paragraphs of M.Subpart F, the categorisation of finding levels and the closure action taken. Satisfactory review of the audit form should be indicated by a signature on the Form 6F.

11.1.9.6
AMC M.B.602 (G) INITIAL APPROVAL

The audit reports should include the date each finding was cleared together with reference to the CAASL report or letter that confirmed the clearance

11.1.10
M.B.603 ISSUE OF APPROVAL

(a) The CAASL shall issue to the applicant an Form 3 approval certificate (Appendix V) which includes the extent of approval, when the maintenance organization is in compliance with the applicable paragraphs of this Part.

(b) The CAASL shall indicate the conditions attached to the approval on the Form 3 approval certificate.

(c) The reference number shall be included on the Form 3 approval certificate in a manner specified by the CAASL.

11.1.10.1
AMC M.B.603 (A) ISSUE OF APPROVAL

1. *Reserved*

2. The approval should be based upon the organizational capability relative to M. Subpart F compliance and not limited by reference to individual certificated products.

   For example, if the organization is capable of maintaining within the limitation of M.Subpart F the Cessna 100 series aircraft the approval schedule should state A2 Cessna 100 series and not Cessna 172 RG which is a particular designator for one of many Cessna 100 series.

3. Special case for LA1 aircraft:

In order to promote standardisation, for this category of aircraft the following approach is recommended:

— Possible ratings to be endorsed in CAASL Form 3:
• LA1 sailplanes;
• LA1 powered sailplanes and LA1 aeroplanes;
• LA1 balloons;
• LA1 airships.

— Before endorsing any of those ratings (for example, LA1 sailplanes) in CAASL Form 3, the CAASL should audit that the organization is capable of maintaining at least one aircraft type (for example, one type of sailplanes within the LA1 category), including the availability of the necessary facilities, equipment, tooling, material, maintenance data, and certifying staff.

— It is acceptable that the detailed scope of work in the Maintenance Organization Manual (MOM) contains the same ratings endorsed in CAASL Form 3 (for example, LA1 sailplanes), without a need to further limit them. However, the maintenance organization will only be able to maintain a certain aircraft type when all the necessary facilities, equipment, tooling, material, maintenance data, and certifying staff are available.

11.1.10.2
AMC M.B.603 (C) ISSUE OF APPROVAL

The numeric sequence of the approval reference should be unique to the particular approved maintenance organization.

11.1.11
M.B.604 CONTINUING OVERSIGHT

(a) The CAASL shall keep and update a program listing for each M.Subpart F approved maintenance organizations under its supervision, the dates when audit visits are due and when such visits were carried out.

(b) Each organization shall be completely audited at periods as per national requirements

(c) All findings shall be confirmed in writing to the applicant organization.

(d) The CAASL shall record all findings, closure actions (actions required to close a finding) and recommendations.

(e) A meeting with the accountable manager shall be convened at least once in a period defined by each CAASL but not exceeding 24 months to ensure he/she remains informed of significant issues arising during audits.

11.1.11.1
AMC M.B.604 (B) CONTINUING OVERSIGHT

1. Where the CAASL has decided that a series of audit visits are necessary to arrive at a complete audit of an approved maintenance organization, the program should indicate which aspects of the approval will be covered on each visit.

2. It is recommended that part of an audit concentrates on the organizations internal self monitoring reports produced by the organizational review to determine if the organization is identifying and correcting its problems.

3. At the successful conclusion of the audit(s) including verification of the manual, an audit report form should be completed by the auditing surveyor including all recorded findings, closure actions and recommendation. An Form 6F should be used for this activity.

4. Credit may be claimed by the CAASL Inspector(s) for specific item audits completed during the preceding period subject to four conditions:

   (a) the specific item audit should be the same as that required by M.Subpart F latest amendment, and

   (b) there should be satisfactory evidence on record that such specific item audits were carried out and that all corrective actions have been taken, and

   (c) the CAASL Inspector(s) should be satisfied that there is no reason to believe standards have deteriorated in respect of those specific item audits being granted a back credit;

   (d) the specific item audit being granted a back credit should be audited not later than 12 months after the last audit of the item.

5. When performing the oversight of organizations that hold both M.A. Subpart F and M.Subpart G approvals, the CAASL should arrange the audits to cover both approvals avoiding duplicated visit of a particular area.

11.1.12
M.B.605 FINDINGS

(a) When during audits or by other means evidence is found showing non-compliance to the IS-M requirement, the CAASL shall take the following actions:

1. For level 1 findings, immediate action shall be taken by the CAASL to revoke, limit or suspend in whole or in part, depending upon the extent of the level 1 finding, the maintenance organization approval, until successful corrective action has been taken by the organization.

2. For level 2 findings, the CAASL shall grant a corrective action period appropriate to the nature of the finding that shall not be more than three months. In certain circumstances, at the end of this first period and subject to the nature of the finding, the CAASL can extend the three month period subject to a satisfactory corrective action plan.

(b) Action shall be taken by the CAASL to suspend in whole or part the approval in case of failure to comply within the timescale granted by the CAASL.

11.1.12.1
AMC M.B.605(A) 1

For a level 1 finding it may be necessary for the CAASL to ensure that further maintenance and re-certification of all affected products is accomplished, dependent upon the nature of the finding.

11.1.13
M.B.606 CHANGES

(a) The CAASL shall comply with the applicable elements of the initial approval for any change to the organization notified in accordance with point M.617.

(b) The CAASL may prescribe the conditions under which the approved maintenance organization may operate during such changes, unless it determines that the approval should be suspended due to the nature or the extent of the changes.

(c) For any change to the maintenance organization *exposition*:

1. In the case of direct approval of changes in accordance with point M.604(b), the CAASL shall verify that the procedures specified in the *exposition* are in compliance with IS-M before formally notifying the approved organization of the approval.

2. In the case an indirect approval procedure is used for the approval of the changes in accordance with point M.604(c), the CAASL shall ensure

   (i) that the changes remain minor and

   (ii) that it has an adequate control over the approval of the changes to ensure they remain in compliance with the requirements of this IS-M.

11.1.13.1
AMC M.B.606 CHANGES

1. Changes in nominated persons

   The CAASL should have adequate control over any changes to personnel specified in M.606 (a) and (b). Such changes will require an amendment to the manual.

2. It is recommended that a simple manual status sheet is maintained which contains information on when an amendment was received by the CAASL and when it was approved.

3. The CAASL should define the minor amendments to the manual which may be incorporated through indirect approval. In this case a procedure should be stated in the amendment section of the maintenance organization manual.

   Changes notified in accordance with M.617 are not considered minor.

   For all cases other than minor, the applicable part(s) of the Form 6F should be used for the change.

4. The approved maintenance organization should submit each manual amendment to the CAASL whether it be an amendment for CAASL approval or an indirectly approved amendment. Where the amendment requires CAASL approval, the CAASL when satisfied, should indicate its approval in writing. Where the amendment has been submitted under the indirect approval procedure the CAASL should acknowledge receipt in writing.

11.1.14
M.B.607 REVOCATION, SUSPENSION AND LIMITATION OF AN APPROVAL

The CAASL shall:

(a) suspend an approval on reasonable grounds in the case of potential safety threat, or;

(b) suspend, revoke or limit an approval pursuant to M.B.605.

SUBPART G - CONTINUING AIRWORTHINESS MANAGEMENT ORGANIZATION

11.1.15
M.B.701 APPLICATION

(a) For commercial air transport the CAASL shall receive for approval with the initial application for the air operator's certificate and where applicable any variation applied for and for each aircraft type to be operated:

1. the continuing airworthiness management exposition;

2. the operator's aircraft maintenance programmes;

3. the aircraft technical log;

4. where appropriate the technical specification of the maintenance contracts between the operator and IS -145 approved maintenance organization.

(b) *Reserved*

11.1.15.1
AMC M.B.701 (A) APPLICATION

1. The CAASL should not expect the documents listed in M.B.701 (a) to be submitted in a completed state with the initial application for grant or change since each may require approval in its own right and may be subject to amendment as a result of CAASL assessment during the technical investigations. Draft documents should be submitted at the earliest opportunity so that investigation of the application can begin. Grant or change cannot be achieved until the CAASL is in possession of completed documents.

2. This information is required to enable the CAASL to conduct its investigation, to assess the volume of maintenance work necessary and the locations at which it will be accomplished.

3. The applicant should inform the CAASL where base and scheduled line maintenance is to take place and give details of any contracted maintenance which is in addition to that provided in response to M.201 (h) 2 or M.708 (c).

4. At the time of application, the operator should have arrangements for all base and scheduled line maintenance in place for an appropriate period of time, as accepted to the CAASL. The operator should establish further arrangements in due course before the maintenance is due.

   Base maintenance contracts for high-life time checks may be based on one time contracts, when the CAASL considers that this is compatible with the operator’s fleet size

11.1.16

M.B.702 INITIAL APPROVAL

(a) Provided the requirements of M.706(a), (c), (d) and M.707 are complied with, the CAASL shall formally indicate its acceptance of the M.706(a), (c), (d) and M.707 personnel to the applicant in writing.

(b) The CAASL shall establish that the procedures specified in the continuing airworthiness management exposition comply with IS-M.Subpart G and ensure the accountable manager signs the commitment statement.

(c) The CAASL shall verify the organization's compliance with M.Subpart G requirements.

(d) A meeting with the accountable manager shall be convened at least once during the investigation for approval to ensure that he/she fully understands the significance of the approval and the reason for signing the exposition commitment of the organization to compliance with the procedures specified in the continuing airworthiness management exposition.

(e) All findings shall be confirmed in writing to the applicant organization.

(f) The CAASL shall record all findings, closure actions (actions required to close a finding) and recommendations.

(g) For initial approval all findings shall be corrected by the organization and closed by the CAASL before the approval can be issued.

11.1.16.1
AMC M.B.702 (A) INITIAL APPROVAL (SEE APPENDICES TO IS-M - APPENDIX VII TO AMC M.B.702(F))

1. 'Formally indicate in writing' means that an CAASL Form 4 should be used for this activity. With the exception of the accountable manager, an CAASL Form 4 should be completed for each person nominated to hold a position required by M.706 (c) (d) and M.707.

2. In the case of the accountable manager, approval of the continuing airworthiness management exposition containing the accountable manager's signed commitment statement constitutes formal acceptance, once the CAASL has held a meeting with the accountable manager and is satisfied with its results.

11.1.16.2
AMC M.B.702 (B) INITIAL APPROVAL

1. The CAASL should indicate approval of the continuing airworthiness management exposition in writing.

2. Contracts for sub-contracting continuing airworthiness management tasks by operators should be included in the continuing airworthiness organization exposition. The CAASL should verify that the standards set forth in AMC M.201 (h) 1 have been met when approving the exposition

3. The CAASL while investigating the acceptability of the proposed subcontracted continuing airworthiness management tasks arrangements will take into account, in the subcontracted organization, all other such contracts that are in place irrespective of state of registry in terms of sufficiency of resources, expertise, management structure, facilities and liaison between the contracting continuing airworthiness management organization, the subcontracted organization and where applicable contracted Part-145 maintenance organization(s).

11.1.16.3
AMC M.B.702 (C) INITIAL APPROVAL

1. The CAASL should determine by whom, and how the audit shall be conducted. For example, it will be necessary to determine whether one large team audit or a short series of small team audits or a long series of single man audits are most appropriate for the particular situation.

2. The audit may be carried out on a product line type basis. For example, in the case of an organization with Airbus A320 and Airbus A310 ratings, the audit is concentrated on one type only for a full compliance check. Depending upon the result, the second type may only require a sample check that should at least cover the activities identified as weak for the first type.

3. When determining the scope of the audit and which activities of the organization will be assessed during the audit, the privileges of the approved organization should be taken into account, e.g. approval to carry out airworthiness reviews.

4. The CAASL AW Inspector should always ensure that he/she is accompanied throughout the audit by a senior technical member of the organization. Normally this is the quality manager. The reason for being accompanied is to ensure the organization is fully aware of any findings during the audit.

5. The AW Inspector should inform the senior technical member of the organization at the end of the audit visit on all findings made during the audit.

11.1.16.4
AMC M.B.702 (E) INITIAL APPROVAL

1. Findings should be recorded on an audit report form with a provisional categorisation as a level 1 or 2. Subsequent to the audit visit that identified the particular findings, the CAASL should review the provisional finding levels, adjusting them if necessary and change the categorisation from ‘provisional’ to ‘confirmed’.

2. All findings should be confirmed in writing to the applicant organization within 2 weeks of the audit visit.

3. There may be occasions when the CAASL finds situations in the applicant's organization on which it is unsure about compliance. In this case, the organization should be informed about possible non-compliance at the time and the fact that the situation will be reviewed within the CAASL before a decision is made. If the review concludes that there is no finding then a verbal confirmation to the organization will suffice.

11.1.16.5
AMC M.B.702 (F) INITIAL APPROVAL (SEE APPENDICES TO IS-M - APPENDIX VII TO AMC M.B.702(F))

1. The audit report form should be the Form 13 (appendix VII).
2. A quality review of the Form 13 audit report should be carried out by a competent independent person nominated by the CAASL. The review should take into account the relevant paragraphs of M.Subpart G, the categorisation of finding levels and the closure action taken. Satisfactory review of the audit form should be indicated by a signature on the Form 13.

11.1.16.6
AMC M.B.702 (G) INITIAL APPROVAL

The audit reports should include the date each finding was cleared together with reference to the CAASL report or letter that confirmed the clearance.

11.1.17
M.B.703 ISSUE OF APPROVAL

(a) The CAASL shall issue to the applicant a Form 14 approval certificate (Appendix VI) which includes the extent of approval, when the continuing airworthiness management organization is in compliance with M.A. Subpart G.

(b) The CAASL shall indicate the validity of the approval on the Form 14 approval certificate.

(c) The reference number shall be included on the Form 14 approval certificate in a manner specified by the CAASL.

(d) In the case of commercial air transport, the information contained on a Form 14 will be included on the air operator's certificate.

11.1.17.1
AMC M.B.703 ISSUE OF APPROVAL

The table shown for the Approval Schedule in Form 14 includes a field designated as “Aircraft type/series/group”

The intention is to give maximum flexibility to the CAASL to customize the approval to a particular organization.

Possible alternatives to be included in this field are the following:

- A specific type designation that is part of a type certificate, such as Airbus 340-211 or Cessna 172R.
- A type rating (or series) as listed in Part-66 Appendix I to AMC, which may be further subdivided, such as Boeing 737-600/700/800, Boeing 737-600, Cessna 172 Series.

- An aircraft group such as, for example, ‘all sailplanes and powered sailplanes’ or Cessna single piston engined aircraft or ‘Group 3 aircraft’ (as defined in 66.A.5) or ‘aircraft below 2 730 kg MTOM’.

Reference to the engine type installed in the aircraft may or may not be included, as necessary.

It is important to note that the scope of work defined in CAASL Form 14 is further limited to the one defined in the Continuing Airworthiness Management Exposition (CAME). It is this scope of work in the CAME which ultimately defines the approval of the organization. As a consequence, it is possible for a CAASL to endorse on CAASL Form 14, for example, a scope of work for Group 3 aircraft while the detailed scope of work defined in the CAME does not include all Group 3 aircraft.

Nevertheless, in all cases, the CAASL should be satisfied that the organization has the capability to manage the requested types/groups/series endorsed on the CAASL Form 14.

Since the activities linked to continuing airworthiness management are mainly processoriented rather than facility/tooling-oriented, changes to the detailed scope of work defined in the CAME (either directly or through a capability list), within the limits already included on CAASL Form 14, may be considered as not affecting the approval and not subject to M.713. As a consequence, for these changes the CAASL may allow the use by the M.Subpart G organization of the indirect approval procedure defined in M.704(c).

In the example mentioned above, before endorsing the Group 3 on CAASL Form 14 for the first time, the CAASL should make sure that the organization is capable of managing this category of aircraft as a whole. In particular, the CAASL should ensure that Baseline/Generic Maintenance Programmes (see M.709) or individual maintenance programmes (for contracted customers) are available for all the aircraft, which are intended to be initially included in the scope of work detailed in the CAME. Later on, if changes need to be introduced in the detailed scope of work detailed in the CAME to include new aircraft types (within Group 3), this may be done by the M.Subpart G organization through the use of the indirect approval procedure.

Since, as mentioned above, the CAASL should make sure that the organization is capable of managing the requested category as a whole, it is not reasonable to grant a full Group 3 approval based on an intended scope of work, which is limited to, for example, a Cessna 172 aircraft. However, it may be reasonable to grant such full Group 3 approval, after showing appropriate capability, for an intended scope of work covering several aircraft types or series of different complexity and which are representative of the full Group 3.

Special case for LA1 aircraft:

In order to promote standardisation, for this category of aircraft the following approach is recommended:

— Possible ratings to be endorsed on CAASL Form 14:

• LA1 sailplanes;
• LA1 powered sailplanes and LA1 aeroplanes;
• LA1 balloons;
• LA1 airships.

— Before endorsing any of those ratings (for example, LA1 sailplanes) on CAASL Form 14, the CAASL should audit that the organization is capable of managing at least one aircraft type (for example, one type of sailplanes within the LA1 category), including the availability of the necessary facilities, data, maintenance programmes, and staff.

— It is acceptable that the detailed scope of work in the CAME contains the same ratings endorsed on CAASL Form 14 (for example, LA1 sailplanes), without a need to further limit them. However, the CAMO will only be able to manage a certain aircraft type when all the necessary facilities, data, maintenance programmes and staff are available.

11.1.17.2
AMC M.B.703 (A) *RESERVED*

11.1.17.3
AMC M.B.703 (C) ISSUE OF APPROVAL

The numeric sequence should be unique to the particular M.Subpart G Continuing Airworthiness Management Organization.

11.1.18
M.B.704 CONTINUING OVERSIGHT

(a) The CAASL shall keep and update a program listing for each M.Subpart G approved continuing airworthiness organizations under its supervision, the dates when audit visits are due and when such visits were carried out.

(b) Each organization shall be completely audited at periods not *exceeding the period defined by CAASL.*

(c) A relevant sample of the aircraft managed by the M.B. Subpart G approved organization shall be surveyed in every period *defined by CAASL*. The size of the sample will be decided by the CAASL based on the result of prior audits and earlier product surveys.

(d) All findings shall be confirmed in writing to the applicant organization.

(e) The CAASL shall record all findings, closure actions (actions required to close a finding) and recommendations.

(f) A meeting with the accountable manager shall be convened at least once every period *defined by CAASL* to ensure he/she remains informed of significant issues arising during audits.

11.1.18.1
AMC M.B.704 (B) CONTINUING OVERSIGHT

1. Where the CAASL has decided that a series of audit visits are necessary to arrive at a complete audit of an approved continuing airworthiness management organization, the program should indicate which aspects of the approval will be covered on each visit.

2. It is recommended that part of an audit concentrates on two ongoing aspects of the M.Subpart G approval, namely the organizations internal self monitoring quality reports produced by the quality monitoring personnel to determine if the organization is identifying and correcting its problems and secondly the number of concessions granted by the quality manager.

3. At the successful conclusion of the audit(s) including verification of the exposition, an audit report form should be completed by the auditing surveyor including all recorded findings, closure actions and recommendation. A Form 13 should be used for this activity.

4. Credit may be claimed by the CAASL Inspector(s) for specific item audits completed during the preceding period *defined by CAASL* subject to four conditions:

   a. the specific item audit should be the same as that required by M.Subpart G latest amendment, and

   b. there should be satisfactory evidence on record that such specific item audits were carried out and that all corrective actions have been taken, and

   c. the CAASL Inspector(s) should be satisfied that there is no reason to believe standards have deteriorated in respect of those specific item audits being granted a back credit;

   d. the specific item audit being granted a back credit should be audited not later than the period *defined by CAASL* after the last audit of the item.

5. When an operator sub-contracts continuing airworthiness management tasks all sub-contracted organizations should also be audited by the CAASL at periods not exceeding the period *defined by CAASL* (credits per paragraph 4 above are permitted) to ensure they fully comply with M.Subpart G. For these audits, the CAASL auditing Inspector should always ensure that he/she is accompanied throughout the audit by a senior technical member of the operator. All findings should be sent to and corrected by the operator.

6. When performing the oversight of organizations that hold both M.Subpart F and M.Subpart G approvals, the CAASL should arrange the audits to cover both approvals avoiding duplicated visit of a particular area.

11.1.19
M.B.705 FINDINGS

(a) When during audits or by other means evidence is found showing non-compliance to the IS-M requirement, the CAASL shall take the following actions:

1. For level 1 findings, immediate action shall be taken by the CAASL to revoke, limit or suspend in whole or in part, depending upon the extent of the level 1 finding, the continuing airworthiness management organization approval, until successful corrective action has been taken by the organization.

2. For level 2 findings, the CAASL shall grant a corrective action period appropriate to the nature of the finding that shall not be more than three months. In certain circumstances, at the end of this first period, and subject to the nature of the finding the CAASL can extend the three month period subject to a satisfactory corrective action plan.

(b) Action shall be taken by the CAASL to suspend in whole or part the approval in case of failure to comply within the timescale granted by the CAASL.

11.1.19.1
AMC M.B.705 (A) 1

1. For a level 1 finding the CAASL should inform the *owner/operator* of any potentially affected aircraft in order that corrective action can be taken to ensure possible unsafe conditions on these aircraft are corrected before further flight.

2. Furthermore, a level 1 finding could lead to a non compliance to be found on an aircraft as specified in M.B. 303 (g). In this case, proper action as specified in M.B.303 (h) would be taken.

11.1.20
M.B.706 CHANGES

(a) The CAASL shall comply with the applicable elements of the initial approval for any change to the organization notified in accordance with point M.713.

(b) The CAASL may prescribe the conditions under which the approved continuing airworthiness management organization may operate during such changes unless it determines that the approval should be suspended due to the nature or the extent of the changes.

(c) For any change to the continuing airworthiness management exposition:

1. In the case of direct approval of changes in accordance with M.704(b), the CAASL shall verify that the procedures specified in the exposition are in compliance with this IS-M before formally notifying the approved organization of the approval.

2. In the case an indirect approval procedure is used for the approval of the changes in accordance with point M.704(c), the CAASL shall ensure:

(i) that the changes remain minor and

(ii) that it has an adequate control over the approval of the changes to ensure they remain in compliance with the requirements of this IS-M.

11.1.20.1
AMC M.B.706 CHANGES

1. Changes in nominated persons. The CAASL should have adequate control over any changes to the personnel specified in M.706 (a), (c), (d) and (i). Such changes will require an amendment to the exposition.

2. It is recommended that a simple exposition status sheet is maintained which contains information on when an amendment was received by the CAASL and when it was approved.

3. The CAASL should define the minor amendments to the exposition which may be incorporated through indirect approval. In this case a procedure should be stated in the amendment section of the approved continuing airworthiness management exposition.

   Changes notified in accordance with M.713 are not considered minor. For all cases other than minor, the applicable part(s) of the CAASL Form 13 should be used for the change.

4. The approved continuing airworthiness management organization should submit each exposition amendment to the CAASL whether it be an amendment for CAASL approval or an indirectly approved amendment. Where the amendment requires CAASL approval, the CAASL when satisfied, should indicate its approval in writing. Where the amendment has been submitted under the indirect approval procedure the CAASL should acknowledge receipt in writing.

11.1.21
M.B.707 REVOCATION, SUSPENSION AND LIMITATION OF AN APPROVAL

The CAASL shall:

(a) suspend an approval on reasonable grounds in the case of potential safety threat, or;

(b) suspend, revoke or limit an approval pursuant to M.B.705.

SUBPART H - CERTIFICATE OF RELEASE TO SERVICE - CRS

(TO BE DEVELOPED AS APPROPRIATE)

SUBPART I - AIRWORTHINESS REVIEW CERTIFICATE

11.1.22
M.B.901 ASSESSMENT OF RECOMMENDATIONS

Upon receipt of an application and associated airworthiness review certificate recommendation in accordance with M.901:

1. Appropriate qualified personnel from the CAASL shall verify that the compliance statement contained in the recommendation demonstrates that a complete M.710 airworthiness review has been carried out.

2. The CAASL shall investigate and may request further information to support the assessment of the recommendation.

11.1.22.1
AMC M.B.901 ASSESSMENT OF RECOMMENDATIONS

1. The result of the verification and the investigation of a recommendation should be sent to the applicant within 30 days. If corrective action has been requested before the issuance of an airworthiness review certificate, the CAASL may decide a further period for the assessment of the requested corrective action.

2. The verification of the compliance statement required by M.B.901 does not mean repeating the airworthiness review itself. However the CAASL should verify that the M.Subpart G organization has carried out a complete and accurate assessment of the airworthiness of the aircraft.

3. Depending on the content of the recommendation, the history of the particular aircraft, and the knowledge of the M.Subpart G organization or M.901(g) certifying staff making the recommendation in terms of experience, number and correction of findings and previous recommendations the extent of the investigation will vary. Therefore, whenever possible the person carrying out the investigation should be involved in the oversight of the M.Subpart G organization making the recommendation.

4. In some cases, the inspector may decide that it is necessary to organise:

    - a physical survey of the aircraft, or;
    - a full or partial airworthiness review.

    In this case, the inspector should inform the M.Subpart G organization or M.901(g) certifying staff making the recommendation with sufficient notice so that it may organise itself according to M.901 (j).

    Furthermore, this part of the investigation should be carried out by appropriate airworthiness review staff in accordance with M.B.902(b).

4. Only when satisfied the aircraft is airworthy, should the inspector issue an airworthiness review certificate

11.1.23

M.B.902 AIRWORTHINESS REVIEW BY THE CAASL

(a) When the CAASL carries out the airworthiness review and issues the airworthiness review certificate Form 15a (Appendix III), the CAASL shall carry out an airworthiness review in accordance with point M.710.

(b) The CAASL shall have appropriate airworthiness review staff to carry out the airworthiness reviews.

1. For all aircraft used in commercial air transport, and aircraft above 2730 kg MTOM, except balloons, these staff shall have acquired:

   (a) at least five years experience in continuing airworthiness, and;

   (b) an appropriate licence in compliance with IS-66 or a nationally recognized maintenance personnel qualification appropriate to the aircraft category (when Part-66 refers to national rules) or an aeronautical degree or equivalent, and;

   (c) formal aeronautical maintenance training, and;

   (d) a position with appropriate responsibilities.

   Notwithstanding the points "a" to "d" above, the requirement laid down in point M.B.902(b)1b may be replaced by five years of experience in continuing airworthiness additional to those already required by point M.B.902(b)1a.

2. For aircraft not used in commercial air transport of 2730 kg MTOM and below, and balloons, these staff shall have acquired:

   (a) at least three years experience in continuing airworthiness, and;

   (b) an appropriate licence in compliance with IS-66 *or a nationally recognized maintenance personnel qualification appropriate to the aircraft category* or an aeronautical degree or equivalent, and;

   (c) appropriate aeronautical maintenance training, and;

   (d) a position with appropriate responsibilities.

   Notwithstanding the points "a" to "d" above, the requirement shown in point M.B.902(b)2b may be replaced by four years of experience in continuing airworthiness additional to those already required by point M.B.902(b)2a.

(c) The CAASL shall maintain a record of all airworthiness review staff, which shall include details of any appropriate qualification held together with a summary of relevant continuing airworthiness management experience and training.

(d) The CAASL shall have access to the applicable data as specified in points M.305, M.306 and M.401 in the performance of the airworthiness review.

(e) The staff that carries out the airworthiness review shall issue a Form 15a after satisfactory completion of the airworthiness review.

11.1.23.1
AMC M.B.902 (B) AIRWORTHINESS REVIEW BY THE CAASL

1. A person qualified in accordance with AMC M.B.102 (c) subparagraph 1.5 should be considered as holding the equivalent to an aeronautical degree.

2. "experience in continuing airworthiness" means any appropriate combination of experience in tasks related to aircraft maintenance and/or continuing airworthiness management (engineering) and/or surveillance of such tasks.

3. An appropriate licence in compliance with IS-66 is a category B or C licence in the subcategory of the aircraft reviewed. It is not necessary to satisfy the recent experience requirements of IS-66 at the time of the review or to hold the type rating on the particular aircraft.

4. To hold a position with appropriate responsibilities means the airworthiness review staff should have a position within the CAASL that authorises that person to sign on behalf that CAASL.

5. A person in the CAASL carrying out airworthiness reviews or airworthiness certificate renewal inspections in a Member State, prior to the date of entry into force of IS-M should be considered as complying with M.B.902(b).

11.1.23.2
AMC M.B.902(B)(1) AIRWORTHINESS REVIEW BY THE CAASL

For all aircraft used in commercial air transport and any other aircraft, other than balloons, above 2730 kg MTOM, formal aeronautical maintenance training means training (internal or external) supported by evidence on the following subjects:

- Relevant parts of continuing airworthiness regulations.
- Relevant parts of operational requirements and procedures, if applicable.
- Knowledge of the internal procedures for continuing airworthiness.
- Knowledge of a relevant sample of the type(s) of aircraft gained through a formalised training course. These courses should be at least at a level equivalent to Part-66 Appendix III Level 1 General Familiarisation.

"Relevant sample" means that these courses should cover typical systems embodied in those aircraft being within the scope of approval.

11.1.23.3
AMC M.B.902(B)(2) AIRWORTHINESS REVIEW BY THE CAASL

For all balloons and any other aircraft of 2730 Kg MTOM and below, not used in commercial air transport, appropriate aeronautical maintenance training means demonstrated knowledge of the following subjects:

- Relevant parts of continuing airworthiness regulations.
- Relevant parts of operational requirements and procedures, if applicable.
- Knowledge of the internal procedures for continuing airworthiness.
- Knowledge of a relevant sample of the type(s) of aircraft gained through training and/or work experience. Such knowledge should be at least at a level equivalent to IS-66 Appendix III Level 1 General Familiarization.

“Relevant sample” means that these courses should cover typical systems embodied in those aircraft being within the scope of approval.

This knowledge may be demonstrated by documented evidence or by an assessment performed by the CAASL. This assessment should be recorded.

11.1.23.4
AMC M.B.902 (C) AIRWORTHINESS REVIEW BY THE CAASL

The minimum content of the airworthiness review staff record should be:

- Name,
- Date of Birth,
- Basic Education,
- Experience,
- Aeronautical Degree and/or part-66-qualification,
- Initial Training received,
- Type Training received,
- Continuation Training received,
- Experience in continuing airworthiness and within the organization,
- Responsibilities of current job.

11.1.24

M.B.903 FINDINGS

If during aircraft survey or by other means evidence is found showing non-compliance to a IS-M requirement, the CAASL shall take the following actions:

1. for level 1 findings, the CAASL shall require appropriate corrective action to be taken before further flight and immediate action shall be taken by the CAASL to revoke or suspend the airworthiness review certificate.
2. for level 2 findings, the corrective action required by the CAASL shall be appropriate to the nature of the finding.

11.2 MAINTENANCE CONTRACTS REVIEW GUIDANCE

11.2.1 OBJECTIVE

To identify the requirements that need to be fulfilled to comply with CAA SL, IS-M needs, in maintenance, repair and overhaul contracts entered into by local Operators.

11.2.2 DEFINITION

Where an Operator is not approved under IS Part 145 or an Operator's maintenance organization is an independent organization; a contract should be executed between the Operator and a maintenance organization approved under IS Part 145 which amongst others specifies the work to be performed by the maintenance organization.

11.2.3 APPLICABILITY

All commercial transport Operators

11.2.4 REFERENCES

IS-M, MA 708 (c),CAA/AW/CL/23

11.2.5 GENERAL

11.2.5.1 Operators enter in to maintenance, overhaul and repair contracts on regular basis with approved service providers, to support its Line, Base and Shop maintenance and Overhaul needs, when in house support or capability is not available.

11.2.5.2 In addition to contractual legal, commercial, warranty and performance standards spelt out in MRO contracts, it is necessary that the contract also address technical aspects arising from regulatory needs, such as IS-M. These aspects may be directly addressed within the MRO contract or may be addressed in an interface procedure document, referred to in the MRO contract

11.2.5.3 Basically the maintenance agreement that has been executed with the external organization for performance of maintenance functions shall specify all maintenance requirements and define all tasks to be performed. In addition it shall also ensure it complies with the procedures governing maintenance arrangement as specified in the approved CAME.

11.2.5.4 A clear, unambiguous and sufficiently detailed specification of work and assignment of responsibilities ensures that no misunderstanding can arise between the parties concerned (Operator contracted maintenance organization and the state of Registry/Authority) that could result in a situation where work that has a bearing on the airworthiness or serviceability of aircraft is not, or will not, be properly performed.

11.2.5.5 Special attention is typically paid to procedures and responsibilities to ensure that all maintenance work is performed, service bulletins are analyzed and decisions taken on accomplishment. Airworthiness directives are completed on time and all work, including non-mandatory modifications, are carried out in accordance with approved data and to the latest standards,

11.2.5.6 In addition to the above, the maintenance agreement shall specify either in the main agreement or in a service level agreement or in an equivalent document about measurable maintenance safety and quality standards that are required to be fulfilled by the respective external maintenance organization.

11.2.5.7 The following outsourced maintenance activity related contracts will require elaboration of how the technical requirements specified therein is taken care of, either within the associated contract document or within an interface procedures document

11.2.5.8 The contracted organization audit by CAASL will commence only subject to the completion of the contract and satisfactory steps in place to address and identify responsibility for compliance with technical and regulatory aspects related to such outsourced maintenance:

11.2.5.9 A Maintenance Agreement typically includes but is not necessarily limited to;

- approval process by the Operator and where applicable the Operator's Authority;
- A list of facilities where the maintenance is to be carried out, including a list of satellite facilities that the contractor may use;
- A 'Statement of Work' (SOW) for the Maintenance Agreement that contain the detailed technical requirements, including references to maintenance intervals, manuals, Airworthiness Directives (ADs), Service Bulletins (SBs) and Operator special requirements;
- A requirement for the Contractor to produce suitable quality plan for the project;
- Use and control of parts and materials:
- Process for the approval of deviations from maintenance documents or reference to MOE section applicable;
- A need for an internal evaluation system by the Contractor;
- Access by the Operator's quality assurance department staff for the purpose of evaluating ongoing quality;
- A reporting structure that immediately notifies the Operator and CAASL of any significant defects, occurrences;
- A system of completing, reviewing, retaining maintenance records;
- A system of Operator supplied parts management ;
- A system of inspecting and testing, ie. a quality control system;
- A system of handling unsatisfactory products or reference to MOE SECTION applicable ;
- A system of handling, storage, packaging and delivery;

- A system of product identification and traceability or reference to MOE SECTION applicable;
- A system of training by the Contractor of its staff as well as a system of training the Contractor by the Operator, of its procedures;
- A system of Release to Service of an aircraft or component or reference to MOE SECTION applicable;
- A system for communication between the Operator and the Contractor;
- A Service Level Agreement (SLA) that includes clear Key Performance Indicators as 'agreed between the Operator and the Contractor for the assessment of achievement of ongoing quality levels (the definition of the specific indicators depends on the policy of the Operator) ;
- A system of periodic review meetings, to include some or all of below;

  - Contract Review Meeting
  - Work scope Planning Meeting
  - Technical Meeting (ADs/SB/CNs)
  - Commercial and/or Logistics Meeting
  - Quality Meeting
  - Reliability Meeting

11.2.6 PROCEDURE

11.2.6.1 Upon submission by the CAM of CAMO, the draft Maintenance Agreement should be reviewed by the assigned CAASL AWS inspector.

11.2.6.2 CAASL AWS CAA/AW/CL/23 will be completed by the inspector in reviewing each Maintenance Agreement.

11.2.6.3 General Guidance in 11.2.5 as applicable will be used in determining the adequacy of the maintenance agreement from CAASL requirements.

11.2.6.4 Detailed guidance is available in 11.2.7 - Aircraft Maintenance (Base), 11.2.8 - Engine (Component Maintenance), 11.2.9 - Aircraft Line Maintenance.

11.2.6.5 Upon review by CAASL AWS inspector and adequate closure of requirements, the maintenance agreement checklist will be signed by AWS Inspector/ Senior Inspector and filed in CAMO file.

11.2.6.6 CAMO will be notified of review acceptance.

The following are some of the specific criteria that need to be looked in before executing any maintenance agreement / contracts.

11.2.7 AIRCRAFT MAINTENANCE (BASE)

- Scope of work to ensure capabilities of the contractor and possess approval rating.
- Locations - identified for the performance of maintenance and details of certificates held (at the location),
- The location; approval process for the Contractor by the Operator and Operators airworthiness authority, a statement that it is a precondition that a satisfactory audit may be a pre requisite despite contract commitments' for work to proceed.
- Safety/Quality Standards -Safety/Quality standards under which the work will be carried out and released to service.
- Subcontracting (conditions under which the organization may sub contract tasks) and specific approvals required from the Operator.
- Maintenance Program - Specify the program under which maintenance has to be performed, responsibility for ensuring compliance, with the maintenance program.
- Quality Monitoring - provision allowing Operator to perform quality surveillance and resulting remedial action.
- Competent Authority Involvement: define respective Competent Authority involvement.
- Airworthiness Data - Define responsibility for supply of data used and the approval responsibility.
- AD/SB/Modifications - Define responsibility for AD/SB review and compliance, embodiment decisions, end of check status feedback to Operator.
- Hours, & Cycles control - Define responsibility for hours and cycles control, and Communication means to maintenance organization.
- Life Limited parts - Define responsibility for the monitor and control.
- Scheduled maintenance - Support document needs.
- Unscheduled maintenance/Detect rectification- When reference needs to be made to the Operator.
- Notification to the Operator of significant defects.
- Deferred tasks - Procedures for defect deferral.
- Deviation from the maintenance schedule - Procedure to be followed.
- Test flight- requirements.
- Release to service documentation- Standards to be adopted and documents required.
- Maintenance recording- Records retention by the approved organization.
- Exchange, of information- Meetings -participation by parties in contract review, work scope planning, technical, quality, reliability review.
- Measurable performance criteria such as turn time guarantees', and remedies.
- Audit report required from contractor quality department.

11.2.8 ENGINE / COMPONENT MAINTENANCE:

- Scope of work -to be specific with reference to planning guides, engine management program, Component maintenance - Programs etc.
- Locations identified for the performance of maintenance and details of certificates held (at the location).
- Approval process for the Contractor by the Operator and Operators airworthiness authority
- Safety/Quality standards -Safety/Quality standards under which the work will be carried out and released to service.
- Subcontracting - (conditions under which the organization may sub contract tasks) and specific approvals required from the Operator.
- Maintenance program - Specify the program under which maintenance has to be performed i.e. WSPG, EMP, and responsibility for ensuring compliance with the maintenance program.
- Quality Monitoring - provision allowing Operator to perform quality surveillance and resulting remedial action.
- Competent Authority involvement- define respective competent authority involvement.
- Airworthiness Data - Define data used and the supply and approval responsibility.
- AD/SB/Modifications - Define responsibility for AD/SB review and compliance, embodiment decisions and end of input status feedback to Operator.
- Hours & Cycles control- Define responsibility for hours and cycles control, and communication means to maintenance organization.
- Life limited parts - Define responsibility for life monitor and control and information feedback to the Operator, traceability information requirements back to birth.
- Supply of parts - Supply responsibility & installation responsibility, specific limitations such as PMA or DER usage, documentation requirements.
- Unscheduled maintenance/Defect rectification- When reference needs to be made to the Operator before proceeding, notification to the Operator of significant defects.
- Deferred tasks - Procedures for defect deferral.
- Deviation from the work scope - Procedure to be followed.
- Test cell / Test bench- requirements for pass off EGT margins, performance limits etc.
- Release to service documentation- Standards to be adopted and documents required.
- Maintenance recording- Record retention by the approved organization.
- Exchange of information- Meetings - participation by parties in contract review, work scope planning, technical, quality, reliability review.
- Service level parameters such as turnaround time, AOG support time lines, on the time service performance measurements.
- Audit report requirement from Contractor quality department.

11.2.9 AIRCRAFT LINE MAINTENANCE

- Scope of work - Specific activities to be undertaken.
- Locations - identified for the performance of maintenance and certificates held (at the location).
- Safety/Quality Standards, Safety/Quality standards under which the work will be carried out and released to service.
- Subcontracting - Conditions under which the organization may sub contract tasks.
- Quality Monitoring- Auditing by the Operator or Operators airworthiness authority.
- Airworthiness Data - Define data used and the supply & approval responsibility.
- Supply of parts - Supply and storage responsibility, inspection responsibility prior to use.
- Unscheduled maintenance/Defect rectification - When reference needs to be made to the Operator before proceeding.
- Deferred tasks- Procedures for defect deferral.
- Exchange of information -Meetings participation by both parties in contract review, technical, quality, reliability review.
- Audit report requirement from Contractor quality department.

11.3 AIRCRAFT MAINTENANCE PROGRAMME APPROVAL PROCEDURE

11.3.1 PURPOSE

This procedure provides guidance for the airworthiness inspector for the approval of aircraft maintenance programmes and/or reliability programmes.

11.3.2 LEGISLATION

Applicable Legislations

Origin	Legislation
Act 14/2010	
ICAO	Annex 6 Chapter 8.3, Annex 8 Part 3 Chapter 10.3, Doc 9760 Vol Chapter 6.6
IS	IS-M

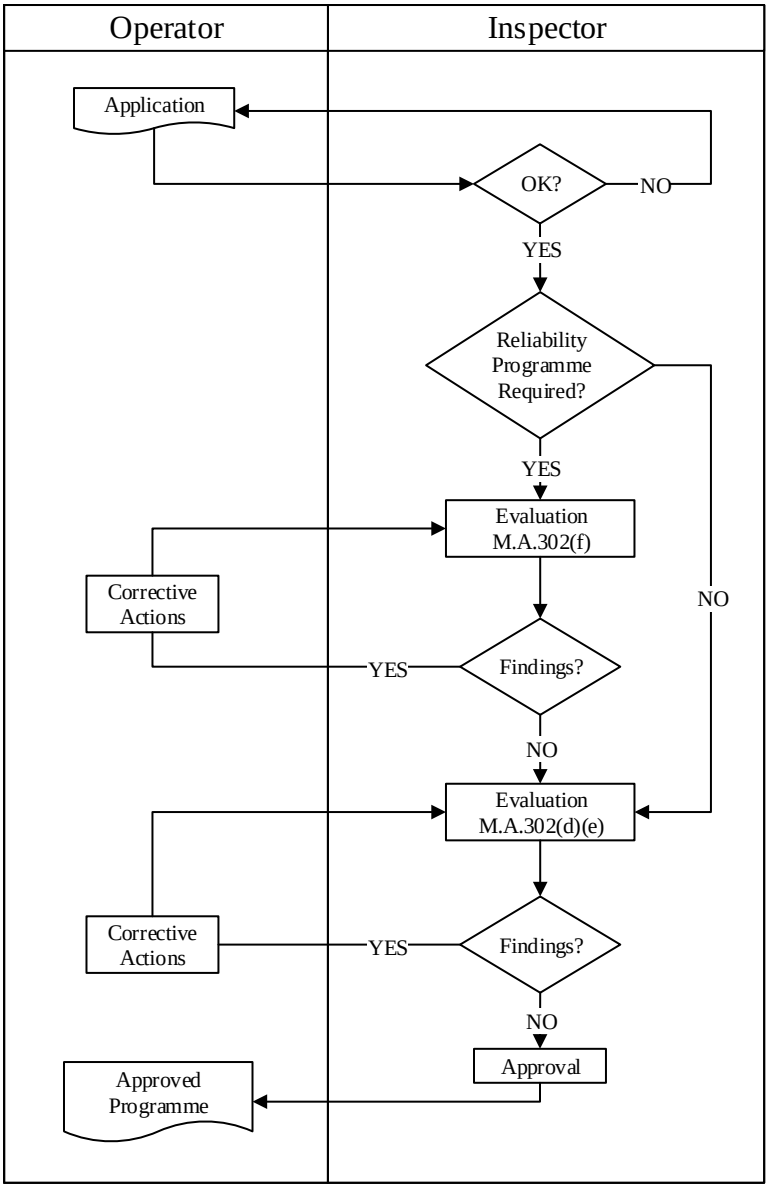
11.3.3 APPLICATION

Applications shall be made in accordance with the table below.

Application Type	Application Documents
Initial Approval	AMP (1 copy), Compliance Checklist, latest MPD, Fees
Amendment	AMP (2 copies), latest MPD, Compliance Checklist, Fees
Temporary Revision	TR (2 copies), Fees
Standalone Reliability Programme	Reliability Programme

Inspectors shall review the application package for completeness prior to technical review.

11.3.4 OVERVIEW



11.3.5 TECHNICAL EVALUATION – M.302(f) RELIABILITY PROGRAMMES

11.3.5.1 APPLICABILITY

Inspectors shall review the AMP for applicability of reliability programmes. IS-M.302(f) gives guidance on when a reliability programme should be developed. Additional care shall be made when reviewing reliability programmes of small fleets of aircraft. Appendix I to AMC M.302 gives guidance on small fleets and the use of engineering judgment.

11.3.5.2 RELIABILITY PROGRAMME CONTENTS

Reliability programmes shall comply with paragraph 6.5 of Appendix I to AMC M.302.

11.3.5.3 POOLING ARRANGEMENTS

If the operator uses a pooling arrangement for reliability, review the details and ensure compliance to paragraph 6.6 of Appendix I to AMC M.302

11.3.5.4 SUBMISSION OF RELIABILITY REPORTS

Reliability reports along with analysis of reliability data should be submitted to the CAA on a monthly basis. The report shall also include mitigating and corrective actions taken as a result of any adverse trend observed within the reliability trend.

11.3.6 TECHNICAL EVALUATION – M.302 (D)(E) INSTRUCTIONS FOR CONTINUED AIRWORTHINESS

The 'Schedule' of the AMP shall contain all details, including frequency, of all maintenance to be carried out, including any specific tasks linked to the type and the specificity of operations.

Inspectors shall compare the AMP to the instructions for continuing airworthiness issued by the (S)TC holder such as the MPD and Chapter 5 of the AMM. Areas such as major changes and major repairs shall be taken into consideration. In addition to the above, instructions by the CAA that are specific to Sri Lanka shall also be taken into consideration. Any discrepancy if found shall be communicated to the operator in writing and all such communication shall be recorded in the relevant file.

11.3.7 PERMITTED VARIATIONS

The procedure (if applicable) shall be reviewed considering the operator, type of the operation and the age of the airplane and power plant.

11.3.8 APPROVAL

Once the applicant has met the requirements of IS-M.302 inform the applicant in writing and ask for two identical copies of the last corrected version. Stamp all pages of both copies and hand over one copy to the operator and retain a copy of the AMP at Airworthiness publications.

11.3.9 INDIRECT APPROVAL

Indirect approvals not given to any Subpart G organizations at this stage.

11.3.10 AMENDMENTS AND TEMPORARY REVISIONS

The review procedure for amendment and TRs remain the same. It is important to take care when approving changes which escalate the current frequency. Applicants shall demonstrate reliability data to substantiate escalations. Further, the procedures for the escalation of check periods shall be clearly laid out.

Approval of TR is different from the approval of an issue or an amendment. Once the applicant has met all the requirements stamp on the TR itself to approve. Handover one copy of the TR to the operator and file the second copy in the corresponding AMP. Finally update the 'Temporary Revision List'.

11.3.11 CONTINUOUS MONITORING

The Reliability Programme sheds light on the effectiveness of the AMP. The monthly reliability reports received by the CAA shall be analysed for adverse trends and a report shall be submitted to the Director AWS. In addition to that, Airworthiness Inspector(s) shall attend to the reliability meetings periodically.

Airworthiness shall initiate further analysis and/or operational restrictions should the level of reliability fall below acceptable level. This should preferably be done in consultation with Flight Operations since many of the Special Approvals such as ETOPS and RVSM are affected by the reliability.

11.4 CAME REVIEW ASSESSMENT AND APPROVAL PROCEDURE

11.4.1 SCOPE

The purpose of the Continuing Airworthiness Management Exposition (CAME) compliance checklist (CAA/AW/CL/01) and user guide is to assist organizations wishing to obtain IS-M Subpart G approval (CAMO). This document is complementary to the requirements of Implementing Standard (IS) IS-M.

The checklist includes suggested subject headings and all the relevant information as detailed in M.A.704 and its AMC, the format of which may be modified to suit the organization preferred method. The checklist should show compliance by referring in the "CAME reference / comment" where the information in the CAME is located and explanation if not applicable.

This checklist, when completed, should be submitted with the CAME.

11.4.2 IMPORTANT WARNING

This user guide is designed to be used by CAASL to review and assess:

- IS-M Subpart G CAMO
- The user guide is provided for guidance only and should be customised by each organization to demonstrate how they comply with IS-M Subpart G. It is the responsibility of the organization to ensure compliance with the IS.

For each detailed procedure described within the CAME, the CAMO should address the following questions:
What must be done? Who should do it? When must it be done? Where must it be done? How must it be done? Which procedure(s)/form(s) should be used?
The CAME should be written in the English language.

11.4.3 EXPOSITION FORMAT

The CAME must be produced in hardcopy with section dividers.

11.4.4 STRUCTURE OF THE CONTINUING AIRWORTHINESS MANAGEMENT EXPOSITION

The CAME may be produced in the form of a single document or may consist of several separate documents.

- Single document: The standard CAME produced i.a.w. AMC M.A.704 is a unique and complete document. It must contain all the information required to show compliance with the regulation including detailed continuing airworthiness management procedures and detailed quality system procedures (see AMC M.A:704 and Appendix V to AMC M.A.704).

- Several documents: The CAME must contain at least the information as detailed in Appendix V to AMC M.A.704 Part 0.1 to 0.6 (General organization).

The additional material may be published in separate documents which must be referenced from the CAME. In this case:

- The CAME should cross refer to the associated procedures, documents, appendices and forms which are managed separately.
- These associated documents must meet the same requirements as described for the CAME.
- This/these associated document(s), procedure(s) and form(s) etc. must be provided to the CAASL, as part of the CAME.

For some organizations certain sections of the headings defined within AMC M.A:704 and Appendix V to AMC M.A.704 may be 'not applicable'. In this case they should be annotated as such within the CAME.

11.4.5 EXPOSITION PAGES PRESENTATION

Each page of the CAME should be identified as follows (this information may be added in the header or footer appropriately;

- the name of the organization (official name as defined on the CAASL Form 14 approval certificate)
- the issue number of the CAME
- the amendment/revision number of the CAME
- the date of the revision (amendment or issue depending on the way the organization has chosen to revise the CAME)
- the chapter of the CAME
- the page number
- the name of the document " Continuing Airworthiness Management Exposition"

At the beginning of the volume, the Cover page should specify:

- Continuing Airworthiness Management Exposition;
- The name of the organization (the official one defined on the CAASL Form 14 approval certificate)
- The approval reference of the CAMO
- The copy number from the distribution list

11.4.6 CORPORATE COMMITMENT BY ACCOUNTABLE MANGER

Prior to submission of the CAME to the CAASL for approval the Accountable Manager must sign and date the Corporate Commitment statement (General organization 0.1). This confirms that they have read the document and understand their responsibilities under the approval. In the case of change of Accountable Manager the new incumbent should sign the document and submit a suitable amendment to the CAASL for approval.

CAME Reference			
Organization Official Name			
Date			
Summited by		**Signature**	

11.5 PROCEDURE FOR THE CONDUCT OF A RAMP INSPECTION

11.5.1 INTRODUCTION

These are random inspections done on special days or times of operation or whenever there is a need of an Airworthiness Inspectors approval prior to release of an aircraft. They may also be carried out whenever information is received warranting such inspections.

Inspector to ensure that he/she possess a valid credential.

11.5.2 PROCEDURE

The Inspector shall clad in inspector uniform with displayed credential and wear a tabard at all times when performing duties in the apron. Ensure to take all necessary apparatus such as Torch, Note book, Checklist (FS-001), camera as required.

Introduce yourself to the PIC and inform of the intended inspection and the duration of the inspection, bearing in mind the scheduled departure time of the aircraft. (An aircraft delay due to ramp inspection is always to be avoided unless the inspection leads to finding that needs rectification prior to departure.)

Use FS-001 to conduct the ramp inspection in full or in part, based on inspectors discretion/ requirement to carry out the ramp inspection.

If there is any doubt/ disagreement of a finding contact D(AR&AW) immediately for advice. It is important to avoid arguments when the operator disagrees with the findings, any dispute need to be brought to the attention of the D(AR&AW), which could lead to a scheduled departure delay.

On completion of the inspection, complete the FS-001 and handover the original to the PIC / Engineer as applicable. The carbon copy has to be filed in ramp inspection file.

A soft copy of FS-001 has to be forwarded to D(AR&AW)/GMO for records. Findings will be notified to Quality Manager of the Airline by the D(AR&AW). In case of foreign air operators, GMO will notify the respective Civil Aviation Authorities with a covering letter of DGCA.

Monitor for corrective actions and once received, review it for the route cause and monitor until the finding is positively closed.

11.6 STANDARD PROCEDURE FOR MONITORING OF APPLICABILITY AND COMPLIANCE WITH THE REQUIREMENTS OF AIRWORTHINESS DIRECTIVES

11.6.1 INTRODUCTION

The objective of this procedure is to establish the general principles to be followed by Airworthiness Inspectors to monitor Airworthiness Directives in respect of aircraft registered in the Sri Lanka Civil Aircraft Register.

11.6.2 SCOPE OF PROCEDURE

This procedure describes how Airworthiness Section handles the process of monitoring AD's, in terms of applicability and accomplishment.
The primary guidance for this procedure is the applicable regulation, SLCAIS 094.

11.6.3 REFERENCES

The applicable references concerned with Airworthiness Directives is SLCAIS 094

11.6.4 RESOURCES

1. The number of staff must be appropriate to carry out the requirements as detailed in this procedure.
2. Airworthiness Inspector and his team involved in Monitoring ADs must have and be knowledgeable of :
    a. Basic knowledge on application of aviation safety standards
    b. Comprehensive knowledge of SLCAIS 094
    c. Procedures of Airworthiness Section
    d. The delegation of authority by DGCA
    e. Quality systems
    f. Continuing airworthiness management per SLCAIS 080
3. Adequate understanding on the aircraft by following a type training or by collecting adequate information from the aircraft type certificate holder
4. Experience gained, on the job training under a Senior Airworthiness Inspector.

11.6.5 STEPS FOR THE PROCESS OF MONITORING ADS

1. CAASL shall have access to State of Design Certification Authority AD's as applicable to aircraft in its civil aircraft registry
2. CAASL requires the aircraft owner/operator or his/her designated maintenance management organization to review all ADs issued by the State of Design Certification Authority as applicable to the respective aircraft model. SLCAIS 080 , subpart B elaborates the responsibilities and the process within a CAMO organization

3. CAASL Airworthiness Inspector shall verify the Operator method of receiving airworthiness directives during routine surveillance and during C of A grant / renewal process, and determine adequacy and safeguards in place to ensure all published AD's for a particular aircraft model are received, evaluated and assessed.
4. CAASL Airworthiness Inspector shall review competency of the responsible personnel of recording and determining the applicability of the ADs
5. On a periodic basis, generally from last C of A renewal to next C of A renewal, CAASL Airworthiness Inspector shall review the AD's issued during this period and operators management action in compliance with the requirements stipulated in the applicable AD's.
6. There shall be a certification statement provided by the operator's competent personnel responsible for continuing airworthiness management.

11.6.6 ENFORCEMENT ACTIONS FOR OVER DUE ADS

Unless prior exemption has been obtained, an overdue AD applicable to an aircraft invalidates the C of A. Airworthiness inspector shall report such discovery as soon as noted to DAW, who will report the finding to DGCA for necessary enforcement action .

SECTION TWO

CHAPTER 12 – EXTENDED DIVERSION TIME OPERATION OF AIRCRAFT (EDTO)

12.1 BACKGROUND AND OBJECTIVE

The material in this chapter provides guidance on the continuing airworthiness approval for extended diversion time operation (EDTO) aeroplanes with a maximum certificated take- off mass exceeding 5700 kg and powered by two turbine power- units.

EDTO Definition:

Extended Range Operation with Two Engine Aeroplanes (ETOPS); Operations conducted over a route containing a point further than one hour flying time at the normal one engine inoperative cruise speed (in still air) from an adequate airport.

12.2 APPROVAL PROCEDURE FOR THE EDTO

In considering application package received from an Operator, the assigned Inspector from CAASL Operations section will coordinate with CAASL Airworthiness section for application assessment with the requirement and the limitations.

Airworthiness section need to be guided by reference to SLCAIS 062 and FAA Advisory Circular 120-42, in its most recent published version.

The check list will be processed by AW, with verification of the submitted data, publications and manuals etc. In detail, guided by SLCAIS 062 and FAA advisory circular 120-42. Application package and Form.
An Audit need to be scheduled to ensure compliance with the regulation as indicated in the check list and Audit closure is essential for further processing of the application.

After audit closure Airworthiness section will complete the application package in the relevant areas of the checklist and application form , and forward the checklist and application form to Operations section for further processing , documents submitted related to airworthiness section will be stamped and filed under the Operator submitted EDTO documents records retained in the section

The charges for EDTO are specified under CAASL charges scheme and needs to be ensured as received before completing the recommendation

SECTION TWO

CHAPTER 13 – ALL WEATHER OPERATIONS / LOW VISIBILITY OPERATIONS

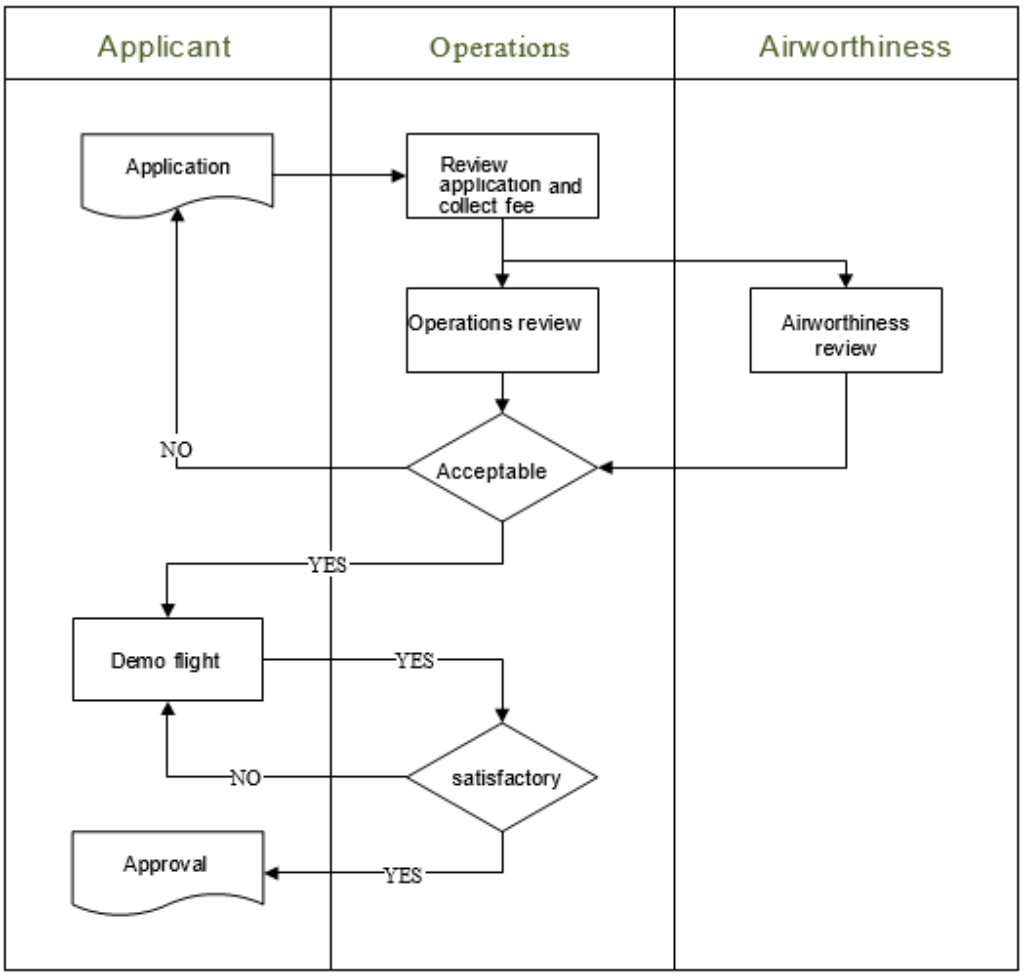
13.1 PURPOSE

This procedure gives guidance and instructions on how to review and approve Sri Lankan operators for All Weather Operations or Low Visibility Operations.

13.2 LEGISLATION

ICAO	Annex 6 Part 1 4.1, App5
IS	SLCAIS 013
Checklist	OPS Inspector Handbook Appendix B

13.3 OVERVIEW



13.4 APPLICATION

Applications form, (Refer Operations Inspector Hand book) must be filled for Operators applying to add AWOPS to their Operations Specifications. The approval process will be in collaboration with Airworthiness section. The fees must be taken along with the application.

13.5 OPERATIONAL REVIEW

All operational aspects of the application shall be checked by the Operations section. The following list gives the major areas that are reviewed by the Operations section:

1) Flight preparation and inflight procedures
2) Training programs for flight crew and ops control personnel.
3) Operations manual amendment/supplement.
4) Proving flight

13.6 AIRWORTHINESS REVIEW

All airworthiness and reliability aspects of the application must be checked by the Airworthiness section. Once Airworthiness has finished their review, the reviewing Inspector shall sign the application.

13.7 APPROVAL

Final approval is given by the Operations section after the checklist has been filled and application has been signed by both Airworthiness and Operations Inspectors. Approval process is completed when the all manuals have been approved and the Operations Specification of the applicant has been updated and filed.

13.8 SURVEILLANCE

Surveillance of approved AWOPS are carried in accordance with Flight Operations Inspector Handbook. Airworthiness section shall review reliability reports of operators to ensure that reliability of the auto-land system remains within acceptable range

13.9 AWOPS APPROVAL CHECKLIST

Operator Name	AOC no.

	Task	Status
a	Application reviewed and accepted	Yes ☐ No ☐ NA ☐
b	Section IV of application – operations satisfactory?	Yes ☐ No ☐ NA ☐
c	Operations manual amendment/supplement approved?	Yes ☐ No ☐ NA ☐
d	MEL/CDL reviewed and approved for AWOPS operations?	Yes ☐ No ☐ NA ☐
e	Training programs for pilots and Dispatchers acceptable?	Yes ☐ No ☐ NA ☐
f	Competent operational staff available?	Yes ☐ No ☐ NA ☐
g	Application reviewed and signed by airworthiness inspector?	Yes ☐ No ☐ NA ☐
h	AWOPS proving flight carried out?	Yes ☐ No ☐ NA ☐
i	Findings corrected?	Yes ☐ No ☐ NA ☐
j	Operations Specifications updated?	Yes ☐ No ☐ NA ☐
k	All documents filed?	Yes ☐ No ☐ NA ☐

OPS Inspector	AWS Inspector
Signature ___/___/_____ Date	Signature ___/___/_____ Date

SECTION TWO

CHAPTER 14 – APPROVAL PROCEDURE OF MINIMUM EQUIPMENT LIST (MEL)

14.1 PROCEDURE FOR APPROVAL

14.1.1 It is to be emphasised that the MEL is an Operator's document and not an AMO's document. All correspondence for the MEL approval should therefore be made by the operator.

14.1.2 The Operator is required to prepare the MEL based on the MMEL and shall submit the same to the Director Operations (D-OPS) through DGCA. D-OPS shall scrutinize the MEL and shall submit to DAW for Airworthiness Review with the MEL approval checklist, (refer Appendix-I to this procedure). DAW is to assign an AWS inspector for the review of MEL. The Inspector shall review the MEL based on the guidelines below and shall submit back to DAW with the signed MEL approval checklist, to forward to the Director Operations.

14.1.3 If there are discrepancies or concerns, the inspector is required to bring them to the notice of the Operator through DAW. All such correspondence shall be filed in the respective aircraft type MEL file.

14.1.4 The guidelines as given below for approval of MEL shall also be followed for approval of any revision/amendment to the MEL by the AWS inspectors.

14.2 GUIDELINES

14.2.1 The MEL is prepared based on the MMEL. It shall be ensured that the MMEL has all the latest revisions approved by FAA/EASA/ regulatory authority of the State of Design whose TC is accepted by DGCA. The first page of the MEL should indicate the Revision No. and date of the MMEL revision to which it has been updated. The MEL and its preamble should be customized keeping in view the operational specifications, configuration of the particular aircraft, modifications status, applicability of regulatory requirements etc.

14.2.2 The Preamble of the MEL document shall contain the requirement that the defect will be rectified within a time frame as defined for each category of defect/ un-serviceability.

14.2.3 The serviceability requirements for Operational Derived Equipment in the MMEL such as TCAS, GPWS, CVR, DFDR etc. should be included based on the relevant CAASL regulatory requirements. A list of such MEL items can be obtained from the Operator's Continuing Airworthiness Manager.

14.2.4 The applicant for MEL approval shall certify that the MEL has been prepared in consultation with Operators Continuing Airworthiness Manager.

14.2.5 It shall be ensured by the inspector reviewing the MEL that the MEL is not less restrictive than the MMEL.

a) Approval of Operating and Maintenance Procedures

i. Dispatch with inoperative items is often acceptable only with the creation of special operating or maintenance procedures.

ii. Where the MMEL indicates that this is the case, the operator must establish, publish and obtain approval for appropriate procedures.

iii. The Operator, when comparing the MEL against the MMEL must ensure that where the (O) or (M) symbols appear, an operating or maintenance procedure has been developed that provides clear direction to the crew members and maintenance personnel of the action to be taken. This procedure must be included in the MEL.

iv. Most manufacturers of large aircraft produce operating and maintenance procedures such as Dispatch Deviation Procedure Guides/ Dispatch Deviation Guides, for use by operators. While approving the MEL, the procedures against (M) and (O) items are also required to be approved. If the aircraft manufacturer has not published operating or maintenance procedures, the operator must develop appropriate procedures and submit them to DGCA for approval as part of the MEL approval process.

v. In case the manufacturer has provided a Dispatch Deviation Guide (DDG) for the type of aircraft, while approving the MEL, it shall be ensured that the DDG is customized to the specific aircraft configuration and MEL.

b) For items not included in the MMEL, but forming part of the MEL, due justification for the same shall be provided by the operator.

APPENDIX I

CIVIL AVIATION AUTHORITY OF SRI LANKA

CAA/OP/CL/065

AIR OPERATOR MEL EVALUATION CHECKLIST/REPORT

Date		Maintenance Rep	
Inspector (Operations)		Management Rep	
Inspector (Airworthiness)		Aircraft Registration#	
Location		PIC	
Destination		Other PEL	

For completion instructions, refer to Chapter 2 of the Operations or Airworthiness Inspector Manual.

Y = YES N = NO NS = NOT SEEN NA = NOT APPLICABLE

*Check **YES** column if you reviewed the record, procedure or event and have no comment*
*Check **NO** column if you reviewed the record, procedure or event and have a comment*
*Check **NOT SEEN** column if you did not review the record, procedure or event or you do have adequate information to make a valid comment*
*Check **NOT APPLICABLE** column if the line item is not required in this particular Operator*
Make notes regarding a NO answer for resolution

Y	N	NS	NA	1	OVERALL MANUAL PRESENTATION
				1.1	Bound in a secure form (not loose)?
				1.2	Exterior of binder clearly indicates manual content?
				1.3	Table of contents?
				1.4	Tabbed by ATA chapter?
				1.5	Revision Instructions adequate?
				1.6	List of effective pages provided and correct?
				1.7	Last applicable MMEL revision identified and latest?
				1.8	Preamble and instructions for use adequate?
Y	**N**	**NS**	**NA**	**2**	**INDIVIDUAL PAGE PRESENTATION**
				2.1	Page numbered?
				2.2	Last revision number/date?
				2.3	ATA chapter identified?
Y	**N**	**NS**	**NA**	**3**	**INDIVIDUAL ITEM PRESENTATION & CONTENT**

				3.1	Proper MMEL-MEL number comparison?
				3.2	Proper item title?
				3.3	No item relief other than that shown in MMEL is allowed?
				3.4	Aircraft for which item is applicable identified by R/N or S/N?
				3.5	Number of item installed correct?
				3.6	Aircraft with non-standard installation identified by R/N or S/N?
				3.7	Correct repair interval listed?
				3.8	Number required for dispatch conforms to MMEL?
				3.9	Placarding symbols provided in accordance with MMEL?
				3.10	(O) & (M) symbols provided in accordance with MMEL?
				3.11	Remarks correctly aligned with applicable “required” numbers?
				3.12	Wording of MEL remarks not less restrictive than MMEL (special attention to use of “or” & “and”?
				3.13	Configuration (# installed/required) allowed is in accordance with all Applicable regulations?
Y	**N**	**NS**	**NA**	**4**	**INDIVIDUAL (O) & (M) PROCEDURES**
				4.1	There is an ops procedure for every MMEL (O) reference?
				4.2	There is a maintenance procedure for every MMEL (M) reference?
				4.3	Procedures provided in accordance with manufacturers MEL dis- patch guide conform to the source references?
				4.4	Maintenance procedures taken from sources other than the Manufacturer’s dispatch guide are technically correct, meet all remarks and have the source cited?
				4.5	Operations procedures taken from sources other than the manufacturers MEL dispatch guide are technically correct, not a normal operating procedure and meet all remarks?
				4.6	No normal operating procedures are provided?
				4.7	All procedures apply to the “dispatch” of aircraft?
Y	**N**	**NS**	**NA**	**5**	**CDL EVALUATION**
				5.1	CDL properly tabbed in rear of MEL?
				5.2	CDL contents clearly identified?
				5.3	CDL items in accordance with current manufacturers guidance?
				5.4	Operator CDL is based on the latest revision of the manufacturer CDL

Date:	Inspector’s Signature: 1. OPS Inspector 2. AW Inspector

SECTION TWO

CHAPTER 15 – PROCEDURE FOR REVIEW OF LEASING AND/OR TRANSFER OF AIRCRAFT ENGAGED IN COMMERCIAL AIR TRANSPORT OPERATIONS

15.1 INTRODUCTION

The content of this procedure is intended to facilitate the leasing and/or transfer of aircraft in a safe and efficient manner. Historically there have been a number of difficulties associated with the transfer and leasing of aircraft, usually caused by

Differing national airworthiness standards
Differing national operational standards
Differing build standards
Nonstandard application of the above

15.2 DEFINITIONS

Lease	An agreement by a person (the lessor) to furnish an aircraft to another person (the lessee) to be used for compensation or hire purposes.
Lessor	The party furnishing the aircraft under a lease.
Lessee	The party using the aircraft under the provisions of a lease.
Dry Lease	A lease arrangement whereby a lessor provides an aircraft without crew to the lessee.
Wet Lease	A lease arrangement whereby a lessor provides an aircraft with crew to the lessee.
Damp Lease	A lease arrangement whereby a lessor provides an aircraft with partial crew to the lessee.
State of Registry	The State on whose register the aircraft is entered.
State of the Operator	The State where the principal place of business of the operator is located, or if no such business exists, the permanent residence of the operator.
Operator	A person, organization or enterprise having an Air Operator Certificate (AOC) engaged in aircraft operations to carry out specific commercial air transport operations.

Operational Control	The exercise of authority over the initiation, continuation, diversion or termination of a flight in the interest of the safety of the aircraft and the regularity and efficiency of the flight.
Operational Leases	Refers to leasing arrangements described in paragraph 09 of SLCAD-015

15.3 MINIMUM AIRWORTHINESS STANDARDS FOR LEASING AGREEMENTS

In the area of airworthiness standards, the lease agreement should ensure at least that;

a. The lessor and lessee are properly identified.
b. The aircraft subject to the lease agreement is identified by aircraft make and model, registration number and manufacture's serial number;
c. The effective dates of the lease are properly identified;
d. The person having operational control is specially identified and name and address of the registered owner
e. The state of registry and the airworthiness code under which the aircraft will be maintained are identified
f. The responsibilities for the accomplishment of maintenance in accordance with the designated airworthiness code are specifically identified; and
g. The maintenance /inspection programme that will be utilized is specially identified
h. Table 1 below provides general guidance on allocation of responsibility in different lease scenarios. However specific deviations are possible under certain leases.

Table 1

	Dry Lease	Wet Lease	Damp Lease
Operational Control	Lessee	Lessor	Lessor
AOC	Lessee AOC	Lessor	Lessor
State of Registry	Lessee	Lessor	Lessor
Airworthiness Control	Lessee	Lessor	Lessor

15.4 PROCEDURE FOR APPROVAL OF LEASES AMONGST COMMERCIAL AIR TRANSPORT OPERATORS

15.4.1 Ensure the draft lease agreement complies with the requirements and guidance for Leasing as applicable per SLCAD 015

15.4.2 Ensure the draft lease agreement fulfills minimum airworthiness standards for Leasing Agreements per section 15.3 above

15.4.3 Ensure the State of Registry and State of Operator is defined in the Lease agreement

15.4.4 Verify if the aircraft model currently on Civil Aircraft Register of Sri Lanka? if 'YES' no further investigation in this aspect is required. If ' NO" , determine the ability of CAASL to support the new model in Sri Lanka operation, in terms of requirement for type acceptance, means of receiving MCAI, type training of CAASL inspectors to support surveillance activities. Determination needs to be made by the Operators ability to carry out servicing and ground handling.

For large aircraft to be used for Commercial Air Transport, the aircraft should be in Maintenance Steering Group 3 developed maintenance program. If this is not established, special evaluation will be required in consultation with Director Airworthiness to determine if adequate measures are in place to support continuing airworthiness.

15.4.5 Ensure responsibilities of State of Registry and prevailing related regulations and State of Operator and prevailing related regulations are clearly defined in the draft lease agreement. Guidance in this regard is given in the table 2 below

Table 2

S/N	Subject	Responsibilities of the State of Registry [State X] or comes under its regulatory mechanism	Responsibilities of the State of Operator [State Y] or comes under its regulatory mechanism
1	Continuing airworthiness of aircraft	Develop or adopt requirements to ensure the continuing airworthiness of the aircraft during its service life. This requirement also covers the maintenance requirements of Annex 6 mentioned below.(Items 8-12)	
2	Communication with the State of Design	Communicate with the State of Design	

3	Validity of the C of A	Issue and renewal the C of A	
4	Damage to Aircraft	Determine the condition of airworthiness of the aircraft	
5	Operation of aircraft in compliance with the terms of its C of A		Assume responsibility of State of Registry as defined in Annex 6 Part I Chapter 5.2.4.
6	Operator's maintenance responsibilities and maintenance release		Ensure that the responsibilities are contained in the operator's CAME
7	Operator's CAME		Ensure that guidance is contained in an CAME acceptable to State of Registry
8	Maintenance Programme	Approval of the Operator's maintenance programme.	Ensure that maintenance programme responsibilities and development procedures are contained in the CAME
9	Maintenance Records	Inspect maintenance records and documents every six months. Requirements for records are per State of Registry definitions	Inspect in accordance with the requirements of the AOC. State of Operator Authority to ensure maintaining the records and transfer at end of lease
10	Continuing airworthiness information	Ensure that all [State X] airworthiness requirements are understood by the operator.	Ensure that airworthiness reports are provided to [State X]
11	Modification and repairs	Ensure these are approved by the State of Design and issue approval as per State procedures	Ensure that procedures are contained in the Operator's CAME under management of leased aircraft.

12	Approved maintenance organization	Approval of the Operator's base maintenance organization and procedures for Annex 6 Part I Chapter 8, 8.7	Approval of the Operator's line maintenance arrangements away from main base. Ensure that procedures are contained in the Operator's CAME.
13	On board certificates and Licences	Issued and carried per State procedures	
14	Type Design acceptance or approval or validation and supervision of continuous compliance	Issued per State procedures, and continuing compliance review	
15	Compliance with MCAI from State of Design	To adopt State of Design requirements	Ensure receipt of MCAI in accordance with the system established by State of Registry and ensure proper application on the leased aircraft
16	Compliance with MCAI from State of Registry		Ensure receipt of MCAI published by State of Registry and ensure proper application on the leased aircraft
17	Reportable occurrences		To define type of service information to be reported to State of Registry and State of Operator by the Operator
18	Report Service Difficulty Reports to organization responsible for Type Design		To be reported to State of Registry by the Operator
19	Operations Derived Equipment per SLCAIS 095		Ensure fitment during the duration of Lease

15.4.6 Ensure clear identification and allocation of the aspects identified in table 2 above in draft lease agreement

15.4.7 Ensure all aircraft records are to be maintained in English Language

15.4.8 If Delegation agreement is contemplated per Article 83 bis, the Aircraft Lease agreement may address such delegation only with the concurrence received from the two participating States

15.4.9 Review if the proposed duration of Lease complies with the limitations in SLCAD 015, Section 12 Table 2

15.4.10 Review the Certificate of Airworthiness and Certificate of Registration, Noise Certificates and other Licenses and Certificates issued by the State of Registry

15.4.11 CAASL Senior Inspector will review all submissions per above steps and communicate with the applicant for approval of the proposed lease from Airworthiness standpoint

15.4.12 The applicant will be requested to submit a finalized lease agreement prior to execution for final review by CAASL AWS

References : SLCAD 015 Aircraft Leasing, SLCAIS 091 Requirements and guideline lease and charter operations of aircraft engaged in Commercial Air Transport Operations

Note : The checklist for Review of Lease / Transfer Agreements of Aircraft Engaged in Commercial Operations CAA/AW/CL/28 is given in section 3 to this manual

SECTION THREE

CHAPTER 1– APPLICATION PROCEDURE FOR CAMO/AMO/AMTO APPLICANTS

1.1 GENERAL

The continuing airworthiness of large aircraft, aircraft listed on an Air Operator Certificate (AOC) or Air Charter Operator shall be managed by an organization approved in accordance with **SLCA IS – Part M Subpart G**

The maintenance of large aircraft, or aircraft used for Commercial Air Transport and components intended for fitment thereto related to Sri Lankan registered aircraft or located in Sri Lanka shall be managed by an organization approved in accordance with **SLCA IS – 145.**

The maintenance of small aircraft used for Commercial Operations / noncommercial air transport or private operators (if willing) shall be managed by an organization approved in accordance with **SLCA IS – Part M Subpart F.**

The maintenance training shall be carried out by a Maintenance Training Organization approved in accordance with **SLCA IS – 147.**

1.2 APPLICATION

The application should be sent to the DGCA with a covering letter.

Application for an approval shall be made using the CAASL Form 2 and CAASL Form 12 for AMTO. The application shall contain a duly completed relevant compliance checklist
For CAMO - (CAA/AW/CL 01)
For AMO IS 145 – (CAA/AW/CL 02)
For AMO IS Part M Subpart F – (CAA/AW/CL 03)
For AMTO – (CAA/AW/CL 04) and,
Copy of the draft exposition and,
Form 4s for the post holders.

The application package may be handed over or sent via registered post. Details of the CAASL fees and charges can be found in https://www.caa.lk/corporate/finance
Application package will be then guided to the Airworthiness section through the head of flight safety division. An inspector will be assigned by the Director Airworthiness for the technical evaluation. The status of evaluation and the approval process can be verified with Director Airworthiness, by an email to daw@caa.lk.
A pre application meeting will be scheduled as required.

Once the application package is completed and the fees paid, applicant will receive an e mail from the inspector concerned indicating the milestones and the intended time frames for the process. Airworthiness section of the CAASL then starts the technical evaluation of the application according to applicable Implementing Standard.

1.3 TIME FRAME

The normal time frame to process an approval is 3 months from the application date, however the amount of time taken is largely dependent on the ability of the applicant to produce the documentation and rectify any non-conformances.

1.4 MANUAL EVALUATION

The applicant shall identify and analyze the processes intended to be included in the approval and ensure compliance of such processes with the applicable IS. This analysis shall be used to develop the draft Exposition. (including any associated list(s) and procedure(s) as applicable.

The UK CAA Anybody's (AOC) CAME can be used as a guide to develop the CAME. Additional guidance material on specific technical requirements published by EASA may also be used in this process other than SLCAIS-Part M/145/147.

1.5 DOCUMENT REVIEW

A CAA Inspector reviews the draft Exposition to ensure full compliance with the applicable requirements and the relevant technical instructions. The inspector also verifies compliance of each management personnel (Form 4 post holders) and her/his deputies (where applicable) with the applicable requirements.

1.6 INTERNAL AUDIT

Once the draft of the Exposition and the applicable CAA Forms 4 are confirmed as being acceptable by the assigned inspector, the Applicant’s Quality department shall audit the Organization in full for compliance with the Exposition and applicable SLCAIS. All relevant contracts, sub contracts has to be signed and shall be audited by the Company Quality.

A statement signed by the Organization’s Quality Assurance Manager shall be provided to the assigned inspector before the CAA audit takes place confirming that processes, facilities, documentation, maintenance data, and personnel subject to the application have been reviewed and

audited showing compliance with all applicable SLCAIS requirements. This means that all findings raised during this internal audit must have been closed with appropriate corrective actions before issuing this statement.

The relevant internal audit report(s) including the associated corrective actions shall be provided by the organization along with the QM statement to the assigned inspector. Following checklists as applicable will be used to demonstrate compliance.

CAMO - (CAA/AW/CL/01)
AMO IS 145 – (CAA/AW/CL/02)
AMO IS Part M Subpart F – (CAA/AW/CL/03)
AMTO – (CAA/AW/CL/04)

1.7 CAASL AUDIT

Once the draft Exposition, CAA Form 4s, QM statement and internal quality audit report are deemed acceptable, the assigned inspector will initiate the on-site investigation. The inspector will liaise with the Organization for scheduling the audit and to agree on the audit programme.

The CAA inspector(s) will audit the organization against the relevant SLCAIS. Auditor(s) will also meet the Accountable Manager and all Form 4 post holders for an interview. The Inspector(s) will also present audit findings and conclusions to the organization at the end of the audit. Organizations will be given the opportunity to discuss any non-compliances and timeframes. The final audit report will be produced within 10 working days from the end of the audit.

Should the initial investigation lead to significant and/or numerous discrepancies, this would show insufficient understanding / compliance of the applicant and a lack of effectiveness of the Q/A system. In that case the CAA may terminate/suspend the application, limit the requested scope of work or not accept the proposed post holders and/or nominated personnel.

1.8 APPROVAL

Once the applicant’s compliance with the applicable IS has been established and all findings are closed, the CAA will approve the Exposition and issue the organization approval certificate.

1.9 SURVEILLANCE

Each newly approved organization will be audited by CAASL at the end of the first year and once in two years thereafter.

SECTION THREE

CHAPTER 2 – PROCEDURE FOR AUTHORISED RELEASED CERTIFICATE – CAASL FORM 1

2.1 PROCEDURE FOR COMPLETION

These instructions relate only to the use of the Form 1 for maintenance purposes. Attention is drawn to IS - 21 which covers the use of the Form 1 for production purposes.

1. PURPOSE AND USE

1.1 The primary purpose of the Certificate is to declare the airworthiness of maintenance work undertaken on products, parts and appliances (hereafter referred to as 'item(s)').

1.2 Correlation must be established between the Certificate and the item(s). The originator must retain a Certificate in a form that allows verification of the original data.

1.3 The Certificate is acceptable to many airworthiness authorities, but may be dependent on the existence of bilateral agreements and/or the policy of the airworthiness authority. The 'approved design data' mentioned in this Certificate then means approved by the airworthiness authority of the importing country.

1.4 The Certificate is not a delivery or shipping note.

1.5 A mixture of production released and maintenance released items is not permitted on the same Certificate.

2. GENERAL FORMAT

2.1 The Certificate must comply with the format attached including block numbers and the location of each block. The size of each block may however be varied to suit the individual application, but not to the extent that would make the Certificate unrecognisable.

2.2 The Certificate must be in 'landscape' format but the overall size may be significantly increased or decreased so long as the Certificate remains recognisable and legible. If in doubt consult the competent authority.

2.3 The User/Installer responsibility statement can be placed on either side of the form.

2.4 All printing must be clear and legible to permit easy reading.

2.5 The Certificate may either be pre-printed or computer generated but in either case the printing of lines and characters must be clear and legible and in accordance with the defined format.

2.6 The Certificate should be in English.

2.7 The details to be entered on the Certificate may be either

machine/computer printed or hand-written using block letters and must permit easy reading.

2.8 Limit the use of abbreviations to a minimum, to aid clarity.

2.9 The space remaining on the reverse side of the Certificate may be used by the originator for any additional information but must not include any certification statement. Any use of the reverse side of the Certificate must be referenced in the appropriate block on the front side of the Certificate

3. COPIES

There is no restriction in the number of copies of the Certificate sent to the customer or retained by the originator.

4. ERROR(S) ON A CERTIFICATE

4.1 If an end-user finds an error(s) on a Certificate, he must identify it/them in writing to the originator. The originator may issue a new Certificate only if the error(s) can be verified and corrected.

4.2 The new Certificate must have a new tracking number, signature and date.

4.2 The request for a new Certificate may be honoured without re-verification of the item(s) condition. The new Certificate is not a statement of current condition and should refer to the previous Certificate in block 12 by the following statement; “This Certificate corrects the error(s) in block(s) [enter block(s) corrected] of the Certificate [enter original tracking number] dated [enter original issuance date] and does not cover conformity/condition/release to service”. Both Certificates should be retained according to the retention period associated with the first.

5. COMPLETION OF THE CERTIFICATE BY THE ORIGINATOR

Block 1 Approving Competent Authority/Country

State CAASL

Block 2 Form 1 header:

“AUTHORISED RELEASE CERTIFICATE

CAASL FORM 1”

Block 3 Form Tracking Number

Enter the unique number established by the numbering system/procedure of the organization identified in block 4; this may include alpha/numeric characters.

Block 4 Organization Name and Address

Enter the full name and address of the approved organization (refer to Form 3) releasing the work covered by this Certificate. Logos, etc., are permitted if the logo can be contained within the block.

Block 5 Work Order/Contract/Invoice

To facilitate customer traceability of the item(s), enter the work order number, contract number, invoice number, or similar reference number.

Block 6 Item

Enter line item numbers when there is more than one line item. This block permits easy cross-referencing to the Remarks block 12.

Block 7 Description

Enter the name or description of the item. Preference should be given to the term used in the instructions for continued airworthiness or maintenance data (e.g. Illustrated Parts Catalogue, Aircraft Maintenance Manual, Service Bulletin, Component Maintenance Manual).

Block 8 Part Number

Enter the part number as it appears on the item or tag/packaging. In case of an engine or propeller the type designation may be used.

Block 9 Quantity

State the quantity of items.

Block 10 Serial Number

If the item is required by regulations to be identified with a serial number, enter it here. Additionally, any other serial number not required by regulation may also be entered. If there is no serial number identified on the item, enter “N/A”.

Block 11 Status/Work

The following describes the permissible entries for block 11. Enter only one of these terms – where more than one may be applicable, use the one that most accurately describes the majority of the work performed and/or the status of the article.

(i)*Overhauled:* Means a process that ensures the item is in complete conformity with all the applicable service tolerances specified in the type certificate holder’s, or equipment manufacturer’s instructions for continued airworthiness, or in the data which is approved or accepted by the Authority. The item will be at least disassembled, cleaned, inspected, repaired as necessary, reassembled and tested in accordance with the above specified data.

(ii)*Repaired*: Rectification of defect(s) using an applicable standard.*

(iii)*Inspected/Tested*: Examination, measurement, etc. in accordance with an applicable standard* (e.g. visual inspection, functional testing, bench testing etc.).

(iv) *Modified*: Alteration of an item to conform to an applicable standard.

*Applicable standard means a manufacturing / design / maintenance / quality standard, method, technique or practice approved by or acceptable to the Competent Authority. The applicable standard shall be described in block 12.

Block 12 Remarks

Describe the work identified in Block 11, either directly or by reference to supporting documentation, necessary for the user or installer to determine the airworthiness of item(s) in relation to the work being certified. If necessary, a separate sheet may be used and referenced from the main Form 1. Each statement must clearly identify which item(s) in Block 6 it relates to.

Examples of information to be entered in block 12 are:

(i) Maintenance data used, including the revision status and reference.

(ii) Compliance with airworthiness directives or service bulletins.

(iii) Repairs carried out.

(iv) Modifications carried out.

(v) Replacement parts installed.

(vi) Life limited parts status.

(vii) Deviations from the customer work order.

(viii) Release statements to satisfy a foreign Civil Aviation Authority maintenance requirement.

(ix) Information needed to support shipment with shortages or re-assembly after delivery.

(x) For maintenance organizations approved in accordance with Subpart F of IS Part-M, the component certificate of release to service statement referred to in point M.A.613:

"Certifies that, unless otherwise specified in this block, the work identified in block 11 and described in this block was accomplished in accordance to the requirements of *Section A, Subpart F of IS Part-M* and in respect to that work the item is considered ready for release to service. THIS IS NOT A RELEASE UNDER IS-*145*."

If printing the data from an electronic Form 1, any appropriate data not fit for other blocks should be entered in this block.

Block 13a-13e

General Requirements for blocks 13a-13e: Not used for maintenance release. Shade, darken, or otherwise mark to preclude inadvertent or unauthorised use.

Block 14a

Mark the appropriate box(es) indicating which regulations apply to the completed work. If the box "other regulations specified in block 12" is marked, then the regulations of the other airworthiness authority(ies) must be identified in block 12. At least one box must be marked, or both boxes may be marked, as appropriate.

For all maintenance carried out by maintenance organizations approved in accordance with Section A, Subpart F Part M, the box "other regulation specified in block 12" shall be ticked and the certificate of release to service statement made in block 12. In that case, the certification statement "unless otherwise specified in this block" is intended to address the following cases;

(a) Where the maintenance could not be completed.

(b) Where the maintenance deviated from the standard required by Part-M.

(c) Where the maintenance was carried out in accordance with a requirement other than that specified in Part-M. In this case block 12 shall specify the particular national regulation.

For all maintenance carried out by maintenance organizations approved in accordance with IS -*145*, the certification statement "unless otherwise specified in block 12" is intended to address the following cases;

(a) Where the maintenance could not be completed.

(b) Where the maintenance deviated from the standard required by Annex II (IS-145).

(c) Where the maintenance was carried out in accordance with a requirement other than that specified in IS-145. In this case block 12 shall specify the particular national regulation.

Block 14b Authorised Signature

This space shall be completed with the signature of the authorised person. Only persons specifically authorised under the rules and policies of the competent authority are permitted to sign this block. To aid recognition, a unique number identifying the authorised person may be added.

Block 14c Certificate/Approval Number

Enter the Certificate/Approval number/reference. This number or reference is issued by the competent authority.

Block 14d Name

Enter the name of the person signing block 14b in a legible form.

Block 14e Date

Enter the date on which block 14b is signed, the date must be in the format dd = 2 digit day, mmm = first 3 letters of the month, yyyy = 4 digit year

User/Installer Responsibilities

Place the following statement on the Certificate to notify end users that they are not relieved of their responsibilities concerning installation and use of any item accompanied by the form:

“THIS CERTIFICATE DOES NOT AUTOMATICALLY CONSTITUTE AUTHORITY TO INSTALL.

WHERE THE USER/INSTALLER PERFORMS WORK IN ACCORDANCE WITH REGULATIONS OF AN AIRWORTHINESS AUTHORITY DIFFERENT THAN THE AIRWORTHINESS AUTHORITY SPECIFIED IN BLOCK 1, IT IS ESSENTIAL THAT THE USER/INSTALLER ENSURES THAT HIS/HER AIRWORTHINESS AUTHORITY ACCEPTS ITEMS FROM THE AIRWORTHINESS AUTHORITY SPECIFIED IN BLOCK 1.

STATEMENTS IN BLOCKS 13A AND 14A DO NOT CONSTITUTE INSTALLATION CERTIFICATION. IN ALL CASES AIRCRAFT MAINTENANCE RECORDS MUST CONTAIN AN INSTALLATION CERTIFICATION ISSUED IN ACCORDANCE WITH THE NATIONAL REGULATIONS BY THE USER/INSTALLER BEFORE THE AIRCRAFT MAY BE FLOWN.”

SECTION THREE

CHAPTER 3 – PROCEDURE FOR CAASL FORM 2

3.1 SCOPE AND APPLICABILITY

This procedure is applicable to IS – 145, IS part M subpart G/F organizations having their principal place of business located inside/outside Sri Lanka.

3.2 PURPOSE

The purpose of this procedure is to describe how the applicant shall proceed when applying for above approval and also includes instructions for an organization that intends to surrender an approval.

The CAASL Form 2 standard to be used for an IS 145 is provided for download in a word format on the CAASL website www.caa.lk

Block	Subject	CAASL Form 2 - Completion Instructions	Note
Check box	Application type	Tick this box for type and Initial / Change or Renewal of the g	
1.1	Registered name of applicant	Enter the name of the organization as stated in **the Certificate of Registration**	
1a	CAASL approval Numbers	This is applicable for change and renewal	
2	Trading name (if different)	Enter the Trading name of the organization **if different** from the name entered in block no.1.1	Enter "N/A" (Not applicable) if the Trading name is either not used or is the same already entered in previous block no.1.1
3.1	Primary address	Enter the address of the Principal Place of Business (PPB) as it means the head office or the registered office of the undertaking within which the principal financial functions and operational control of the activities referred to in this Regulation are exercised	The applicant should use the international standard/ format
3.2	Other Address requiring approval	List all the addresses where maintenance activities are intended to be performed under the intended approval	Note: The scope of work to be performed at each location shall be specified in the applicable MOE procedures.
4.1	Quality Manager Contact Details	Enter the contact details of the Quality Manager : • Name, • Telephone • Fax number • e-mail address The Quality Manager is the person in the organization who is in charge to maintain the relationship with the CAASL.	The contact details of other post holder as described in the IS - 145 will not be accepted.
	Organization's generic e-mail address	Enter the generic email address of the "Organization".	If not already existing the organization shall create such generic email box to ensure an

Block	Subject	CAASL Form 2 - Completion Instructions	Note
			efficient and stable communication channel between CAASL and the approval holder/applicant
5	Scope of approval relevant to this application	Basically the applicant shall summarize the requested ratings without specifying the A/C, engine/APU types e.g.: • A1 line and base maintenance • A2 line maintenance only • B1 • C2 • C14 • Specialized activities in the course of maintenance	The detailed scope of work is to be recorded in page 3 of the CAASL Form 2.
6	Approval from other Regulatory bodies	List any other approvals (ex. Part 21, Part 147, Part M subpart G/F etc.) already held by the applicant or for which the organization has applied for.	Enter "Not applicable" if the applicant does not hold any other EASA approval (s).
7	Name and position of the (proposed) A.M.	Enter the name and the position (e.g.: CEO) of the person the organization is proposing to be the Accountable Manager as per IS 145.A.30 (a).	
8	Signature of the (proposed) A.M.	Enter the signature of the proposed Accountable Manager.	
9	Place	Enter the place in which the Accountable Manager office is located.	
10	Date	Enter the date in which the CAASL Form 2 is signed in block 12.	

3.2 SUBMISSION AND CHARGES

The Organization applying for an initial approval shall complete the form using the instructions detailed in the following table.

Block	Subject	CAASL Form 2 – Completion Instructions	Note
Ref #	submission and charges	Obtain a pay in voucher from CAASL AW section and do the payment to the Shroff. Submit the receipt to AW section.	

SECTION THREE

CHAPTER 4 – 145 MOE PROCEDURE

4.1 GENERAL

1. The organization to down load the MOE checklist and show compliance to IS-145 in draft MOE by marking in MOE reference column in the table, cross reference to MOE section. Where not applicable to indicate N/A
2. Organization is to ensure the Accountable managers Statement is signed in the draft MOE by the AM nominee, to ensure MOE draft contents are read and sanctioned by the AM.
3. The Organization to submit the draft copy of the MOE in hard copy along with the duly completed application, Form 2.
4. CAASL will review the draft MOE for adequacy for the approval requested and communicate with the applicant for additional reports , amendments Etc. as deemed necessary
5. From the point of acceptance of the application , MOE review and necessary amendments in consultation with the applicant to be completed within 20 working days , thus applicant needs to work diligently with the assigned Airworthiness Inspector to meet the time frame target.
6. Upon closing the review process of MOE , final version of MOE draft as accepted to be advised to the applicant for organizational preparation prior to on site audit in line with the agreed final version of draft MOE.
7. Upon completion of audit and closure of all open items the applicant will be advised to submit 2 hard copies of final version of the MOE with necessary signatures in place for approval by the CAASL
8. CAASL will stamp every page of the MOE and release one hard copy to the applicant and retain the other copy in the AW section.

4.2 SCOPE

The purpose of the Maintenance Organisation Exposition (MOE) compliance checklist and user guide is to assist aircraft and component maintenance organisation wishing to obtain CAASL IS 145 approval. This document is complementary to the requirements of Implementing Standard.
The checklist includes suggested subject headings and all the relevant information as detailed in 145.A.70 and its AMC & GM, the format of which may be modified to suit the organisation preferred method. The checklist should show compliance by referring in the “MOE reference / comment” where the information in the MOE is located and explanation if not applicable.
This checklist, when completed, should be submitted with the initial draft MOE.

4.3 IMPORTANT WARNING

This user guide is designed to be used by:

- IS145 Maintenance Organisations - To assist them in the production and/or maintaining of their own MOE
- CAASL - As a comparison document for MOEs submitted to them for approval

The user guide is provided for guidance only and should be customised by each organisation to demonstrate how they comply with IS 145. It is the responsibility of the organisation to ensure compliance with the IS. The organisation may choose to use another format as long as all the applicable sections of the regulation are addressed and cross-referenced.

For each detailed procedure described within the MOE, the IS145 organisation should address the following questions:
What must be done? Who should do it? When must it be done? Where must it be done? How must it be done? Which procedure(s)/form(s) should be used?

The MOE should be written in the English language.

4.4 EXPOSITION FORMAT

The MOE may be produced in hardcopy or electronic format;

- Hardcopy: CAASL does recommend using white paper (format A4); The MOE shall be provided in a binder with section dividers. (recto/verso can be used)
- Electronic Format: The Exposition should be in Portable Document Format (PDF) but a printed copy shall be delivered to the CAASL to facilitate the document study.

4.5 STRUCTURE OF THE MAINTENANCE ORGANISATION EXPOSITION

The MOE may be produced in the form of a single document or may consist of several separate documents.

- Single document: The standard MOE produced i.a.w. AMC 145.A.70 (a) is a unique and complete document. It must contain all the information required to show compliance with the regulation including detailed maintenance procedures and detailed quality system procedures (see AMC 145.A.70 (a)).

- Several documents: The MOE must contain at least the information as detailed in AMC 145.A.70 (a) 1.1 to 1.11 (Management). The additional material may be published in separate documents which must be referenced from the MOE. In this case:

- The MOE should cross refer to the associated procedures, documents, appendices, forms and all other lists which are managed separately (e.g. the list of certifying staff, the capability list).
- These associated documents must meet the same rules as described for the MOE.
- This/these associated document(s), procedure(s) and form(s) etc. must be provided to the CAASL, as part of the MOE.

For some organisations certain sections of the headings defined within AMC 145.A.70 (a) may be 'not applicable'. In this case they should be annotated as such within the MOE.

4.6 EXPOSITION PAGES' PRESENTATION

Each page of the MOE should be identified as follows (this information may be added in the header or footer;

- the name of the organisation (official name as defined on the CAASL Form 3 approval certificate)
- the issue number of the MOE
- the amendment/revision number of the MOE
- the date of the revision (amendment or issue depending on the way the organisation has chosen to revise the MOE)
- the chapter of the MOE
- the page number
- the name of the document "Maintenance Organisation Exposition"

At the beginning of the volume, the Cover page should specify:

- IS145 Maintenance Organisation Exposition;
- The name of the organisation (the official one defined on the CAASL Form 3 approval certificate)
- The approval reference of the IS145 organisation
- The copy number from the distribution list

4.7 CORPORATE COMMITMENT BY ACCOUNTABLE MANGER

Prior to submission of the 'draft' MOE to the CAASL for approval the Accountable Manager must sign and date the Corporate Commitment statement (Management 1.1). This confirms that they have read the document and understand their responsibilities under the approval. In the case of change of Accountable Manager, the new incumbent should sign the document and submit a suitable amendment the CAASL for approval.

SECTION THREE

CHAPTER 5 - PROCEDURE FOR INITIAL / CHANGE / CONTINUATION OF MTO APPROVAL

5.1 PURPOSE

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

5.2 SCOPE

5.2.1 The procedure describes how CAASL will internally handle the approval of IS-147 maintenance training organizations in accordance with the provisions of IS-147.

5.2.2 This procedure also describes how CAASL will handle the initial, continuation, change, revocation, limitation and suspension of the approvals of domestic MTOs according to the provisions of IS-147.

5.3 CORE RESPONSIBILITIES

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

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

1. Scrutiny of Maintenance Training organization Exposition (MTOE)
2. Processing of courses and management personnel approval case/s
3. Conduct of audit and preparation of audit report
4. Follow-up for closure of findings. etc

5.3.2 Director Airworthiness shall be responsible to grant initial approval / change / continuation to a Maintenance Training Organization (MTO) as IS-147 organization.

5.4 DESCRIPTION

5.4.1 PROCEDURE FOR INITIAL APPROVAL

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

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

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

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

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

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

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

a) Whether its application is accepted for further action by CAASL or not

b) If accepted, projected date for meeting with organization officials to explain how CAASL will carry out the approval process.

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

5.4.1.7 Scrutiny of MTOE & Course Approval Package: Consequent to successful evaluation of application package, the review of MTOE and Applications Forms shall be initiated by Airworthiness Section to verify the compliance of requirements mentioned in IS 147, Guidance for preparation of MTOE, Checklist and Guidelines on Course Approval Package. If required, review sessions can be arranged with representatives (Quality Manager and/ or subject matter experts) of the applicant organization.

5.4.1.8 Rectification of Discrepancies: The applicant organization shall then rectify the pointed out deficiencies in the submitted documents. After satisfactory evaluation of the MTOE, Airworthiness Inspector shall keep the accepted MTOE (01 copy) along with duly filled MTOE compliance checklist CAA/AW/CL/04

5.4.1.9 Processing Of CAASL Form 4: Scrutiny of CAASL Form 4 for Management Personnel and their interviews shall be carried out to verify that the nominated personnel are suitable for the posts and fulfill the requirements mentioned in IS 147 and MTOE finalized draft. The process of acceptance of Management personnel is spread over the complete IS-147 approval process.

5.4.1.10 Audit Preparation: A 'Compliance Statement' by Quality Manager of the organization shall then be submitted to CAASL confirming that processes/ procedures, facilities, documentation and personnel of the organization are in compliance with requirements of IS-147 and procedures finalized in draft MTOE which have been verified through internal audit. This means that appropriate corrective actions have been taken against all findings before issuing 'Compliance Statement'. The statement shall also include the proposed timeframe for CAASL physical audit.

5.4.1.11 CAASL Physical Audit: Once the organization is prepared, CAASL Physical Audit shall be conducted to verify the compliance status of requirements stated in IS-147, other CAASL regulations, MTOE procedures and course approval package. The duration of the audit shall be dependent upon applied scope of work, size & complexity of the organization.

a. In consultation with D(AR&AW), the nominated Airworthiness Inspector will compose a team depending upon size and complexity of the organization
b. Assigned Inspector shall inform the applicant organization on the schedule of audit and seek concurrence on same.
c. On the first day of physical audit, the audit team shall brief the organization on the following:
    - Introduction of Audit Team
    - Scope of Audit
    - Schedule of Audit
    - Administrative support (if required)

d. During Physical Audit, the auditing team shall verify that the organization is in compliance with the requirements of IS-147 and MTOE as per Part 2 and Part 3 respectively of latest revision of CAASL Form 22.

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

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

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

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

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

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

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

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

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

5.4.1.19 Processing of Final Recommendation:

a. When the full investigation for compliance of the applicant with IS-147 has been satisfactorily determined, the D(AR&AW) shall carry out a quality review of the following documentation:

- The completed CAASL Form 22 (all 5 parts) along with signatures of the head and all members of the auditing team
- The Approved MTOE
- Copy of accepted CAASL Form 4
- Consistency of CAASL Form 12 with the CAASL Form 22 and the MTOE

b. After satisfactory review, the nominated Inspector along with D(AR&AW) shall sign on Part 5 of CAASL Form 22.

c. The CAASL Form 22 along with 03 copies of MTOE and course approval package shall be forwarded to HQs. Airworthiness Directorate.

d. The findings and subsequent closure record shall also be updated on AMS by the Detailed Inspector.

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

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

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

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

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

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

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

5.4.2 PROCEDURE FOR CONTINUATION (RENEWAL) OF APPROVAL

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

a. CAASL Form 12 duly signed by the Accountable Manager

b. Current Approval Certificate

c. Authorization of fee

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

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

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

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

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

b. Action shall be taken by auditor to revoke, limit or suspend in whole or part, the approval, in case of failure to comply within the mutually agreed **time scale** for any "**Level 2**" finding.

c. In case of a level 2 finding, auditor may give up to 6 months' notice of the need for rectification. However, dependent upon

seriousness of the level 2 finding(s) Airworthiness Inspector may choose a notice period less than 6 months.

d. When allocating Airworthiness Inspector a 6 months period, the initial notification should be of 3 months duration to the quality assurance manager followed by the final 3 months' notice to the accountable manager.

5.4.2.6 When the full investigation for compliance of the applicant with IS-147 has been satisfactorily determined, D(AR&AW) shall carry out a quality review of the following documentation:

a. The completed CAASL Form 22 along with signatures of all the members of the auditing team

b. The Approved MTOE

c. Consistency of the Form 12 with the Form 22 and the MTOE

5.4.2.7 After satisfactory review of Para 5.4.2.6, D(AR&AW) shall sign Part 5 of CAASL Form 22.

5.4.2.8 The completed CAASL Form 22 from Airworthiness Inspector shall be forwarded for continuation approval of the organization.

5.4.2.9 Issuance of Continued IS-147 "Approval Certificate"– (CAASL Form 11):

a. Based on the recommendation under Part 5 of CAASL Form 22 received , the nominated Airworthiness Inspector shall put up the case for continuation of organization approval to D(AR&AW) along with dully filled checklist CAA/AW/CL/04 and after ensuring that no dues are outstanding against the organization.

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

c. After signatures of D(AR&AW), the nominated Inspector shall retain all copies of applicable CAASL forms completed in relevant Airworthiness Section file and Original CAASL FORM 11 will be dispatched to the applicant organization.

5.4.3 PROCEDURE FOR CHANGE IN THE ORGANIZATION

5.4.3.1 Application – (CAASL Form 12)

a. Application for change to scope of approval shall be received in Airworthiness Section on latest revision of CAASL Form 12. The CAASL Form 12 shall be accompanied with the amendment in MTOE (two copies) and previously issued Approval Certificate (CAASL Form 11)

b. D(AR&AW) shall assign an Airworthiness Inspector to process the application.

c. The assigned Airworthiness Inspector will acknowledge receipt of applications to the organization within three working days following the date of receipt by CAASL.

d. The assigned Airworthiness Inspector shall check the applications for any incorrect or incomplete information and if found, he shall notify the applicant as soon as possible by a letter or email detailing the omissions and errors.

e. The assigned Airworthiness Inspector shall determine the change requested and its impact on the approval earlier issued to the organization. The consequent changes in MTOE, CAASL Form 11 & Form 4 shall be identified for necessary action with respect to change.

5.4.3.2 Change in Scope of Approval

a. A change in the Scope of approval requires a physical Audit as per Para 5.4.1.11.

b. The assigned Airworthiness Inspector shall ensure that necessary amendments in MTOE are incorporated and approved as per Para 5.4.4.

c. Subsequently, 'Post Audit Work' is to be carried out as per Para 5.4.1.13 to 5.4.1.19 and new CAASL Form 11 "Approval Certificate" is issued as per Para 5.4.1.20 to 5.4.1.23.

d. Change of scope of approval requires the MTO to make a new application to CAASL together with applicable CAASL forms and submission of an amended exposition.

e. The assigned Airworthiness Inspector should follow the procedure of Para 5.4.3.1(a) through 5.4.3.1(c) as far as the change affects MTOE procedures.

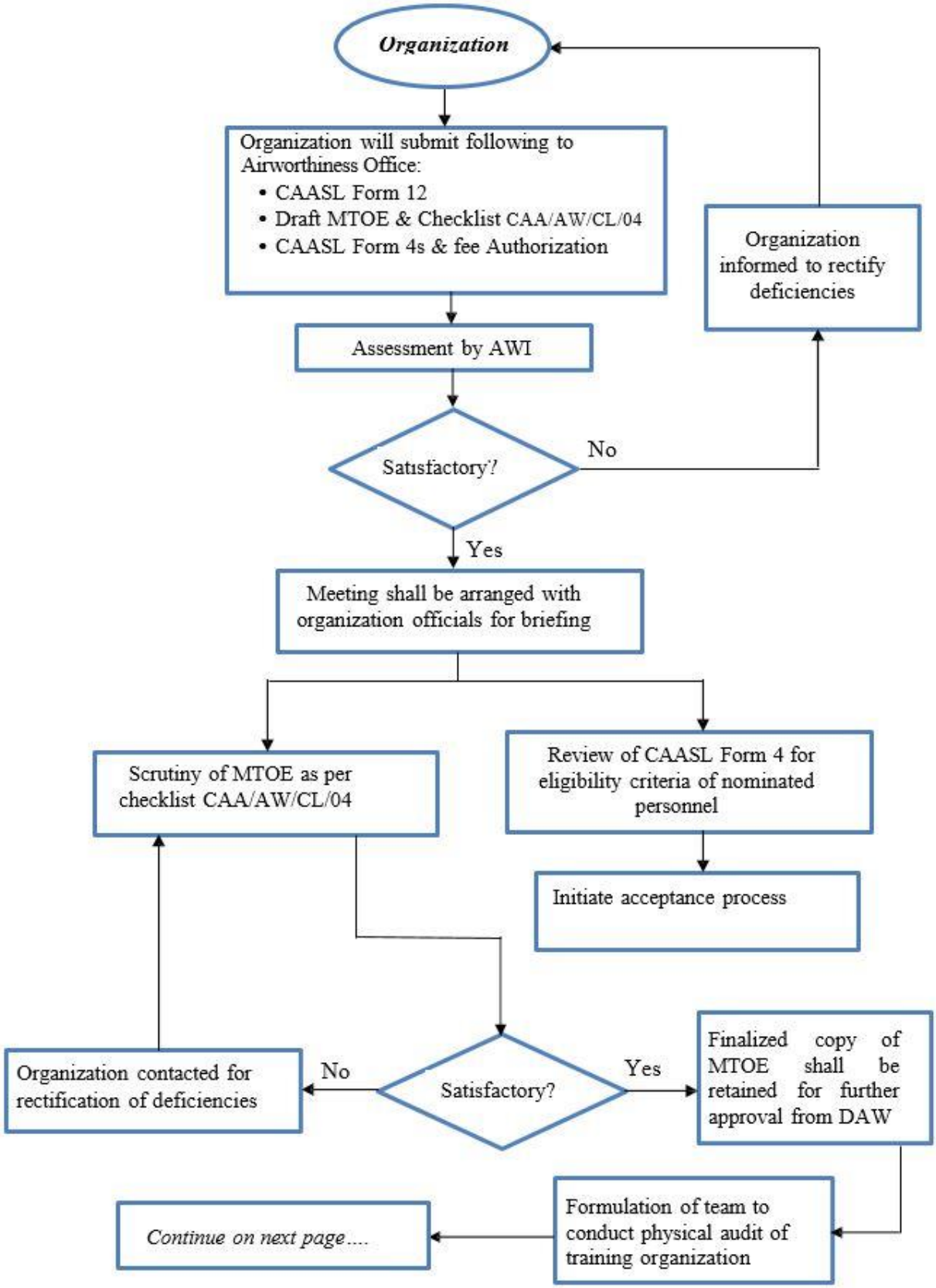
5.4.4 MTOE AMENDMENTS

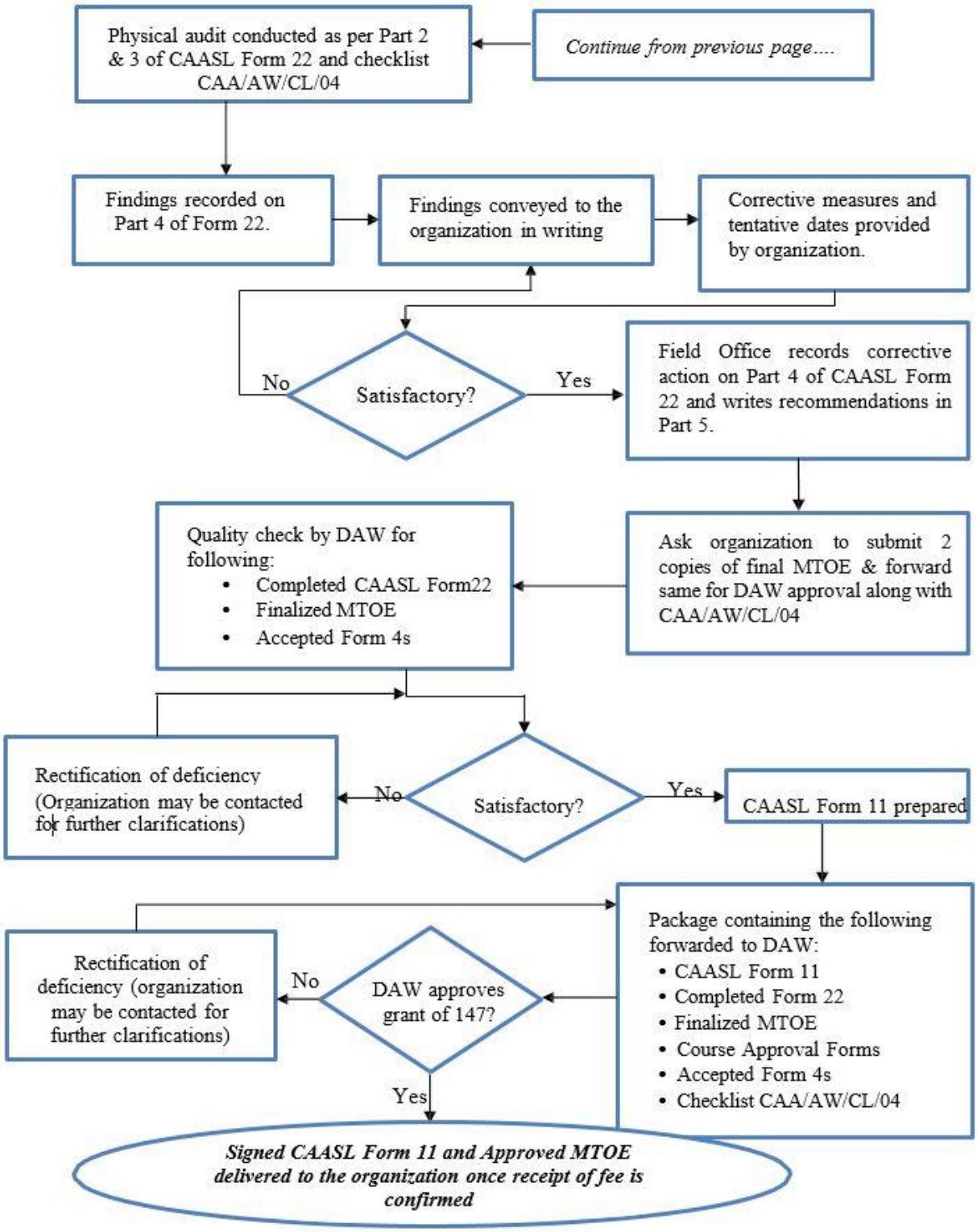
5.4.4.1 For amendment in MTOE, the Inspector shall ensure that the procedures specified in the exposition are in compliance with the intent of IS-147.

5.4.4.2 When the evaluation of amended MTOE for the change has been satisfactorily completed in accordance with checklist CAA/AW/CL/04, the assigned Inspector shall forward 2 sets of amended MTOE pages in sheet protector along with recommendations for approval to Director Airworthiness.

5.4.4.3 Upon approval from D(AR&AW), the nominated Inspector shall retain one copy of the approved amendment in Airworthiness Section and forward one copy to the applicant organization.

Appendix A – Procedure for Initial Approval




Physical audit conducted as per Part 2 & 3 of CAASL Form 22 and checklist CAA/AW/CL/04
Continue from previous page....
Findings recorded on Part 4 of Form 22.
Findings conveyed to the organization in writing
Corrective measures and tentative dates provided by organization.
No
Satisfactory?
Yes
Field Office records corrective action on Part 4 of CAASL Form 22 and writes recommendations in Part 5.
Ask organization to submit 2 copies of final MTOE & forward same for DAW approval along with CAA/AW/CL/04
Quality check by DAW for following:
• Completed CAASL Form22
• Finalized MTOE
• Accepted Form 4s
Rectification of deficiency (Organization may be contacted for further clarifications)
No
Satisfactory?
Yes
CAASL Form 11 prepared
Package containing the following forwarded to DAW:
• CAASL Form 11
• Completed Form 22
• Finalized MTOE
• Course Approval Forms
• Accepted Form 4s
• Checklist CAA/AW/CL/04
Rectification of deficiency (organization may be contacted for further clarifications)
No
DAW approves grant of 147?
Yes
Signed CAASL Form 11 and Approved MTOE delivered to the organization once receipt of fee is confirmed

SECTION THREE

CHAPTER 6 – APPLICATION PROCEDURE FOR AMO APPLICANTS

6.1 GENERAL

The organizations involved in maintenance of large aircraft, or aircraft used for Commercial Air Transport and components intended for fitment thereto related to Sri Lankan registered aircraft or located in Sri Lanka shall be managed by an organization approved in accordance with **IS – 145.**
The maintenance of light aircraft used for Commercial Operations / noncommercial air transport or private operators (if willing) shall be managed by an organization approved in accordance with **IS – Part M Subpart F.**

6.2 APPLICATION PACKAGE

1) For Initial Approval

A. Organizations located in Sri Lanka

For request an initial approval, following documents shall be submitted to the DGCA

5. Request Letter of the applicant
6. Application; CAASL Form 2
7. Duly completed MOE compliance checklist (CAA/AW/CL/02) along with MOE/MOM as applicable, signed by the Accountable Manager
8. Completed Form 4s for the Post Holders.

All above documents should be submitted in original.

B. Organizations located outside Sri Lanka seeking approval for 145 Organization

1. Request Letter (*)
2. Application CAASL Form 2 (*)
3. MOE supplement to IS-145(*) (signed) together with soft copy of local authority approved MOE
4. Relevant Form 4 (*)
5. List of Certifying Staff
6. Copy of approval from Local Authority
7. Copy of Service agreement between two company
8. Copies of other approvals granted by other authorities (If an

(*) original hard copies required

2) Renewal /amendment of existing Approval (Local / Foreign Approval)

For renewal of the said approval all the above documents should be re-submitted except Item No. 3 and 4 above.
If there is any change in item 3 and 4 above re submission is required

All above application package should contain the receipt of the evaluation payment.
Applicant can receive details of applicable CAASL fees and charges in a pay in voucher issued by Airworthiness Section on request and refer https://www.caa.lk/corporate/finance for more details.

The application package should be handed over or sent via registered post/courier to the
Director General of Civil Aviation Sri Lanka
Civil Aviation Authority of Sri Lanka
No 152 /1, Minuwangoda Road
Katunayake

6.3 APPROVAL PROCESS

Application package will be forwarded to the Airworthiness section internally through the Head of Flight Safety division. An Airworthiness inspector will be assigned by the Director Airworthiness for the technical evaluation of the application. The relevant inspector will acknowledge the receipt of the application within 10 working days. The status of evaluation and the approval process can be verified with Director Airworthiness, by an email to daw@caa.lk.
The Inspector will notify the projected dates and time frames for the process. Airworthiness section of the CAASL then starts the technical evaluation of the application according to applicable Implementing Standard.
A pre application meeting will be scheduled as required.

6.4 TIME FRAME

The normal time frame to process an approval is 3 months from the date of submission of application including all supporting documents as indicated above, however the amount of time taken is largely dependent on the ability of the applicant to produce the documentation and rectify any non-conformances with the applicable regulation.

6.5 TECHNICAL INVESTIGATION

Document Review

A CAA Inspector reviews the Exposition to ensure full compliance with the applicable requirements and the relevant technical instructions. The inspector also verifies compliance of each management personnel (Form 4 Post Holders) and her/his deputies (where applicable) with the applicable requirements.

Internal Audit

Once the Exposition and the applicable CAA Forms 4 are confirmed as being acceptable by the Inspector, the Applicant's Quality department shall audit the Organization in full for compliance with the Exposition and applicable SLCAIS. All relevant contracts, sub contracts has to be signed and shall be audited by the Company Quality.

A statement signed by the Organization's Quality Assurance Manager shall be provided to the assigned inspector before CAASL audit takes place confirming that processes, facilities, documentation, maintenance data, and personnel subject to the application have been reviewed and
Audited showing compliance with all applicable SLCAIS requirements. This means that all findings raised during this internal audit must have been closed with appropriate corrective actions before issuing this statement.

The relevant internal audit report(s) including the associated corrective actions shall be provided by the organization along with the QM statement to the assigned inspector. Following checklists as applicable will be used to demonstrate compliance.
AMO IS 145 Compliance Checklist – (CAA/AW/CL/02)
AMO IS Part M Subpart F Compliance Checklist – (CAA/AW/CL/03)

CAASL Audit

Once Exposition, CAA Form 4s, QM statement and internal quality audit report are deemed acceptable, the assigned inspector will initiate the on-site investigation. The inspector will liaise with the Organization for scheduling the audit and to agree on the audit programme.

The CAASL inspector(s) will audit the organization against the relevant SLCAIS. Auditor(s) will also meet the Accountable Manager and all Form 4 Post Holders for an interview. The Inspector(s) will also present audit findings and conclusions to the organization at the end of the audit. Organizations will be given the opportunity to discuss any non-compliances and timeframes for completion. The final audit report will be produced within 10 working days from the end of the audit.

Should the initial investigation lead to significant and/or numerous discrepancies, this would show insufficient understanding / compliance of the applicant and a lack of effectiveness of the Q/A system. In that case the CAASL may terminate/suspend the application, limit the requested scope of work or not accept the proposed Post Holders and/or nominated personnel.

6.6 GRANT OF CAASL APPROVAL

Once the applicant's compliance with the applicable IS has been established and all findings are closed, the CAASL will approve the Exposition and issue the organization approval certificate.

6.7 SURVEILLANCE

Each newly approved organization will be audited by CAASL at the end of the first year and once in two years thereafter.

SECTION THREE

CHAPTER 7– DISPOSITION OF SCRAP AIRCRAFT PARTS AND MATERIALS

7.1 PURPOSE

The purpose of this chapter is to provide information and guidance to persons involved in the maintenance, sale, or disposal of aircraft parts. It provides additional guidance material and should be read, where applicable, with the requirements of IS-145.A.42 paragraph (d) and IS Part-M.A Subparts C, D and E, to prevent scrap aircraft parts and materials from being sold or acquired as serviceable parts and materials.

7.2 INTRODUCTION

It is common practice for owners of aircraft parts to dispose of scrap parts and materials by selling, discarding, or transferring such items. In some instances, these items have reappeared for sale in the active parts inventories of the aviation community. Misrepresentation of the status of parts and material and the practice of making such items appear serviceable could result in the use of non-conforming parts and materials.

7.3 TYPES OF PARTS AND MATERIALS THAT MAY BE MISREPRESENTED

Persons disposing of scrap aircraft parts and materials should consider the possibility of such parts and materials being misrepresented and sold as serviceable at a later date. Caution should be exercised to ensure that the following types of parts and materials are disposed of in a controlled manner that does not allow them to be returned to service:

a) Parts with non-repairable defects, whether visible or not to the naked eye;

b) Parts that are not within the specifications set forth by the approved design, and cannot be brought into conformance with applicable specifications;

c) Parts and materials for which further processing or rework cannot make them eligible for certification under a recognized released system;

d) Parts subjected to unacceptable modification or rework that is irreversible;

e) Life-limited parts that have reached or exceeded their life limits, or have missing or incomplete records;

f) Parts that cannot be returned to an airworthy condition due to exposure to extreme forces or heat;

g) Principal Structural Elements (PSE) removed from a high-cycle aircraft for which conformity cannot be accomplished by complying with the mandatory requirements applicable to ageing aircraft.

7.4 METHODS TO PREVENT MISREPRESENTATION OF SCRAP PARTS AND MATERIALS

7.4.1 Persons disposing of scrap aircraft parts and materials should, when appropriate, mutilate those parts and materials prior to release. Mutilation should be accomplished in such a manner that the parts become unusable for their original intended use, nor should they be able to be reworked or camouflaged to provide the appearance of being serviceable, such as by re-plating, shortening and re-threading long bolts, welding, straightening, machining, cleaning, polishing, or repainting.

a) As per the note of IS Part M, AMC M.A.504(E), unserviceable components should not be released to any person or organization that is known to return unserviceable components back into the aviation supply system.
b) If unserviceable parts going to be released to a third party from the owner / operator, all the parts shall be mutilated as per IS Part M.A.504(D)2 and AMC M.A.504(D)2 or AMC M.A.504(E) by the owner/operator before the transfer.
c) In the above case, the third party, the new custodian shall maintain a tracking or accountability system, by part number, serial number or any other individualized data to record transferred unsalvageable aircraft components
d) The new custodian is responsible for non-return of unsalvageable components under him/her back into the aviation supply system or any other misuse.

7.4.1.1 Mutilation may be accomplished by one or a combination of the following procedures, but is not limited to:

a) Grinding;

b) Burning;

c) Removal of a major lug or other integral feature;

d) Permanent distortion of parts;

e) Cutting a hole with cutting torch or saw;

f) Melting;

g) Sawing into many small piece

7.4.1.2 The following procedures are examples of mutilation that are often less successful because they may not be consistently effective:

a) Stamping (such as a stamped 'R' on a part);

b) Spraying with paint;

c) Hammer marks;

d) Identification by tag or markings;

e) Drilling small holes;

f) Sawing in two pieces. Persons who rework scrap parts and materials may be skilled technicians and attempt to restore parts cut in two pieces in such a manner that the mutilation proves difficult to detect.

7.4.2 With regards to persons disposing of scrap aircraft parts and materials for legitimate non-flight uses, such as training and education aids, research and development, or for non-aviation applications. In such instances, mutilation is not appropriate and the following methods should be used to prevent misrepresentation:

a) Permanently marking or stamping the parts, subparts, and material as 'NOT SERVICEABLE'. (Ink stamping is not an acceptable method);

b) Removing original part number identification;

c) Removing data plate identification;

d) Maintaining a tracking or accountability system, by serial number or other individualized data, to record transferred scrap aircraft parts and materials; and

e) Including written instructions concerning disposition and disposal of such parts and materials in any agreement or contract transferring such parts and materials.

NOTE: Scrap or expired life-limited parts and materials should not be passed on to any person or organization who may end up placing the parts and materials back in actual use, due to the criticality of parts and material failure and the potential safety threat.

7.4.3 Organizations handling scrap or expired life-limited aircraft parts and materials should establish a quarantine store area in which to segregate such items from active serviceable inventories and to prevent unauthorized access. Caution should be exercised to ensure that these parts and materials receive the disposition specified in this Leaflet.

7.4.4 Manufacturers producing approved aircraft parts should consider maintaining records of serial numbers for 'retired' life-limited or other critical parts. In such cases, the owner who mutilates applicable parts is encouraged to provide the original manufacturer with the data plate and/or serial number and final disposition of the part.

7.5 METHOD TO IDENTIFY MISREPRESENTED PARTS

All purchasers of aircraft parts and materials should ensure that misrepresented scrap parts and materials are not received into active inventory. The following are examples of conditions to be alert for when receiving parts:

a) Parts showing signs of rework which were purchased as ‘new’;

b) Used parts showing signs of unapproved or inappropriate repair;

c) Parts with poor workmanship or signs of rework in the area of the part data plate, number or serial number inscription;

d) Used parts lacking verifiable documentation of history and approval;

e) Parts with prices ‘too good to be true’;

f) Questionable part numbers, fraudulent or suspicious Technical Standard Order or FAA-Parts Manufacturer Approval markings and/or re-identification, stamp-overs or vibro-etching on the data plate;

g) Parts delivered with photocopied or missing EASA Form 1 or other acceptable maintenance release documentation;

h) Parts with a finish that is inconsistent with industry standards (e.g. discoloration, inconsistencies, resurfacing);

i) Parts purchased as new but with release documentation reflecting a status other than new;

j) Parts with poor documentation exhibiting incomplete or inconsistent part identity information;

k) Intact ‘scrap’ unsalvageable parts offered in bulk weight for prices higher than for mutilated parts with identical weight and content.

NOTE: Suspected Unapproved Parts Notification can be found on FAA Internet address: *www.faa.gov/aircraft/safety/programs/sups/upn/* and Special Airworthiness Information Bulletins can be found on FAA Internet address: *www.faa.gov/ aircraft/safety/alerts/SAIB*

An approved organization or AML holder who receives suspect parts should report to the CAASL Airworthiness section.