



Civil Aviation Authority of Sri Lanka

AIR OPERATOR CERTIFICATION PROCEDURE MANUAL

6TH Edition – 2023



Civil Aviation Authority of Sri Lanka

AIR OPERATOR CERTIFICATION PROCEDURE MANUAL

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01	4 th Edition	<p>Chapter 01 – Section 3 – Temporary on Hold of an AOC, added to the heading and to section 3.1.</p> <p>Chapter 01 – Subsection 3.2 – procedure on Granting Temporary on Hold of an Aircraft Added.</p> <p>Chapter 03 - Subsection 2.5.1 point (j) “Cabin Safety Manager” removed and the position was combined to point (k) “Cabin Safety Training Manager”.</p> <p>Chapter 03 - Subsection 2.5.1 NOTE.</p> <p>Chapter 03 – subsection 6.3.2 reactivation word added.</p> <p>Appendix I – Subsection 1.8 – Heading changed from Director In Flight Services to Cabin Safety Training Manager.</p> <p>Appendix I – Subsection 2.6 Qualifications of Director Airline Security were amended.</p> <p>Appendix I - Subsection 2.7 Director In Flight Services (Cabin Safety) title was changed to Cabin Safety Training Manager.</p> <p>Appendix K – Point (g) titled changed from Director In Flight Services to Cabin Safety Training Manager.</p>	15-03-2021
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Foreword

Issue of an Air Operator Certificate (AOC) by a Civil Aviation Authority (CAA) to an applicant seeking such certificate is a requirement as per Civil Aviation Act, No 14 of 2010 /The Ceylon Air Navigation Regulations of 1955 with reference to Annex 6 of the Convention to International Civil Aviation. In pursuance to Implementing Standards (IS) 013, an AOC is a certificate authorizing an operator to carry out specified commercial air transport operations. Hence certification of an air operator is a very vital role in the regulatory system. In order to assess the competence of an applicant for AOC, the CAA has to conduct an in-depth evaluation of the proposed operation, which should at least cover organization, staffing, equipment & facilities, proposed routes, level and type of service and finances. The issue of an AOC would be depended upon the applicant demonstrating an adequate organization, method of control and supervision of flight operations, training programmes as well as ground handling and maintenance arrangements consistent with the nature and extent of the operation specified.

The certification team of Inspectors of the Civil Aviation Authority is responsible for conducting the required evaluations to ensure the applicant's capability of meeting the actual and potential obligations in establishing and continuing to maintain safe operation of air services, prior to issuance of the AOC. **Hence, all Inspectors involved in the certification process of the issuance of an AOC, shall be guided by the requirements stipulated in this manual.**

If found competent, the applicant would be issued an AOC setting forth the operational authorization and limitations to carry out specified commercial air transport operations and the operator is required to obtain separate licenses for each class/type of operations. Subsequent to the issuance of an Air Operator Certificate, Civil Aviation Authority would continue to monitor the operations by a systematic procedure of surveillance and inspections.

It is noteworthy to mention that the purpose of this manual is to explain the administrative procedure involved, for the issue and renewal of an Air Operator Certificate and to indicate the requirements to be met by an applicant for such a certificate. Every application is considered on its merits. Furthermore this is guidance for CAA Inspectors to certify operators for an issue of an AOC.

It is expected that the applicant of an Air Operator Certificate will be benefited by this manual as it explains the administrative procedures involved so that the process would be independent and transparent. However failure to comply with every detail outlined in this manual does not mean that the Director General of Civil Aviation (DGCA) will refuse to grant an Air Operator Certificate. It is possible that failure to comply with certain requirements described in this manual will be addressed in an acceptable alternate means, thereby enabling the Authority to be satisfied with the overall competence of the applicant.

Prospective applicants may visit the CAA official website at www.caa.lk to obtain further details. This Authority may, without any prior notice, change the contents of this manual as appropriate, to suit the administrative requirements.

P.A. Jayakantha
Director General of Civil Aviation and Chief Executive Officer
Civil Aviation Authority of Sri Lanka.

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Abbreviations

AFM	-	Airplane Flight Manual
AIC	-	Aeronautical Information Circular
AIH	-	Airworthiness Inspector Handbook
AIP	-	Aeronautical Information Publication
AIRAC	-	Aeronautical Information Regulation and Control
ANR	-	Air Navigation Regulations of Sri Lanka
AOC	-	Air Operator Certificate
ASN	-	Aviation Safety Notice
AVSEC	-	Aviation Security
AWOP	-	All Weather Operations
CAA	-	Civil Aviation Authority
CAMO	-	Continuing Airworthiness Management Organization
CAME	-	Continuing Airworthiness Maintenance Exposition
CAI	-	Civil Aviation Inspector
CAI-ACS	-	Civil Aviation Inspector- Aircraft Cabin Safety
CAI-AFO	-	Civil Aviation Inspector – Aircraft Flight Operation
CAI- AGO	-	Civil Aviation Inspector – Aircraft Ground Operations
CAI – AW	-	Civil Aviation Inspector – Aircraft Airworthiness
CDL	-	Configuration Deviation List
CSI	-	Cabin Safety Inspector
C of A	-	Certificate of Airworthiness
C of R	-	Certificate of Registration
DCP	-	Designated Check Pilot
DGCA	-	Director General of Civil Aviation
DGR	-	Dangerous Goods Regulations
DSCAI	-	Designated Senior Civil Aviation Inspector
ETOPS	-	Extended Twin Engine Operations
FOI	-	Flight Operations Inspector
FOIH	-	Flight Operations Inspector Handbook
FOM	-	Flight Operations Manual
ICAO	-	International Civil Aviation Organization
LOFT	-	Line Oriented Flight Training
MCM	-	Maintenance Control Manual
MEL	-	Minimum Equipment List
MMEL	-	Master Minimum Equipment List
MNPS	-	Minimum Navigational Performance Specifications
NOTAM	-	Notice to Airman
Ops Spec	-	Operations Specifications
PBN	-	Performance Based Navigation
Rev	-	Revision
RNAV	-	Area Navigation
RNP	-	Required Navigational Performance
RVSM	-	Reduced Vertical Separation Minima
SARPs	-	Standards and Recommended Practices
SCAI	-	Senior Civil Aviation Inspector



- SLCAP - Sri Lanka Civil Aviation Publication
- SOPs - Standard Operating Procedures
- USOAP - Universal Safety Oversight Audit Programme

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Definitions

“Noted”

This is a term to be used when completing the Declaration of Conformance to indicate that the Operator has read and understood the provisions made in the Regulations but it does not require him to take any action to comply with the regulation.

“Noted & Complied”

This is a term to be used when completing the Declaration of Conformance to indicate that the Operator has read and understood the provisions in the Regulations and action has been taken to comply with it. When the operator states “Noted and complied” it is necessary to make necessary cross- reference to the relevant documents of the operator which describes action/step that he has taken for such conformance. This may be done by quoting the applicable section and /or paragraph numbers and the title of the Operator’s Manuals.

“Noted but Compliance deferred” This is a term to be used when completing the Declaration of Conformance to indicate the Regulations which the operator has failed to comply with at the time of application.

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CHAPTER 1

INTRODUCTION

1. General

- 1.1. Pursuant to Section 73 of the Civil Aviation Act No.14 of 2010 and the Regulation 180, 184,185,186 and 187 of Air Navigation Regulations of 1955,, Chapter XIII “Air Services Operations”, requires a person intending to operate an aircraft for private, aerial work, charter or regular public transport services to obtain an authorization from the Director General of Civil Aviation (DGCA), which is hereinafter referred to as an Air Operator Certificate (AOC). AOC specifies the nature and scope of operations granted to an air operator together with the terms, conditions and limitations applicable to such operations. An operator is required and expected to ensure that all operations undertaken are well within the requirements specified in the AOC.
- 1.2. The DGCA is empowered to specify and vary the conditions of an AOC and associated Operations Specifications (Ops Spec) which specifies the nature and scope of operations authorized together with relevant conditions and limitations. (e.g. ETOPS, PBN, RNP, RVSM, AWOP, MNPS, RNAV, DGR) Furthermore DGCA is authorized to suspend or cancel an AOC issued by him, if one or more of the conditions stipulated therein is breached or not maintained to the same level as demonstrated at the initial certification.
- 1.3. Prior to issuing an AOC, the DGCA needs to be satisfied that the operator conforms to all the requirements of relevant legislation, subsidiary legislation and associated requirements published by the DGCA. The certification team in chapter 2.11 shall ensure that the operator complies to the following in order to assess the technical fitness of the applicant as indicated by the applicable checklist below.
 - a. The aircraft shall meet the appropriate standards of airworthiness and operational requirements, thereby equipped with all mandatory items for communication, navigation, surveillance and safety and emergency equipment in accordance with the applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures published by the DGCA for safe, secure, efficient and regular operations of proposed services; **(Checklist 13)**
 - b. The operator has provided for adequate servicing and maintenance of the aircraft and established an effective system of maintenance control for this purpose; **(Checklist 20)**
 - c. The operator has provided for an effective means of operational control of the aircraft that he intends to operate as specified in Chapter 3, 3.5. **(Checklist 15)**
 - d. The organizational structure, staffing and administrative facilities in the areas such as operations, maintenance and/or all other associated areas of the operator is appropriate and the nominees for the Designated Post Holders appropriate and the nominees for the Designated Post Holders have adequate experience and required qualifications and are acceptable to and approved by the DGCA as in **Appendix I** in this manual.

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- e. Detailed procedures, techniques and guidance are included in Operator's Manuals giving specific instructions / information as to how the operator's personnel are required to carry out their duties and functions and such manuals shall receive approval from the DGCA. **(Checklist 03)**
- f. Flight crew, cabin crew ,dispatchers ,ground handling staff and all other personnel required for operation of aircraft who are qualified and trained as per published requirements; are available in sufficient numbers to carry out operations the applicant seek. **(Checklist 04)**
- g. Operations organisation of the operator shall ensure that limitations for flight time, flight duty periods, duty periods and rest periods for fatigue management of flight & cabin crewmembers are in place as per IS 54. **(Checklist 07)**
- h. All required training and checking programmes, instructors/ check airmen and training infrastructure including training/ checking facilities (local, in-house outsource and abroad) simulators , and any other synthetic devices and these shall have approval of DGCA, where applicable; **(Checklist 16)**
- i. Type(s) of aircraft are approved for the proposed class(es) of operations and are suitable for the proposed operations and they are available in sufficient numbers; **(Checklist 13)**
- j. Facilities and ancillary services required for the proposed operations have been organized to ensure safe, secure, efficient and regular operation; **(Checklist 04)**
- k. Potential and actual liabilities of the operator in respect of aircraft, crew, passengers, cargo and third party are covered with an insurance policy through a local agent; **(Checklist 01)**
- l. An effective safety management systems is in place (gazette notification 1882/49 dated 03rd October 2014) and in compliance to SLCAP 2600 Chapter. **(Appendix L of SLCAP 2600)**
- m. Flight safety documents system in place as per IS 002. **(Appendix Q)**
- n. Flight data analysis programme & system of preservation of data is in place as per SLCAP 4220.
- o. Air operator makes available to flight crew and operational personnel, at all aerodromes authorized in its AOC and corresponding operations specifications, information contained in the AIP, AIRAC, AIC, pre-flight aeronautical information, including dissemination of weather data and NOTAMS for the safety, regularity and efficiency of air navigation. **(Checklist 03)**
- p. Policy and procedures for flight crew to record and report on routine meteorological observation during en-route and climb-out phases of the flight and special and other non-routine observations such as severe turbulence, thunderstorms, volcanic ash, serve mountain waves, severe icing, heavy dust storms during any phase of the flight is established. (Checklist 03)
- q. An accident victim relief programme has been drawn up as per guidance of ICAO CIR- 285/AN/66).
- r. An arrangement for the removal of disabled aircraft on the runway has been drawn up in consultation with the airport operator;
- s. In respect of economic status, adequate financial resources are available for the operator to fulfil actual and potential obligations arising from the proposed

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operation as per the Business Plan submitted, for a minimum period of three years. **(Checklist 01)**

- t. General and legal status of the operator; **(Checklist 01)**
- u. Operational requirements in relation to Ground handling ,Passenger handling & public safety, provision of operational information to crew, arrangements of proposed fuel policy, flight and cabin crew scheduling, operations support services, operational loading and load control, take off & landing minima of the operator. **(Checklist 02)**
- v. Installations, equipment and staff facilities associated with base & stations are adequate for the proposed operation.
- w. The requirements as laid down in IS 009 / SLCAP 4400 for transportation of Dangerous Goods by air.
- x. Maintenance requirements in relation to technical data, fuelling, maintenance facilities, weight and balance, aircraft servicing, spares holding/ stores control, MEL, CDL, maintenance release, accomplishment/ control of airworthiness directives, maintenance systems, time-in-service/maintenance records, maintenance contractual agreements and Defects reporting system of the operator. **(Checklist 36)**
- y. Any other element identified as a requirement during the certification process is in place and is sufficient to ensure the conduct of operation with the type(s) of aircraft to be operated.
- z. The operator shall establish an aircraft tracking capability to track aeroplanes throughout its area of operation as required by section 5 of IS 012 and GD 16.

1.4. The AOC and the associated Operations Specifications specify only the nature and scope of the authorizations in relation to the technical competency of the airline for safe, secure, efficient and regular operation of air services. The AOC alone will not authorize an operator to engage in any operational activity unless the operator has also obtained an Airline Licence(s) in accordance with the Section 84 of the Civil Aviation Act No.14 of 2010, and Chapter XIII, of the Air Navigation Regulations of 1955.

1.5. An Airline Licence issued under the Section 87 of the Civil Aviation Act No.14 of 2010, and Chapter XIII of the ANR 1955, will specify the scope of authorizations given to an operator who holds an AOC in regard to the use of traffic rights (market access) and other applicable conditions and limitations on air transport economics related matters, in the operation of proposed air services within the technical/operational scope specified in the AOC.

1.6. The application for the issue of an AOC must be prepared in accordance with the requirements prescribed in **Appendix - A** of this manual.

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2. Continued Compliance / Surveillance by CAA Inspectors

- 2.1. Once certified, the operator is responsible for the continued compliance with the initial conditions of certification and applicable legislative requirements promulgated by DGCA from time to time. The CAA will maintain regular surveillance on the operator's activities to ensure continued compliance, in addition to conducting formal and detailed audits where the operator's actual operations are checked against approved procedures in the operator's documents. When deficiencies are observed, the operator shall be guided to take appropriate action to rectify the deficiencies and to initiate appropriate follow up actions/ corrective actions.
- 2.2. The CAA inspector shall carryout additional inspections whenever non compliances in particular areas are repeated.
- 2.3. If it is revealed that the operator has failed to meet or is unable to meet or maintain the required standards for certification or the conditions specified in the AOC and its associated operations specifications, the CAA inspector is responsible to advise the operator of the deficiency observed and of the remedial action required. Remedial action will normally be required as per the time frame given by the CAA inspector. CAA inspector shall be guided by the severity of the finding on the impact of safety.
- 2.4. If an operator does not correct a deficiency in a timely manner, the CAA inspector should inform the DGCA and, if necessary, make a recommendation that the AOC and its associated operations specifications be restricted, temporarily withdrawn or permanently withdrawn.

3. Suspension/Cancellation, or Revocation

- 3.1. Suspension/Cancellation or Revocation of an AOC
 - 3.1.1. Failure on the part of the operator to comply with the applicable published requirements may result in either the imposing of administrative penalties or suspension / cancellation or revocation of the AOC.
 - 3.1.2. An operator should note that in the event of a suspension/ cancellation or revocation of an AOC, the operator needs to be reinstated or recertified, with a process as determined by the DGCA.
 - 3.1.3. An operator should note that even if an enforcement action was not taken by the DGCA and operations are conducted in breach of a condition or conditions of the AOC, such operations are construed to be unauthorised and the operator is liable for enforcement action by the CAA, on detection of such an occurrence even belatedly.
 - 3.1.4. The guidance for enforcement is given in detail in the Manual for Aviation Enforcement Policy & Procedures (SLCAP 0005).

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4. Exemption from Regulations

- 4.1. An operator should note that deviation, exemptions, exceptions, and prolonged extensions from regulations will not be normally considered by the DGCA.
- 4.2. However, the DGCA may give exemptions pursuant to the extraordinary gazette no 1873/22 dated on 31st July 2014, in compliance to IS 005 to an applicant for issue of an AOC provided that;
- a. An alternate means of compliance is established.
 - b. A Safety Risk Assessment has been carried out by the safety manager on the impact of safety
 - c. Is convinced that the safety of operation, shall be ensured.
 - d. Notification of such exemptions shall be intimated to those foreign states that the operator intends to operate.
- 4.3. Where the applicant seeks an approval for a concession, a specific written request is required along with the applicable checklist in Appendix R and the request shall be directed to the DGCA for consideration with a dully filled of the application.

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CHAPTER 2

BACKGROUND

1. Certification Process

1.1. The certification process requires the CAA to ascertain through a systematic process whether or not a prospective applicant has both the required aptitude and resources to comply with the applicable legislative requirements and to fulfil the applicant's actual and potential obligations for operation of safe, secure, efficient and regular public air transport services as proposed. This process involves five distinct phases as stated below:

- a. **Pre-application.** During this phase, the applicant conducts initial studies, prepares plans, makes inquiries from the CAA in regard to the opportunities available under the existing air services agreements and seeks advice as to the validity of different proposals. The prospective applicant at this stage is required to submit a letter of intent to the CAA outlining the proposals and the CAA will then invite the applicant for a pre-application meeting. Based on the initial information provided to the CAA, by the applicant, an estimate of costs for the certification including the newspaper publication will be computed according to the fees and charges levied by CAASL.
- b. **Formal application.** During this phase, the applicant is expected to submit the complete application (**Appendix – A**) to the CAA together with the cost of certification established during the previous phase and relevant documents to support the intended operation. The CAA will then make a formal assessment of the completeness of the applicant's proposal and invite the applicant for a Formal Application meeting where the details relating to the certification process would be formally discussed.
- c. **Document evaluation.** During this phase, the CAA will undertake a detailed study of the applicant's manuals and other documents, which accompanied the formal application. The documentation must be complete, accurate and current to satisfy the CAA's requirements before the inspection phase can commence. There will be series of discussions between the CAA and the nominated post holders of the applicant at this stage in regard to establishing the validity/acceptability of the applicant's proposals. It should be noted that the documents shall reflect precisely the mode and manner in which the applicant intends conducting the proposed operations and once approved, they shall form a part of the understanding between the CAA and the operator in regard to future functioning of the operator. It is important to emphasise that the manuals & documents shall comply with the requirement of IS 002-Flight Safety Documents System.
- d. **Inspection prior to certification.** During this phase, the applicant needs to demonstrate to the CAA that the applicant is in a position to conduct the proposed operations in accordance with the procedures detailed in the documents/manuals reviewed during the previous phase utilizing the personnel/facilities/equipment identified in the formal application. Qualifications and experience of the nominees for Designated Post holders will be evaluated and interviewed prior to the facility inspection. Aircraft, maintenance facilities and

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arrangements will be inspected. Training facilities, programmes and training personnel will be evaluated. Company's organizational structure, channels of communication, delegation of powers, financial strength and sources of funding will be subjected to detailed scrutiny to ensure that the company has sufficient resources, effective arrangement and control to satisfy its obligations. Facilities for flight operations, ground handling, facilities and services for passenger, baggage and cargo handling including dangerous goods and security arrangements would be evaluated. Flight, cabin and technical crew, operations and maintenance staff, flight operations officers, designated check pilot/ flight engineers and load controllers will also be assessed. If the CAA is satisfied with the above arrangements, proving flight(s) will be conducted to one or more destinations of intended operations, as determined by the DGCA. This phase may reveal the need for some operational changes, which in turn may require the applicant to make amendments to the documents originally submitted. All elements must be satisfactorily completed before proceeding to the certification phase.

- e. **Certification.** When all the previous phases have been satisfactorily completed, the CAA will take the necessary administrative action to approve formally the nominees for Designated Post holders, the aircraft, facilities and procedures specified in the Operations Manual, Maintenance Control Manual, Training & Checking organization and formally issue the Air Operator Certificate and the associated Operations Specifications.

2. Responsibility of the Operator

2.1. Major objective of the air operator certification is to ensure that an applicant for an AOC is fully aware and has clearly understood at the very outset about the actual & potential obligations arising out of the proposed operations (especially the legal & social responsibilities) and the financial commitments required to sustain the proposed operations in conformity with the published civil aviation requirements relating to safety, security, efficiency and regulatory of air transportation.

2.2. Accordingly, an Air Operator Certificate WILL NOT BE ISSUED UNTIL THE CAA is fully convinced and satisfied beyond any doubt that all requirements for issuance of an Air Operator Certificate have been compiled with, prior to commencement of the proposed operations and that the operator has both the required aptitude and resources to maintain proposed services without compromising any of the initial conditions of certification.

3. Refusal of an application for an Air Operator Certificate

3.1. The formal application may be refused, if the applicant fails to satisfy in regard to the following;

- a. The need for air transport in the area concerned with special reference to the potential traffic, existing air services and the capacity of the applicant as an operator;

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- b. Economic strength required to fulfil actual and potential obligations for a period of at least three years;
- c. Routes proposed;
- d. Aircraft proposed to be flown;
- e. Competence of technical personnel;
- f. Procedures and arrangements as an operator;
- g. Maintenance facilities and arrangements;
- h. Schedules, fares and rates;
- i. Arrangements in place for provision of safe, secure and efficient air service in compliance with the published requirements.
- j. State / Aviation security concerns.

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

4. Equivalent safety

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

5. Authorization for the issue of an Air Operator Certificate

5.1. Initial issue of an AOC together with the Operations Specification, which is required for the intended operations, will be issued once the certification team makes the required recommendations to the DGCA to that effect after conducting of a proving flight or flights as required.

5.2. The recommendation for the issue of the AOC will be made by the Team Manager who is in charge of the certification process after receiving required recommendations from the Team Leaders in charge of Airworthiness and Operations.

6. The basis on which the CAA establishes an Estimate for Certification (E of C)

6.1. The CAA will prepare a quotation on the basis of information provided in the Pre-Application phase and will briefly summarize that information in the quotation. However, if the operator does not indicate the exact type of aircraft and the intended operation, it would be only an estimate. The quotation will be valid for six (6) months, which means that the formal application must be submitted within that period following receipt of the quotation. Quotations are made on the assumption that all work required of the CAA for a valid issue of an AOC will be completed within 12 months from the date of formal

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application. If the requirements for the issue of an AOC have not been satisfied and the AOC is not issued within 12 months, a new cost will be applicable in respect of the outstanding work. The cost of certification will be in accordance with the fees and charges levied by CAASL.

7. Responsibility of the Applicant with regard to the training of CAA Inspectors

- 7.1. The type of aircraft proposed, if not previously registered in Sri Lanka, may require the applicant to provide the CAA staff with type specific training. The applicant will be responsible for the cost of training of at least two Flight Operations Inspectors and two Airworthiness Inspectors who are attached to the CAA. It should be noted that type endorsement training for the FOI's would involve at least eight (08) hours of flight time in the aircraft or simulator as may be determined by the DGCA. The inspector(s) must have completed their training either before any member of the operator commences their training or at the same time that the first crewmembers of the prospective operator receive their training.
- 7.2. In the event, the holder of an AOC inducts or replace any of their aircraft with a new type of aircraft or an aircraft that is not at that time in service in Sri Lanka, the AOC holder shall incur the same responsibilities and expenses as outlined in paragraph 7.1 above.

8. Schedule of Events

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

9. Statement of Compliance (Declaration of Conformance)

- 9.1. A Statement of compliance is a declaration by an applicant that the applicant is aware of and has a plan that is approved by CAA to satisfy all pertinent regulations and applicable safety standards promulgated by the DGCA. The statement is in the form of a detailed list of applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures that will be applicable to the operations proposed. The applicant is required to provide a brief narrative, describing the intended method of compliance, which shall be achieved against each item of the regulatory requirements. The format of the compliance statement to be completed by an applicant is found in **Appendix - C**.
- 9.2. Where the operator does not or cannot comply with the normal requirements and seeks a concession in lieu, the Compliance Statement should reflect that a particular concession has been sought. Under these conditions, approval of the Compliance Statement is contingent on approval of each requested concession.

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9.3. It is imperative that an applicant after receiving the formal authorization for flight operations through an AOC and associated Operations Specification, inform the DGCA of arrangements in place in order to conform to the regulatory requirements that would be published by the CAA through subsequent applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures and amend or supplement the Statement of Compliance accordingly.

10. Operations Specifications (Ops Spec)

10.1. Operations Specifications consist of two basic categories.

- a. The operations specifications associated with an AOC are an integral part of the authorization under which an operator conducts operations. The specifications identify the number of the associated AOC, the name of the operator, the date of issuance and the signature of the DGCA responsible for the issuance with regard to the Aircraft and the type of operation and the geographical areas in which operations are authorized. The specifications cover all aspects of the operation and include special limitations and authorizations as appropriate.
- b. The conditions for the authorisations specified and included in the AOC may be issued where the operator can establish that specific circumstances exist which justify either a waiver against compliance with relevant regulatory requirements or the issue of special authorizations to conduct the proposed air service, e.g. carriage of explosives. Concessions will not be granted unless equivalent safety can be demonstrated.
- c. The purpose of issuing Ops Spec is to supplement the general provisions of the basic Air Operator Certificate, by specifying authorizations and limitations not specifically covered by the ANRs and to facilitate administrative requirements and/or procedures. The issue of the AOC together with Ops Spec constitutes DGCA's approval for the operations proposed. It shall however be noted that the applicant shall not engage in any air service operation only with a valid AOC unless the holder has obtained a requisite Airline Licence as mentioned in Chapter 1 – 1.5.
- d. For the purpose of standardization and administrative convenience, refer Appendix O.
- e. Operations Specifications associated with an AOC are an integral part of the authorizations issued in terms of the applicable provision in law specifying the nature and scope of permission granted and the mode and manner the operator shall conduct the operations authorized. Hence the holder of the AOC shall ensure that requirements/ conditions in the Ops Specs are complied with at all times, unless deviations from Ops Specs are required for safety or security reasons.
- f. Where the applicant seeks an approval for a concession, a specific written request is required and the request should be directed to the DGCA for consideration. **But there would be no exemptions pertaining to safety requirements. The operator's SMS team is expected to carry out a safety risk analysis and threat analysis prior to requesting such concessions.**

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11. Certification Team

11.1. The DGCA will appoint a team for the certification process. A certification team is a group of CAA Inspectors appointed to carry out the inspections and assessments required prior to certifying an applicant is suitable to hold an AOC. The size of the team will vary according to the size and complexity of the task(s) involved. The team will be headed by a Project Manager who shall be responsible for managing the overall certification process and in particular, the coordination of the activities of operations and airworthiness teams. The certification team will comprise of the following sections of the CAA,

1. Aircraft Operations Section
2. Airworthiness Section
3. Aviation Security Section
4. Air Transport & Economic Regulations Section
5. Air Navigation Services Section
6. Training Organisations and Personnel Licensing Section
7. Aerodromes Section
8. Finance Section
9. Legal Section

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

11.2. Inspectors of each discipline are further guided by the requirements published in their respective Inspector Handbook for the issuance of an AOC, and will use the relevant checklists in the Handbook for any additional requirement, when conducting Inspections for the above purpose.

11.3. Process for the issuance of an AOC is in **Appendix M**.

11.4. The applicant is expected to meet the inspectors of the CAA with prior appointment to discuss the process involved with each discipline of the Certification. A "Work Sheet" (**Appendix - E**) will be filled by the applicant and the inspector pertaining to each meeting to record the progress made in the process.

11.5. The DGCA, if satisfied beyond any doubt that the applicant is capable of meeting the requirements of the Air Navigation Act, Civil aviation Act & Regulations made there under, for operations of air services as proposed, an AOC and Operations Specifications will be issued.

11.6. Conditions for a refusal of an AOC application are detailed in Chapter 2 – section 3.1 of this manual.

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CHAPTER 3

INITIAL ISSUE OF AN AOC

A flow chart outlining all the activities that has to be accomplished during an application process by an applicant for an AOC is in Appendix F. An applicant is free to make contact with the CAA without making a commitment to determine the feasibility of a proposal. An applicant will be required to formally notify the CAA in the form of a letter of intent once decided to proceed with obtaining an AOC.

1. The Pre-Application Phase

There are three distinct activities, which are conducted during this phase. The pre-application phase should include a parallel assessment of the financial, economic and legal status of the applicant and the proposed operation.

1.1. Application - Statement of Intent with Appendix S

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

1.2. Pre-Application Meeting

1.2.1. The purpose of this meeting is to ensure that the applicant has a clear understanding of the certification process and to provide a firm basis on which the CAA can prepare a quote for the issue of an AOC.

1.2.2. As a minimum, the following points will be discussed during this meeting:

- a. The specific requirements particular to the proposed operation, applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures
- b. The qualifications and experience required for the nominated post holders.
- c. The certification process - The applicant must closely liaise with the CAASL certification team.
- d. The required form and content of the Formal Application and its attachments - The application and its attachments must be submitted at least 60 days before the date of intended revenue operation. Sixty (60) days will only provide adequate time to handle the application if all aspects are correct and complete at the time of submission. This does not mean that the CAA will be able to complete the certification process within this time span. The completion of the certification process would not only depend on the completeness of the application, and the willingness of the applicant to satisfy the CAA requirements but also the workload already undertaken by the CAA inspectors under its annual work programme.
- e. It is imperative that the applicant understands that no revenue operations shall be permitted until the AOC and Operations Specifications are issued.

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- f. The basis upon which the CAA determines the cost of certification - The fee which shall accompany the formal application will not be refunded and is based on completion of all the work within 12 months of the formal application. If certification has not been completed within that period due to either a lapse or a delay on the part of the applicant, the application may be deemed to have expired. The following are examples of situations that can result in delays of certification;
- i. Not meeting the schedule of events;
 - ii. Not providing lease agreements or other documentation as required by CAA;
 - iii. Unreasonable timing in the schedule of events or failing to provide adequate buffers to cover possible delays;
 - iv. Submission of incomplete or unacceptable material or other required documents that must be returned for correction;
 - v. Nomination of unacceptable personnel as Nominated Post Holders, lack/inadequacy of proficiency of crewmembers or maintenance personnel;
 - vi. Unsatisfactory standards as revealed by inspections and / or demonstrations, e.g. emergency evacuation demonstrations, proving flights, conformity checks, etc;
 - vii. Untimely or unsatisfactory development of the maintenance programs and / or delays in obtaining a conformity inspection for the aircraft;
 - viii. Non availability of applicable manuals, records and other documents which are required to be completed / approved or accepted prior to certification. These should be drafted and completed prior to the submission of the formal application;
 - ix. There is a distinction between general advice from the CAA (which is free), formal advice from the CAA (for which a fee is charged) and specialist advice (which is available from consultants attached to CAA);
 - x. Special additional requirements, where an applicant is introducing a type of aircraft that is not already in service in Sri Lanka. (See Appendix H).
 - xi. Any other situation other than above which is acceptable to DGCA.

1.3. Provision of Estimate

1.3.1. Following the pre-application meeting, and given that the applicant has decided to proceed, the CAA will prepare an estimate of the costs associated with the certification process. This will be a written quote covering the following: -

- a. The cost of certification estimated in Sri Lanka Rupees.
- b. The cost of newspaper publication in three languages.
- c. A summary of the nature of operation envisaged for certification.
- d. The time frame covered by the estimate (this will be 12 months from the date of formal application); and
- e. The period of validity of the estimate (6 months from the date of the quotation)

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1.3.2. The Formal Application shall be submitted along with the certification fee (Non Refundable).

2. The Formal Application Phase

2.1. General

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

2.1.2. When the formal application is received, the CAA will arrange a formal application meeting. Although arrangements could be made for the application to be submitted at that meeting, it is advisable for it to be submitted in advance so that the CAA can confirm that all required material have been submitted, at the formal application meeting or comment thereon.

2.1.3. The formal application must be submitted at least sixty (60) days before date of intended revenue operations. A brief description, applicable attachments and a detailed check-list of items to be covered in the formal application are placed at Appendix - A.

2.2. The Schedule of Events

2.2.1. This is a list of items, activities, aircraft, and/or facility acquisitions which must be accomplished or made ready, including the dates on which they will be ready for the CAA to inspect. It is important that the schedule be realistic and contains sufficient flexibility to allow for unforeseen contingencies. A factor which must be considered when the schedule of events is forwarded is whether the CAA has operations and airworthiness inspectors already trained on the proposed aircraft type and if not, how long will it take to train them. If the CAA does not have sufficient number of already trained and qualified inspectors on the type of aircraft to be operated, the applicant will be required to absorb the cost of type specific training for at least two operations inspectors and two airworthiness inspectors as outlined in the previous chapter.

2.3. Manuals to be produced with the formal application

2.3.1. The following manuals (2 copies each) must accompany the application and they shall be guided by the IS002 – Flight Safety Documentation,

- a. Operations Manual (individual manuals and / or items listed below form part of the operations manual) as applicable,
 - i. Aircraft Operating Manual/Flight Crew Operating Manual / Pilot Operating Handbook
 - ii. MEL
 - iii. CDL as applicable

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- iv. Aircraft Performance Manual
- v. Mass and Balance Control Manual (Weight and Balance Manual)
- vi. Ground Handling Manual
- vii. Training Manuals for Flight crew, Cabin Crew, Operations Personnel and Ground Personnel
- viii. Route Guide
- ix. Dangerous Goods Manual (Optional)
- x. Passenger Briefing Card
- xi. Aircraft search procedure checklist
- xii. Dispatch Manual (Operational control procedures, dispatch, flight following etc)
- xiii. Safety & Emergency Procedures Manual (Cabin Safety Manual)
- b. Safety Management Systems Manual including a description of the flight safety documents system
- c. Aviation Security Program
- d. Maintenance Control Manual (Continuing Airworthiness Management Exposition - CAME)
- e. Maintenance Programme including maintenance Schedules
- f. MMEL
- g. Training Manual for maintenance personnel
- h. Aircraft Flight Manual

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

2.4. Statement of Compliance

2.4.1. The compliance statement (**Appendix C**) shall be in the form of a detailed listing of applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures that will be applicable to the proposed operation with either a brief narrative description of compliance.

2.4.2. If the method of compliance has not been fully developed, a statement of intent should be provided indicating the intent to comply. At this stage of the certification process, the applicant is expected to have considered the proposal in details and there should be a few areas, if any, in which precise compliance information is not available. Documents that may be referred to in the compliance statement includes the manuals indicated in para 2.3.1.

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2.5. Nominated Post Holders

2.5.1. The duties and responsibilities and authorities shall be clearly defined and that clear delineation of functional tasks and lines of reporting shall be established and documented and in this regard the operator shall have following personnel responsible for the following posts that should be approved by the CAASL:

- a. Accountable Manager
- b. Head of Flight Operations
- c. Head of CAMO
- d. Head of Training
- e. Head of Ground Operations
- f. Head of Airline Security
- g. Head of Quality / Compliance Monitoring
- h. Head of Safety Management System
- i. Chief Pilots of Each Fleet
- j. Head of Cabin Crew

NOTE:

1. Some of the above positions may be combined depending on the size and complexity of the operation, if the management structure is acceptable to the DGCA.
2. Designations mentioned above can be varied as per the scope and complexity of the organization.
3. All the above Nominated post holders and concerned Board of Directors shall have the Ministry of Defense clearance prior to the appointment granted by the DGCA.

2.5.2. The guide to the qualifications expected of the nominated post holders is given in the Appendix – I. Resumes should be provided containing information on the qualifications and expertise, including licences and ratings of personnel selected, for the above or equivalent positions.

2.6. Aircraft / Facilities and Services

2.6.1. The type of aircraft intended to use for the operation shall receive prior approval from the DGCA. Evidence should be provided that the aircraft, facilities and services will be available to conduct the proposed operations. Evidence should be in the form of proof of purchase, formal contracts or financial lease agreements.

2.6.2. If the formal documents are not available at this stage, letters showing the agreements will be satisfactory until the formal documents are available. It will also be necessary to provide documents showing details of the insurance for the aircraft, its occupants and third parties. The insurance scheme should be in compliance with the applicable convention(s) and / or local legislation.

2.6.3. The Applicant shall have at least one aircraft, which will be used for intended operations, registered in Sri Lanka to be certified as an Operator.

2.6.4. The validity of the AOC becomes null and void and it will automatically be suspended in the event that the operator fails to maintain at least one Sri Lanka registered aircraft in

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its fleet. In such cases CAA inspectors should take action to remove the aircraft from the operations specifications.

2.6.5. In the event that the operator introduces an aircraft to their Operations Specifications within six (6) months of the suspension of the AOC, the AOC may be reinstated provides the operator maintained all requirement in the initial certification. The Operator shall comply with Appendix H if the type of the aircraft if different from the initial certification.

2.6.6. Failure to comply with aforesaid requirement the operator shall be subjected to an initial certification of an AOC.

2.6.7. In the event that the operator deregistered the Sri Lankan Registered aircraft with the view to introduce another aircraft under its fleet and the operator has one or more aircraft on the basis of any lease, charter, interchange or similar arrangement, the DGCA may grant an exemption to keep the AOC valid for a period of six (6) months. In such cases AOC holder shall request the DGCA for an exemption in accordance with Implementing Standards 005 and Paragraph 4. Chapter 1 of this manual.

3. The Document Evaluation Phase

3.1. General

3.1.1. During this phase, the Civil Aviation inspectors will inspect the documents provided in support of the formal application. The documents must specifically relate to the proposed operations. If a document or manual is incomplete or deficient, or if non-compliance with regulations or safe operating practices is identified, the document or manual should be returned to the applicant for corrective action.

3.2. Lease Agreements

3.2.1. Civil Aviation Authority does not recognize leasing agreements with operators, registered in certain States due to operational difficulties. Hence it is advised that the applicant may inquire from the CAA about such States prior to entering in to lease agreements with the operators based or registered in such States. The CAA's advice on such States will be based primarily on the Reports issued by the International Civil Aviation Organization (ICAO) under the Universal Safety Oversight Audit Programme (USOAP) and other safety related information gathered by the CAA through Accident Investigation Reports. The applicable requirements for Lease of Aircraft are published in IS 091 & IS 004. The guidance for Leasing of Aircraft is in **Appendix G**.

3.2.2. Any lease agreement entered into must be evaluated by Civil Aviation Authority to make a determination as to who has "operational control" of the aircraft that are to be leased, in relation to ICAO Annex 1, Annex 6 and Annex 8. Lease agreements would be accepted only if the CAA approves its contents, and any amendments thereto must be affected only with the approval of Civil Aviation Authority. The provisions of the lease agreements, which shall specify who will perform, what, when, where and how, are of interest to the Civil Aviation Authority, in granting the requisite approval.

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3.3. Manuals

3.3.1. Manual Standards

Any Manual /Document prepared by an applicant for the approval / acceptance of the CAA or to satisfy its regulatory requirements shall contain the following, in order to ensure effective production, amendment, distribution and/or uniform use of, or compliance with information relating to the company requirements. The Manual shall have the following references as a minimum.

- a. **Reference Number used to identify the Document:** This number shall be printed on each page of the Manual/Document.
- b. **Trade Mark / logo of the applicant:** This shall be printed on each page of the Manual/Document.
- c. **Title of the Manual / Document, Edition Number & Year of edition:** This shall be in each page.
- d. **Title of the person under whose authority the document is printed:** the title of the person who authorized the production of the Manual / document should be written at the bottom of the cover / front page;
- e. **Control Number:** In addition to whatever information the applicant may wish to print on the inner page immediately after the cover page, shall contain the control number which indicates the serial number;
- f. **Record of Revision:** This shall contain three running columns to indicate the Revision Number, date entered and name of the person making the revision;
- g. **Revision / Amendment to the Manual contents:** the affected text will be marked by a vertical line on the outer margin of the page.
- h. **History of Revision:** A brief description in regard to each amendment introduced subsequent to the initial issue.
- i. **List of effective pages:** This shall contain two running columns to indicate the Page Number and last date of revision or effective date;
- j. **Preamble/Foreword:** This shall at least contain information relating to the purpose of the Manual in brief, the level of compliance expected from the user, mode and manner used to update the document, the person responsible for update/amendment. The preamble of a Manual /document shall be signed by the Accountable Manager ;
- k. **Table of Contents:** The table of contents shall be expanded to cover at least two sublevels with page numbers placed on section basis.
- l. **Abbreviations:** All abbreviation and acronyms used in the Manual or documents should be clearly explained in full;
- m. **Definitions:** All words, which has or requires a specific meaning in relation to the matter being explained, shall be defined clearly in order to avoid ambiguities. In the absence of a definition for a word or phrase, the CAA will have the right to interpret such word or phrase with due regard to its obligations for safety and security;

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- n. **Separation of sections/chapters:** Manuals should be divided into chapters or sections based on topics being dealt with in view of the necessity of future updating requirements. Each new chapter or section shall start with a new page and such sections/chapters shall be identified with distinctive separators;
- o. **Header and Footer:** There shall be a header and a footer for each page of a Manual or document and it shall contain at least the applicant's logo / trade mark, document name, document identification number, chapter number, page number, subject of the chapter, revision number, date of revision, name of the organization and any other information the applicant may wish to display ;
- p. **Index:** It is advised that the applicant may include an index to a Manual /document for ease of reference.

Standards for Manuals and Documents (SLCAP 5300) itself may be used as guidance for the development of applicant's Manual(s) in keeping with the aforesaid requirements.

The applicant shall maintain a Master Distribution Record in relation to the production and distribution of the Manual/document. Once manuals/documents are approved / accepted the operator shall ensure the validity of all manuals at all times.

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

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

It is the responsibility of the Operator to update the Manuals submitted to the CAA from time to time to ensure the information contained therein is complete, accurate, and up to date.

3.3.2. Use of language in Manuals / Documents

The applicant shall ensure that all Manuals/ Documents are written in the English language and the following words are used to give the meaning as indicated against such words.

“Shall” or “must” – compliance is mandatory.

“Will” – the action referred to will not take place at the present moment but there is a commitment to comply with the requirement.

“Should” – compliance is recommended but not compulsory.

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“May” – there is discretion for the applicant/operator to apply alternate means of compliance or to ignore the requirement.

Any specific instruction issued by the applicant to the operational staff shall be given using the words “shall” or “must”.

3.3.3. Operations Manual

The Operations Manual is the means by which the applicant intends to control all aspects of the intended operation. Through the Operations Manual the operator shall ensure that all operations personnel are properly instructed in their particular duties & responsibilities and the relationship of such duties to the operation as a whole.

The Operations Manual shall contain information/instructions relating to the topics listed in the IS 013 as amended from time to time. The Manual shall be compiled as per guidance in SLCAP 4500.

A compliance statement shall be signed by the Accountable Manager & counter signed by the DGCA when the Manual is officially approved.

3.4. Aircraft Flight Manual

3.4.1. The Aircraft Flight Manual is a document that is approved by the respective civil aviation authority of the State of manufacturer. There is usually no requirement for this manual to be approved by the CAA unless there have been substantial modifications to the aircraft by other than a means approved by the State of manufacturer. The operator shall ensure that the flight manual is updated by implementing changes made mandatory or approved by the State of Registry as per guidance given in IS 013. The manual shall be in English or if it's a translation it shall be signed by the State of the manufacturer as a true translation. The AFM should contain information and instructions relating to the following:

- a. The identification of the aircraft,
- b. The operating procedures and limitations of the aircraft; and
- c. The performances and loading of the aircraft.

3.5. Operations Control

3.5.1. An operator shall establish and maintain a method of control and supervision of flight operations that is approved by DGCA. Responsibility for operational control can be delegated only to the pilot-in-command, and to a flight operations officer/flight dispatcher if the approved method of control and supervision of flight operations requires the use of flight operations officer/flight dispatch personnel. In such a system, the flight operations officer/flight dispatcher is assigned to duty in the company operations control center and is responsible, while on duty, for carrying out the operational control procedures and policies specified in the operations manual. The flight operations officer/flight dispatcher shall be licensed as required in IS 019.

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3.5.2. The operations manual should specify the responsibilities and functions assigned to flight operations officers/flight dispatchers. The duties and responsibilities assigned are part of the approved method of control and supervision of flight operations and should be in compliance to IS 013.

3.5.3. The responsibilities of a flight operations officer/flight dispatcher as a minimum include the provision of assistance to the pilot-in-command in flight preparation; completion of operational and ATS flight plans; liaison with the air traffic, meteorological and communication services; and the provision to the pilot-in-command during flight of information necessary for the safe and efficient conduct of the flight. Flight operations officers/flight dispatchers should also be responsible for monitoring the progress of each flight under their jurisdiction and for advising the pilot-in-command of company requirements for cancellation, re-routing or re-planning, should it not be possible to operate as originally planned. In connection with the foregoing, it should be understood that the pilot-in-command is the person ultimately responsible for the safety of the flight.

3.5.4. In evaluating the structure, responsibilities and performance of the operational control organization, the inspectors should take the following to consideration.

- 1) rapidly improving communications capabilities and advances in weather forecasting and reporting in some areas have brought about a trend towards consolidation and centralization of operational control facilities;
- 2) availability of computerized or stored flight plans and fuel load determination and the use of direct pilot/operations control centre communications have facilitated the performance of the operational control of flights; and
- 3) The pilot-in-command may, in many cases, have more up-to-date information and may be in a better position to evaluate evolving flight conditions than personnel in a distantly located operations control centre.

3.5.5. The CAA inspector should determine that:

- 1) The operational control center is staffed with sufficient personnel to competently handle the assigned workload in as specified.
- 2) The operator is not using flight operations officers/flight dispatchers to perform other functions such as that of clerks and maintenance officers, to the detriment of the primary function; and
- 3) The conditions at the operational control center facilities such as space, temperature, lighting, noise level and controlled access are adequate for carrying out dispatch and operational control responsibilities.
- 4) The communications facilities meet the requirements of the proposed operation.
- 5) The procedures to be used to notify flights regarding hazardous conditions relating to aerodromes or navigation aids, etc., are adequate.
- 6) Notices to airmen (NOTAMs) will be made available to flight crew personnel in a timely manner;

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- 7) Emergency communications procedures and facilities are adequate.
- 8) Flight operations officers/flight dispatchers are able to establish rapid and reliable voice communications with the flight crew at the gate;
- 9) Communications between the operational control center and appropriate ATS facilities are adequate;
- 10) Air-ground communications and point-to-point circuits used for flight safety messages are adequate and are reasonably free of congestion to ensure rapid and reliable communications throughout the geographical area of operations;
- 11) Flight operations officers/flight dispatchers are familiar with all facets of operations within their geographical areas of responsibility and are properly authorized and qualified in the use of all communication channels required by the approved method of control and supervision of flight operations;
- 12) The necessary emphasis is placed on the timely receipt of messages both in the aircraft and at the operational control center or en-route stations; and
- 13) Facilities for the communication of weather information to en-route stations and to aircraft are adequate.

3.5.6. The CAA inspector should ensure ;

- a. If the applicant has established a meteorological unit / section, determine that it will be provided with adequate staff and facilities;
- b. Determine whether adequate procedures have been established to ensure the availability of weather forecasts and reports needed by the applicant for flight planning purposes;
- c. Determine that the applicant has procedures to utilize all useful weather information pertinent to the area with which the operational control is concerned;
- d. Give particular attention to the level of knowledge possessed by individual flight operations officers/flight dispatchers with respect to meteorology in general and to the weather conditions in the area with which they are concerned;
- e. Determine that the applicant has provided the means whereby the pilots and the flight operations officers/flight dispatchers are provided with timely information pertaining to clear air turbulence, thunderstorms, icing conditions and volcanic ash, as well as to the best routes and altitudes for avoiding such occurrences;
- f. Give particular attention to procedures to be employed by operational control for disseminating information pertaining to clear air turbulence, thunderstorms, volcanic ash, icing conditions and other significant weather phenomena;
- g. Determine that the necessary procedures have been established for providing adequate weather information to the pilot-in-command at en-route stops; and
- h. Determine the adequacy of the procedures to be employed throughout the applicant's system with respect to in-flight meteorological reporting.



3.5.7. The CAA inspector should:

- a. Give particular attention to the exercise of responsibility by pilots-in-command and flight operations officers/flight dispatchers in their analysis of all factors pertaining to the flight. In this context, the CAA inspector should determine that the flight operations officers/flight dispatchers will be able to perform their functions in accordance with the terms of the applicable operating instructions and procedures. It is emphasized again that the flight operations officer/flight dispatcher is responsible for assisting the pilot-in-command in the pre-flight planning, and authorization of delay and release of flights, in accordance with the approved method of control and supervision of flight operations;
- b. Determine that the applicant has established procedures to ensure that flight operations officers/flight dispatchers are adequately trained and informed on important aspects of flight planning such as weather forecasts and reports, fuel requirements, aerodrome limitations, NOTAM, navigation equipment, navigation facilities, ATM procedures and aircraft performance data;
- c. Determine the adequacy of procedures and methods to be used to comply with State regulations concerning aircraft performance, i.e. the computation of the mass of the aircraft and the centre of gravity location, critical speeds, climb gradients, runway and obstacle clearance limitations;
- d. Determine that procedures for the release of a flight are established, which will ensure that the aircraft and its load are in conformity with the relevant flight release documents, e.g. aircraft maintenance release, MEL, CDL, aircraft mass and balance form and manifest; and
- e. Determine that the procedures to be used for flight monitoring are adequate and meet the requirements of State regulations.

3.5.8. The CAA inspector should:

- a. Determine the adequacy of the data to be included in the operational flight plans to be used by the applicant; and
- b. Review the policy with regard to operational flight plans and ATS flight plans to determine compliance with State regulations.

3.6. Route Manual

3.6.1. An operator shall have a route manual to ensure that it contains information relating to communication facilities, navigation aids, aerodromes, instrument approaches, instrument arrivals and instrument departures, as applicable, for the operation, and such other information as the air operator may deem necessary for the proper conduct of flight operations. The operator shall be guided by requirements stipulated in SLCAP 4500 when compiling the route manual.

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3.7. Training Manuals, Training Programmes and Training Personnel (Safety Instructors)

- 3.7.1. The training manuals shall form a part of operator’s operations manual. The training manuals are subjected to DGCA approval and must address all aspects of training pertaining to aircraft operations. The applicants are advised to liaise with the Operations Section of the CAA in developing the required training programmes for flight / cabin crew, flight operations officer/dispatchers and ground operations / handling personnel. All training programmes for personnel who are involved with aircraft operations and dispatching of company aircraft must be approved by DGCA. The company may include additional materials for guidance and information for company personnel over and above the information required by the DGCA.
- 3.7.2. The training manuals must contain information as to course syllabus, equipment and facilities intended to be used, including the place where the training is to be conducted, the qualification of instructors, evaluation method, record keeping etc. All training that is required must be included in the training manual and shall have the appropriate training programme. If any portion of the training programmes is to be conducted by any other entity external to the operator, relevant information concerning this shall be included. An operator shall not use a training programme that has already received approval for the use of another operator until such time that the course is evaluated and approved by the DGCA.
- 3.7.3. All training organizations that will conduct training for operations staff shall have the prior approval of the DGCA & such organizations shall conduct training as per the approved training programmes.
- 3.7.4. Safety and Emergency Procedures training programmes/ Manuals for persons other than the flight crew (e.g. Cabin Crew) shall be compiled as per the SLCAP 4305, Cabin Crew member Training Standard the DGCA laid down requirements in the form of a Manual.
- 3.7.5. All instructors and simulator facilities pertaining to aircraft flight operations shall have prior approval of the DGCA.
- 3.7.6. All personnel imparting knowledge on safety of flight operations (Safety Instructors) shall have the prior approval of the DGCA to conduct such training. Qualification requirements for safety trainers shall be as stipulated by the DGCA in the applicable field. As a minimum the safety trainers shall have at least one year experience in the field & applicable knowledge on the subject matter. Safety trainers approved by the DGCA shall have followed a “Train the Trainer” programme to ensure that the person has the skills to impart knowledge. They shall maintain on a recurrent basis, the knowledge, skills and qualifications to ensure the knowledge imparted is accurate & up to date. Training requirements for safety trainers shall be stipulated in the training manual.
- 3.7.7. Operator’s arrangements for checking of the competence of the flight crewmembers shall be in conformity with the procedures specified in the Designated Check Pilot Manual (SLCAP- 4205) issued by the DGCA.

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3.7.8. It is essential that the operator shall organize not only initial training for its operational staff but also recurrent training programmes at regular intervals, transition, (conversion) requalification, upgrade, recency of experience, familiarization, differences, safety management and other specialized training as applicable & as required by the DGCA. Details of all such training programmes shall have the prior approval of the DGCA.

3.8. Dangerous Goods Manual

3.8.1. The operator shall be guided by the requirements stipulated in IS 009 & SLCAP 4400 when intending to carry dangerous goods. Following are the requirements that the operator needs to fulfil prior to issuance of an AOC.

- a. Commercial operators are required to provide a dangerous goods manual for the use of information and guidance of company operational personnel. Such Manual shall usually form a part of the operations manual whether or not it is issued as a separate volume or incorporated directly into the operations manual.
- b. Operators are required to provide training programmes for personnel involved with handling or transport of the dangerous goods by air. A syllabus of training must be produced to cover this requirement, which may be incorporated either as a separate document or included in the training manual, which form part of the operations manual.
- c. When the training programmes and the manual have been approved, they should be distributed to relevant persons associated with the operations and the Civil Aviation Authority. Suitable amendment and distribution procedures must also be in place.
- d. It is essential that the operator shall have procedures for reporting of occurrences involving carriage of dangerous goods and to handle any emergency arising out of dangerous goods. All operational staff should be educated of these procedures and it shall be the duty of the operator to notify forthwith the relevant State agency which is in charge of investigation if any of aircraft carrying dangerous goods, meet with an accident.

3.8.2. Where an operator does not intend to carry dangerous goods, the following requirements shall apply;

- a. The operator shall provide information in his operations manual about the policy of the operator and the policy on transporting Company Material (COMAT). The operator shall give specific written instructions / guidance to its technical and operational staff in this regard.
- b. Operators are required to provide applicable dangerous goods training to allow the identification of dangerous goods for personnel involved in the handling of passengers and cargo, crew members and security staff in order to prevent the inadvertent carriage of such goods either in the cabin or cargo hold of aircraft operated by the operator. Accordingly, either a separate manual or a suitable section of the Operations Manual must be devoted to this subject. The training

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of these personnel must be included in the training manual, and the training programme must receive approval from the DGCA.

3.9. Continuing Airworthiness Management Exposition (CAME) / Maintenance Control Manual (MCM)

3.9.1. The CAME previously known as MCM shall describe the operator's procedures necessary to ensure the continuing airworthiness of the operator's aircraft. A maintenance control document must be submitted for approval by the DGCA.

3.9.2. This document shall be titled as CAME. The manual should be arranged into general information and specific aircraft maintenance systems. Separate volumes may be utilized for the purpose of separation of topics. Copies of the CAME must be provided for the following-

- a. All locations where maintenance is performed; and
- b. Maintenance and inspection personnel who need the manual in the execution of their duties.

3.10. Aviation Security Programme

3.10.1. The operator shall ensure that the security manual is developed in close association with the CAA Aviation Security Section to be in conformance to the National Civil Aviation Security Programme. The Operators Security Manual shall explain as to how effective security requirements would be implemented at all destinations that it intends to operate. The operator shall be guided by Appendix 4/Vol IV of DOC 8973 – ICAO Security Manual when formulating the manual for DGCA approval.

3.11. Safety and Emergency Procedures Manual

3.11.1. The operator shall ensure that all personnel involved in flight operations are in possession of the approved Safety and Emergency Procedures Manual which explains details in regard to aircraft safety and emergency procedures. The operator shall be guided by the requirements stipulated in SLCAP 4300 when preparing this manual. The Manual which forms a part of the Operations Manual shall have prior approval of the DGCA.

3.12. Ground Handling Procedures Manual

3.12.1. An operator shall have a Ground Handling Procedures Manual which explains in sufficient details verifying that the ground handling structure and the lines of responsibilities are clearly defined for Ground Handling functions and associated with the following when applicable both at Home Base and proposed destinations of operations,

- a. Ramp Operations
- b. Passenger Services
- c. Baggage Services

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- d. Aircraft Interior Services
- e. Fuel Service
- f. Weight & Balance Control and;
- g. Ground Support Equipment

3.12.2. Ground Handling Procedure Manual shall also contain; ground handling training requirements, subcontracting policies, handling processes, procedures and practices for all ground handling operations.

3.13. Safety Management Systems

An operator shall develop a Safety Management Systems in conformity to Gazette Notification No; 2065/38 dated 5th April 2018 and Implementing Standard 070 to ensure that all reasonable measures have been taken in order to identify possible risks inherited in the system and human errors that may adversely affect flight safety and to mitigate such risks and errors.

3.13.1. The operator shall ensure that all personnel involved in operations of aircraft are trained on SMS to the satisfaction of DGCA.

3.13.2. As a minimum the following shall be covered in the operators SMS programme.

- 1. Safety policy and objectives
 - 1.1 Management commitment
 - 1.2 Safety accountability and responsibilities
 - 1.3 Appointment of key safety personnel
 - 1.4 Coordination of emergency response planning
 - 1.5 SMS documentation
- 2. Safety risk management
 - 2.1 Hazard identification
 - 2.2 Safety risk assessment and mitigation
- 3. Safety assurance
 - 3.1 Safety performance monitoring and measurement
 - 3.2 The management of change
 - 3.3 Continuous improvement of the SMS
- 4. Safety promotion
 - 4.1 Training and education
 - 4.2 Safety communication

3.14. Passenger Safety Briefing Card

3.14.1. An operator shall provide each passenger seat with a safety briefing card containing in pictographic form the information required. The safety briefing cards need to be provided to supplement oral briefings and be in particular to the type and model of

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aircraft and the specific emergency equipment in use. The safety briefing card shall have the prior approval of the DGCA.

3.14.2. The safety briefing card shall contain the following information as stipulated in GD 006;

- a. Smoking is prohibited on board the aircraft;
- b. Each type of safety belt/ harness installed for passenger use (including child restraint devices) when & how to fasten, how to tighten & release;
- c. Type of aircraft & exits to be used for an emergency evacuation;
- d. Emergency exits path lighting system;
- e. oxygen masks to be used in case of a decompression & priority for the usage of the masks(e.g., usage of Masks including adults with children)
- f. When & where carry-on-baggage must be stowed;
- g. Correct positioning of seat backs and chair tables for take-off & landing;
- h. Passenger bracing position

3.14.3. For aeroplanes when cabin crewmembers are not required:

- a. All of 3.14.2 & the location of the safety equipment in the aircraft shall be depicted in the safety card.

3.15. Quality System / Compliance Monitoring

3.15.1. An applicant shall establish one quality / Compliance Monitoring System and designate one Quality Manager to monitor compliance with, and adequacy of, procedures required to ensure safe operational practices and airworthy aeroplanes including the establishment of an internal audit process and a safety risk management process. Compliance monitoring must include a feed-back system of audit findings to the Accountable Manager to ensure effective implementation of corrective actions as necessary.

- a. The quality system/ compliance monitoring system must include a Quality Assurance Programme that contains procedures designed to verify that all operations are being conducted in accordance with all applicable requirements, standards and procedures.
- b. The quality / compliance monitoring system must be acceptable to the DGCA.
- c. The quality / compliance monitoring system must be described in relevant documentation. Notwithstanding subparagraph (a) above, the DGCA may accept the nomination of two Quality Managers, one for operations and one for maintenance provided that the operator has designated one Quality Management Unit to ensure that the quality system is applied uniformly throughout the entire operation.

3.16. Statistical Returns

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3.16.1. Each operator holding an AOC issued by the DGCA is required to implement a programme to ensure that statistical returns in respect of commercial operations will be furnished to the CAA on a regular basis as stipulated in CAASL Form CAA/ST/014.

4. The Pre-Certification Inspection Phase

4.1. General

4.1.1. Detailed requirements for facilities, staff, equipment and procedures are set out in applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures. The purpose of the pre-certification inspection is to ensure that the requirements have been satisfied as explained in the written procedures of the applicant. (See Appendix – J) for details.

4.1.2. The Civil Aviation Authority must be satisfied that qualified and trained personnel are employed in sufficient numbers on a full time basis where appropriate. Amongst other requirements, adequate facilities and equipment must be provided to allow staff to carry out their duties related to the conduct of operations in compliance with regulations and specifications or instructions contained in the company.

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

4.1.4. Unless otherwise determined by the DGCA the requirement to carry out an emergency and a ditching demonstration will not be conducted prior to issuance of an AOC. The inspectors will accept the type certificate issued by the State of Manufacture & will ensure that the minimum number of crew per aircraft type will be equal or more than the number of crew who carried out the demonstration for the issuance of the type certificate.

4.2. Proving Flights

4.2.1. ANR 220 stipulates an aircraft of a new type shall not be used by an operator of an airline to carry passengers on a regular public transport service until it has undergone proving tests under the supervision and in accordance with the requirements of the Director General of Civil Aviation.

4.2.2. Proving flights will be required to demonstrate the readiness of the applicant to conduct operations using the equipment, facilities, services and personnel identified in the application and the associated documents in accordance with the procedures spelt out in the Operations Manual. The scope and nature of the proving flight or flights are discussed at Appendix – J, paragraph 17.

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4.2.3. An initial draft of the Operations Specifications will be drawn up by the applicant's personnel and discussed in detail with the Civil Aviation Authority's certification team who will indicate to the applicant whether or not they are acceptable. This iteration (which will be clearly labelled draft) will be used during the proving flights after clearance from the Certification Team, which includes inspectors from Flight Safety and Aeronautical Services Divisions. The draft Operations Specifications may be subsequently modified as required by Civil Aviation Authority or requested by the operator before the final version is issued by the DGCA with the Air Operator Certificate to form a part of the Operations Manual.

5. Certification Phase

5.1. Final version of the Operation Specifications

Upon successful completion of the proving flight or flights, the certification team will assess the Operations specifications and review the Compliance Statement to ensure all requirements have been satisfied for the grant of an Air Operator Certificate.

5.2. Issue of an Air Operator Certificate and an Airline Licence.

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

5.2.2. DGCA if satisfied, that the certification process has been conducted according to the required standards, may approve the issuance of the AOC along with required Operations Specifications certifying the competency of the applicant as an air operator.

5.2.3. Subject to compliance with the para 5.2.2 above, an appropriate Airline License for the applicable class of operations will be issued if the requirements for grant of commercial rights for an airline have also been fulfilled.

5.2.4. An operator shall hold a valid Air Operator Certificate and an Airline Licence issued by the DGCA to engage in air service operations.

5.2.5. Certified true copy of an AOC & a copy of the airline Licences shall be in each aircraft operated by the operator.

NOTE: sample of an AOC & Ops Spec is in **Appendix O**

6. Renewal of Air Operator Certificate and Airline Licence

An applicant who is a holder of an AOC shall comply with the requirements of this chapter for the renewal of its AOC and the Airline License. The applicant must apply for the renewal, to the Civil Aviation Authority at least a minimum of 30 days prior to the date of expiry. The requirements for renewal of the AOC / Airline Licence shall be the same as for the initial issue.

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6.1. The Application for Renewal

6.1.1. A request for renewal of an AOC or an Airline Licence shall be forwarded to the DGCA in the prescribed form which is reproduced at (Appendix - K) together with the applicable fees.

6.1.2. The Civil Aviation Authority will then confirm a date for an inspection for AOC renewal.

6.2. Inspection for Renewal of AOC

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

6.2.2. It will be necessary for the Civil Aviation Authority team to look in to any or all aspects of the operation to ensure that the operator has continued to maintain the standards that were required for initial certification, in particular to safety surveillance records in relation to training & checking records of flight crewmembers, ramp inspections, regulatory audits and incidents / accidents reports etc.

6.2.3. A formal Inspection shall be carried out by the Inspectors prior to granting the renewal Certificate. The Director- Operations will determine the Inspection team & the relevant areas that will be inspected by the team.

6.3. Lapsed AOC

6.3.1. An AOC after issue requires renewal prior to expiry of the validity to be specified thereon.

6.3.2. If the validity of an AOC lapses, it may be restored with a process which may entail a part or whole of the certification process as may be determined by the DGCA.

6.4. Amendment to AOC/ Operations Specifications

6.4.1. Any requests for amendments to the Operations Specifications, Authorizations or Limitations issued to AOC holder, shall be forwarded to the Operations Section of the CAA by duly completing the document in **Appendix P**. Director Operations will obtain confirmation from relevant sections of the CAA, by circulating the “**Confirmation for Ops-Spec amendments**” form depending on the amendment requested by the Operator, prior to granting approval.

7. Flight Safety Documents System

7.1. General

7.1.1. The Regulatory Requirement pertaining to Flight Safety Documents System is published in IS 002. Flight Safety Documents System encompasses all the safety related documents published by the operator in view of guiding the users to establish safety in

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the organization. Flight Safety Documents System needs to be in the form of Manuals, Training Programmes, Checklists etc. and needs to be organized in the following manner.

- a. Time critical information, e.g., information that can jeopardize the safety of the operation if not immediately available.
- b. Time sensitive information, e.g., information that can affect the level of safety or delay the operation if not available in a short time period.
- c. Frequently used information
- d. Reference information, e.g., information that is required for the operation but does not fall under b) or c) above, and
- e. Information that can be grouped based on the phase of operation in which it is used

7.2. Time critical information should be placed early and prominently in the flight safety documents system. Time critical information, time sensitive information, and frequently used information should be placed in cards and quick-reference guides.

7.3. An operator pursuing an AOC has to satisfy the CAASL with its implementation of the Flight Safety Documents system that will be evaluated according to Appendix Q.

7.4. The requirement of the Flight safety Documents System to be published in the OM and CAME as all the other publications forms a part of or link to the FOM and CAME.

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APPENDIX – A

Form No. : CAA/OP/001

	APPLICATION FOR PERMISSION TO ESTABLISH AIR SERVICES OPERATIONS IN SRI SLANKA	For office use only Serial Number:
<p>The undersigned applies for the permission pursuant to Air Navigation Regulations to establish Air Services Operations in Sri Lanka as herein described and certified that the facts stated in this application are complete, accurate and timely and that the copies of any documents to the application are true copies.</p>		
Particulars of the Applicant		
i. Name of the airline:	ii. If a partnership/ registered company or corporation; Registration Number: xxxx Date of Registration:	
iii. Business Name:		
iv. Trade Name:		
v. Name of Chief Executive Officer & Title	Nationality	Brief description of business experience in air transportation
vi. Name of Directors	Nationality	Brief description of business experience in air transportation
1.		
2.		
3.		
4.		
5.		
vii. Mailing address (Head Office):	Tel.	
	Fax	
	e-mail	
	AFTN	
viii. Mailing address (Main Flight Operations Base):	Tel.	
	Fax	
	e-mail	
	AFTN	
ix. Principle place of business (if different from vii & viii):	Tel.	
	Fax	
	e-mail	
	AFTN	



x. Evidence of the present corporate existence of the applicant: (Please attach copies of any Act, Memorandum and Articles of Association, Certificate of Incorporation or other instrument form which company or corporation derives powers and functions.)						
xi. Nationality / ownership and control: (Please attach proof of the nationality of the interests holding substantial ownership and effective control of the applicant, having due regard to any existing intergovernmental air transport agreement under which the operating permission is being sought by the applicant)						
xii. Class of Operation	Scope of Operation					
Private						
Aerial Work						
	Domestic			International		
	Passengers	Cargo	Mail	Passengers	Cargo	Mail
Charter						
Regular Transport Operation						
xiii. Proposed Routes: (Please indicate proposed destinations, alternates, weekly frequencies and place(s) where the 5 th freedom traffic rights are sought)						
xiv. Particulars of connecting services: (Please furnish particulars regarding agreements with other carriers for Code-sharing, Block Seat arrangements etc.)						



Economical Data (refer appendix L)			
<p>i. Fares and rates: (Please furnish particulars of all fares and rates applicable to be charged on the service proposed, including particulars of any surface transport, accommodation or other such services which will be covered by such fares and freight rates.)</p>			
<p>ii. documents to be provided:</p> <ul style="list-style-type: none"> • Applicant business plan • The method of financing 			
<p>iii. Financial status: (Please attach following documents) Details of the financial structure of the organization Proof for the paid up capital / capital contribution Certified copy of the applicant's last balance sheet Certified copy of the profit & loss account Cash flow account for the preceding two years If the applicant has not yet engaged in the business of air transportation, particulars of plans for financing the proposed operations</p>			
<p>iv. Insurance: (Please attach a concise statement of present and/ or proposed insurance coverage and limits for employees, passenger liability, cargo and liability to third parties for injury or damages)</p>			
Operational Details			
i. Nominated Accountable Manager:			
Name	Qualifications	Experience	
ii. Organizational Structure and Nominated Post Holders of the company:			
Position	Name	Qualifications	Experience
Head of Flight Operations			
Head of CAMO			
Head of Training			
Head of Ground Operations			
Head of Airline Security			
Head of Quality/ Compliance Monitoring			
Head of Safety Management System			
Chief Pilots of Each Fleet			
Head of Cabin Crew			



iii. Aircraft details:	
Type of aircraft	
Year of Manufacture	
Serial number	
Registration number	
Type of engines	
Maximum seating capacity	
MTOW	
Design service goal	
Flight cycles	
Crew Requirement	
Communication equipment available	
Navigation equipment available	
Surveillance and safety equipment available	
iv. Method of acquisition of aircraft:	
owned <input type="checkbox"/>	dry lease <input type="checkbox"/>
	wet lease <input type="checkbox"/>
v. Hangar and parking facilities available:	
vi. Places of proposed operations and facilities and service available:	
vii. Training programmes for operational staff including particulars of simulators intended to be used for training: (Please attach training programmes)	
viii. Training, Testing and checking arrangements for operational staff:	
ix. Preflight preparations , facilities for Flight-Following and Dispatch Procedures:	



x. Line stations, staff and procedures, arrangement, facilities and services available for flight dispatch:
xi. Proposed Flight Schedule :
xii. Scheme for flight time, flight duty period, duty period and rest periods for fatigue management of flight and cabin crew members:
xiii. Minimum number of flight crew and method of proposed recruitment:
xiv. Special approvals required: ETOPS/EDTO <input type="checkbox"/> CAT II/ CAT III <input type="checkbox"/> RNP <input type="checkbox"/> RVSM <input type="checkbox"/> MNPS <input type="checkbox"/> Transport of Dangerous Goods <input type="checkbox"/>
Maintenance arrangements :
(Please provide following information) The maintenance management exposition CAME The operator's aircraft maintenance programmes The aircraft technical log Where appropriate, the technical specification(s) of the maintenance contract(s) between the operator and any approved maintenance organization The number of aircraft
Manuals :
(Please provide following manuals in English language) Operations Manual (MEL, CDL as applicable, Aircraft Performance Manual, Mass and Balance Control Manual, Ground Handling Manual, Dangerous Goods Manual, Passenger Briefing Card, Aircraft search procedure checklist, Dispatch Manual, Safety & Emergency Procedures Manual) Safety Management Systems Manual including a description of the flight safety documents system Aviation Security Program Maintenance Control Manual (Continuing Airworthiness Management Exposition - CAME)



Maintenance Programme including maintenance Schedules MMEL Training Manual for maintenance personnel Aircraft Flight Manual
Schedule of Events
(Please complete Annex 1)
Training proposals for CAA Inspectors
(The applicant shall provide complete training (type courses) for at least two Flight Operations Inspectors and two Airworthiness Inspectors at its own expenses, if the applicant intends operating aircraft which are not familiar to CAA Inspectors)
Contracted Services
(Please provide details of facilities, services and equipment or personnel , which the applicant has contracted)
Line Station Management
(Please provide details as to how the applicant intends maintaining and operating its line stations)



Accident Victim Relief Programme
Programme for removal of disabled aircraft from the active runway
Additional information
(Please supply any other information, which the applicant deems necessary and suitable in support of the application)
Nature & description of aircraft livery :
(Please attach a color photograph)

Names & Signatures of the Board of Directors

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NOTE: FORWARD APPLICATION AND SUPPORTING

DOCUMENTATION TO: Director-General of Civil Aviation and

**Chief Executive Officer
Civil Aviation Authority of Sri Lanka
P.O. Box 56, No. 152/1,
Minuwangoda Road, Katunayake.**



FORMAL APPLICATION

Applicants seeking permission to establish air services operations in Sri Lanka in pursuance of Civil Aviation Act no 14 of 2010 and Air Navigation Regulations of 1955 shall submit their applications to Director- General of Civil Aviation in strict accordance with the procedures explained below, allocating sufficient time for the process.

Applicants should be fully aware of the requirements of the Civil Aviation Authority and its procedures in the initial certification of an operator. Therefore applicants are advised to refer the Civil Aviation web site www.caa.lk and be familiar with the requirements to the proposed operation, which is explained in detail.

1. Application Form

1.1. General

A formal application “Application for permission to establish air services operations in Sri Lanka” can be downloaded from the CAA web site and Application shall be in writing giving adequate information restricted to significant and relevant facts, with respect to each of the following:

- a. Market Survey/ analysis on intended routes of operation taking into account the existing capacity need vis-à-vis the projected traffic for the next three (3) years.
- b. Economic feasibility report covering item (a) above on the operating cost (profit/loss) basis as against projected expenditure.
- c. Business Plan
- d. Risk associated with the implementation of the Business Plan and mitigatory measures.
- e. Proposed method of financing the implementation of the business plan taking into account the obligations of the organization to ensure a safe, secure, efficient and regular operation as per CAA Act, ANR SARP’s and associated local requirements made by DGCA from time to time, in terms of Regulations, ISs, ASNs and Directives.
- f. Projected balance sheet after three (3) years of operation.
- g. And any other document that DGCA may deem necessary

1.2. Exhibits and Documents:

Exhibits and Documents should be attached to the original of the application and shall be properly identified with the pertinent portion of the application.

1.3. Signature:

The original of the application shall be signed:

- a. By the applicant if an individual
- b. By each member of the partnership or
- c. If a registered company or corporation by each member of the Board of Directors.

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1.4. Amendment:

Any change in the application by an applicant or additional information required by DGCA shall be in the form of an amendment to the original application.

1.5. Maps

One set of maps is required showing particulars of the routes, including distances in statute mile or nautical miles between the adjacent stopping places and between the terminals of the route.

2. Particulars of the Applicant

2.1. Designation of applicant:

- a. Name in full
- b. Whether an individual, a partnership, registered company or corporation etc. c. Name and nationality of Director and Chief Executive Officer
- c. Brief description of the business experience with regard to air transportation and other transportation.

2.2. Address of applicant:

- a. Head Office, Telephone and Facsimile numbers
- b. Operating Headquarters, Telephone and Facsimile numbers

2.3. Evidence of the present corporate existence of the applicant and of the place of incorporation.

Copy of any act, Memorandum and Article of Association, Certificate of Incorporation, or other instrument from which the company or corporation derives powers and functions should be attached.

2.4. Nationality of ownership and control:

Proof of the nationality of the interest holding substantial ownership and effective control of the applicant, having due regard to any existing inter-governmental air transport agreement under which the operating permission is being sought by the applicant.

2.5. Class of Services Proposed

Indicate whether the proposed services are domestic or international in respect of the following:

- a. Passengers only
- b. Cargo only
- c. Passengers, cargo and mail

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2.6. Route permit

Please indicate the proposed destinations, destination alternates, weekly frequencies and place(s) where the 5th freedom traffic rights are sought

2.7. Particulars of connecting services

Please furnish Particulars regarding agreements with other carriers for Code-sharing, Block Seat arrangements etc.

3. Economical data

3.1. Fares and Rates

The applicant shall furnish particulars of all fares and rates applicable to be charged on the services proposed, including particulars of any surface transport, accommodation or other such services, which will be covered by such fares and freight rates.

3.2. Financial states:

The applicant shall furnish;

- a. Details of the financial structure of the organization
- b. Proof for the paid up capital / capital contribution
- c. Certified copy of the applicant's last balance sheet
- d. Certified copy of lost & profit account
- e. Cash flow account for the preceding two years
- f. If the applicant has not yet engaged in the business air transport particulars of plans for financing the proposed operations.
- g. Investors (if any) and nature of their contribution

3.3. Insurance

A concise statement shall be furnished of present and / or proposed insurance coverage and limits for;

- a. Employees
- b. Passenger liability
- c. Cargo
- d. Liability to third parties for injury or damages

4. Operational details

The applicant shall provide detailed information concerning the following;

4.1. Nominee for the Accountable Manager with his/her qualifications and experience.

4.2. Organizational Structure and Nominated Post Holders of the company as required by Appendix I

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- 4.3. Type of aircraft intended to be used for operations with year of manufacture, serial number, registration number, type of engines, maximum seating capacity, MTOW, Design service goal, Flight cycles, crew requirement, Communication, navigation and surveillance and safety equipment available. (Operator shall have at least one aircraft, which is intended to be used in the proposed operations, registered in its name prior to commencement of the initial certification process.)
- 4.4. Method of acquisition of aircraft (Dry lease / Wet lease) and certified copy of agreement in the case of a lease.
- 4.5. Hangar & Parking facilities available
- 4.6. Places of proposed operations and facilities and services available
- 4.7. Training programmes for all operational staff including particulars of simulators intended to be used for training (please attach training programmes)
- 4.8. Training, Testing and Checking arrangements for all operational staff
- 4.9. Pre-flight preparation, facilities for Flight-following and Dispatch procedures.
- 4.10. Lines stations, staff and procedures, arrangement, facilities and services available for flight dispatch.
- 4.11. Schedule or timetable
- 4.12. Scheme for flight time, flight duty periods, duty periods and rest periods for fatigue management of flight and cabin crewmembers.
- 4.13. Minimum number of flight & cabin crewmembers and method of proposed recruitment
- 4.14. Special approvals such as EDTO, CAT II / CAT III, RNP/ RVSM / MNPS, Transport of Dangerous Goods by air etc.

5. Maintenance Arrangements

In respect of the operator's maintenance system, the following information must be included in the initial application for an AOC (Air Operator Certificate) and when applicable, any variation or renewal applied for and each airplane type to be operated;

- a. The maintenance management exposition
- b. CAME
- c. The operator's aircraft maintenance programmes
- d. The aircraft technical log
- e. Where appropriate, the technical specification(s) of the maintenance contract(s) between the operator and any approved maintenance organization
- f. The number of aircraft

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6. Manuals to be produced with the formal application

The following manuals in English (2 copies each) must accompany the application,

- a. Operations Manual (individual manuals and items listed below form part of the Operations manual)
 - Aircraft Operating Manual/Flight Crew Operating Manual / POH
 - MEL
 - CDL as applicable
 - Aircraft Performance Manual
 - Mass and Balance Control Manual (Weight and Balance Manual)
 - Ground Handling Manual
 - Training Manuals for Flight crew, Cabin Crew, Operations Personnel and Ground Personnel
 - Route Guide
 - Dangerous Goods Manual (Optional)
 - Passenger Briefing Card
 - Aircraft search procedure checklist
 - Dispatch Manual (Operational control procedures, dispatch, flight following etc)
 - Safety & Emergency Procedures Manual (Cabin Safety Manual)
- b. Safety Management Systems Manual including a description of the flight safety documents system
- c. Aviation Security Program
- d. Maintenance Control Manual (Continuing Airworthiness Management Exposition - CAME)
- e. Maintenance Programme including maintenance Schedules
- f. MMEL
- g. Training Manual for maintenance personnel
- h. Aircraft Flight Manual

7. Declaration of Compliance

The Operator shall provide along with the application a State of Compliance in respect of applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures Regulation in the Air Navigation Regulations and the applicable ASNs. The operator shall use Appendix - C for this purpose.

8. Schedule of Events

The Operator shall provide a time schedule indicating as to how he proposes to establish major facilities, services or equipment needed for the establishment of the proposed services. The operator shall use Appendix - B for this purpose.

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9. Training proposed for Civil Aviation Authority Inspectors

The Applicant shall provide complete training (type course) for at least two Flight Operations Inspectors and two Airworthiness Inspectors at its own expense, if the applicant intends operating aircraft, which are not familiar to Civil Aviation Authority inspectors.

10. Contracted Services

Details of facilities, services and equipment or personnel, which the Applicant has contracted, should be clearly specified.

11. Line Station Management

Details as to how the applicant intends maintaining and operating its line stations should be explained.

12. Security Programme

Details about the applicant's arrangement for provision of security for its entire proposed operations.

13. Additional Information

Supply any other information, which the applicant deems necessary and suitable in support of the applicant.

Note:

It would be desirable, if an applicant for an AOC meets the relevant officials in Civil Aviation Authority with prior appointment to gather the required information and obtain clarifications on matters, which are not understood by him, prior to compilation of the application.

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

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**APPENDIX – B****Civil Aviation Authority of Sri Lanka
Application for an Air Operator Certificate****SCHEDULE OF EVENTS**

Name of Company				
Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Completed date

Pre application phase

	Submission of pre-application			
	CAA preparation			
	Pre-application meeting			

Initial application review phase

	Submission of Formal Application			
	Initial Application Review			
	Formal Application Meeting			

DOCUMENTARY EVALUATION PHASE

	Submission of Management Resumes			
	Submission of Compliance Checklist 01			
	Review and acceptance of Management Resumes			



Name of Company				
Date submitted	Necessary document, action or event	Responsible Person and organization	Target date	Complete d date
	Submission of Operations Manual (OM)			
	Submission of compliance Checklists 03,04,06,07,08,14,15&17			
	Review and approval of the Operations Manual			

	Submission of <u>Cabin Crewmember Safety & emergency Procedures Manual (SEP)</u>			
	Submission of compliance SLCAP 4300 – Cabin Safety Manual Standards			
	Review and Approval of Cabin Crewmember Safety & emergency Procedures Manual			

	Submission of <u>Safety Management Manual</u>			
	Submission of compliance SLCAP – Manual <u>Safety Management Manual</u>			
	Review and approval of <u>Safety Management Manual</u>			

	Submission of <u>Dangerous Goods Manual</u>			
	Submission of compliance SLCAP 4400 – Manual on Transport of Dangerous Goods			
	Review and approval of <u>Dangerous Goods Manual</u>			

	Submission of copy of Proposed Crew Flight Duty periods			
	Submission of compliance Checklist 09			
	Review and approval of Proposed Crew Flight Duty periods			

	Submission of the Flight Operations /Cabin Crew Training Manual			
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Name of Company				
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Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Completed date
	Submission of compliance Checklist 16			
	Review and approval of the Flight Operations/ Cabin Crew Training Manual			

	Submission of Proposed Flight Crew Qualifications			
	Review and Approval of Proposed Flight Crew Qualifications			

	Submission of an updated Aircraft Operating Manual (AOM)			
	Submission of Copy of Current Approved Flight Manual			
	Submission of compliance Checklist 05			

	Submission of Normal and Emergency Checklists (SOPs)			
	Review and Approval of Normal and Emergency Checklists			

	Submission of Proposed Load Manifest Logbook			
	Review and Approval of Proposed Load Manifest Logbook			
	Submission of a Runway Analysis Data			
	Review and approval of the Runway Analysis Data			

	Submission of the Route and Airport Manual			
	Review and approval of the Route and Airport Manual			



Name of Company				
Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Complete d date
	Submission of Aircraft MMEL			
	Submission of Minimum Equipment List (MEL)			
	Submission of Current Manufacturer's MMEL Deviation Guide			
	Submission of compliance Checklist 27			
	Review and Approval of Minimum Equipment List (MEL)			

	Submission of the Maintenance Control Manual			
	Submission of Checklist 4,16,20,21,22,23,24,26,28,29,34&35 Conformance report			
	Review and Approval of the Maintenance Control Manual			

	Submission of a Proposed Aircraft Journey and Tech Log			
	Approval of a Proposed Aircraft Journey and Tech Log			

	Submission of a Proposed Maintenance Deferred Defects Log			
	Submission of Checklist 35 Conformance report			
	Approval of a Proposed Maintenance Deferred Defects Log			

	Submission of a Weight and Balance Report			
	Submission of compliance Checklist 25			
	Review and accept of the Weight and Balance Manual			
	Submission of a Ground Handling Manual			



Name of Company				
Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Complete date
	Submission of compliance Checklist 02			
	Review and approval of the Ground Handling Manual			

	Submission of a De-icing Manual			
	Review and approval of the De-icing Manual			

	Submission of the Maintenance Inspection Program for Acceptance in lieu of the MCM			
	Submission of Current Manufacturer's Planning Document			
	Approval of the Maintenance Inspection Program			

	Submission of a copy of Aircraft Lease or Ownership Papers			
	Approval of the lease: maintenance and operational control			
	Submission of a copy of the Aircraft Insurance Policy			
	Submission of Draft contract agreement for continuous Airworthiness (Manufacturer and Maintenance contractor)			

Inspection and Demonstration Phase

	Inspection of Aircraft (compliance of Checklist 2,13,17&30)			
	Training Facilities & Equipment Inspection (Compliance of Checklist 12)			
	Simulator/Training Device Inspections			
	Authorization for commencement of flight crew ground Training			
	Training-in-Progress Inspection			



Name of Company				
Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Complete d date
	Evaluation of the flight crew ground training			
	Authorization of commencement of Flight crew flight training			
	Evaluation of the flight crew flight training			
	Check Airman Inspections			
	Evaluation of the check airman actions			
	Flt Crew Proficiency Check Inspections (Appendix G of SLCAP 4205 Compliance)			
	Authorization for commencement of cabin crew ground training			
	Evaluation of Operators Cabin crewmember Training			
	Maintenance Training Facility Inspections			
	Maintenance Training-in-Progress Inspections			
	Authorization for commencement of maintenance training			
	Structure & Support Service Inspection (Check List 10)			
	Operational Control Inspection			
	Station (Base/Line) Inspection			
	Flight/Cabin Crew Records Inspection			
	Flight Preparation Records Inspection			
	Maintenance Main Base & Facility Inspection (Check List 4,22,24,26&35)			
	Maintenance Control Inspection (Checklist 31)			
Name of Company				



Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Complete d date
	Contractor Maintenance Facility Inspections (Checklist 4,22,24&33)			
	Maintenance Station Inspection (Checklist 4,22,23,24&33)			
	Aircraft Records Inspection (Checklist 29&31)			
	Fuelling of aircraft (Checklist 23)			

	<u>Preparation for the Ground/ Ditching Evacuation Demonstration</u>			
	<u>Conduct of the Ground/ Ditching Evacuation Demonstration</u>			

	Preparation for the Proving Flight(s)			
	Conduct of the Proving Flight(s) (Check List 19)			

	Aircraft Exterior Inspection			
	Cabin Ramp Inspection			
	Flight Deck Ramp Inspection			

	Flight Deck En-route Inspection			
	PIC Route Check Observation			
	Maintenance Flight Deck En-route Inspection			

Certification Phase

	Flight, Duty and Rest Period Scheme			
	Method of Flight Supervision			
	Weight and Balance System			



Name of Company				
Date submitted	Necessary document, action or event	Responsible person and organization	Target date	Completed date
	Minimum Safe Altitudes			
	Additional Airport Altitude Safety Margins			
	Dangerous Goods Procedures and Training			
	Flight Operation Training Manual			
	Aircraft Type-Specific Minimum Equipment List			
	Aircraft Type-Specific Operating Manual			
	Maintenance Control Manual			
	Approved Maintenance Organization Manual			
	Aircraft Type-Specific Maintenance Program			
	Aircraft Type-Specific Condensed Checklists			
	Passenger Briefing Card			
	Aircraft Lease			
	Check Airman Designation			
	Authorized CAA Representative			
	Post holder of Required Management Position			
	Checklist 18 & 19 Compliance			
	Air Operator Certificate			
	Operations Specifications			

Post Certification

	Conduct Validation Flights			
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APPENDIX – C

(CAA/OP/CL/001)

DECLARATION OF CONFORMANCE TO THE CIVIL AVIATION PUBLISHED REQUIREMENTS AIR OPERATOR COMPLIANCE CHECK LIST

Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directive	Checklist				S	U
1	R. 1	-	-	Short title	C			
2	R. 2	-	-	Date of operation	C			
3	R. 3	IS 11	-	Interpretation	A			
4	R. 4	IS 001	-	Application of regulation	A			
5	R. 5	-	-	Director	C			
6	R. 6	-	-	Civil Air Ensign	C			
7	R. 7	IS 86	-	Aircraft not to fly unless registered	B			
8	R. 8	-	-	Flying of unregistered aircraft				
9	R. 9	IS 86	-	Registration of aircraft in Sri Lanka.				
10	R. 10	IS 86	01(A-1)	Registration and cancellation of registration of Sri Lanka aircraft.	A			
11	R. 11	IS 86	-	Change of ownership of Sri Lanka aircraft.				
12	R. 12	IS 86	-	Destruction &c. of Sri Lanka registered aircraft				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
13	R. 13	IS 86		Duration of Certification of Registration.				
14	R. 14	IS 86		Nationality of aircraft.				
15	R. 15	IS 86		Registration fees				
16	R. 16	IS 86		No aircraft to fly without appropriate marks.				
17	R. 17	IS 86	30(B-1)	Nationality and registration marks.				
18	R. 18	IS 80		Certificate of Airworthiness to be in force				
19	R. 19	IS 80 IS 84		Issue, renewal, and validation of Certificate of Airworthiness				
20	R. 20	IS 80		Conditions subject to which aircraft may be flown after overhaul, & c				
21	R. 21	IS 80		Certificate of Airworthiness by whom to be signed and in what books to be entered				
22	R. 22	IS 66		Licensing of aircraft maintenance engineers.				
23	R. 23	IS 66		Types of aircraft Maintenance Engineer's licences				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
24	R. 24	IS 66		Duration of licences				
25	R. 25	IS 66		Extension of licences				
26	R. 26	IS 66		Application for aircraft maintenance engineer's licence to be made to the Director.				
27	R. 27	IS 66		Requirements etc, as to licences				
28	R. 28			Certificate of validity				
29	R. 29			Sri Lanka aircraft engaged in air navigation outside Sri Lanka				
30	R. 30			Fees for issue and renewal of licences and ratings				
31	R. 31	IS 80		Deployment of aircraft				
32	R. 32	IS 80		Issue of Certificate of Airworthiness				
33	R. 33	IS 84 Is 80	30(A-1)	Certificate of Type Approval				
34	R. 34	IS 15	30(B-3c,d,e) 31(A-10)	Certification of imported aircraft				
35	R. 35	IS 15/ IS 86		Conditions of certification of airworthiness				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
36	R. 36	IS 84/80	22(G) 24	Access to factories and workshops following application for Certificate of Airworthiness				
37	R. 37	IS 85/84	25	Inspection, weighing, overhaul, repair and modification of aircraft.				
38	R. 38	IS 84/80		Modification of aircraft, or aircraft components.				
39	R. 39	IS 84/80						
40	R. 40	IS 80/094/		Suspension and cancellation of Certificate of Airworthiness in circumstances other than damage				
41	R. 41	IS 84		Periodical overhaul of aircraft				
42	R. 42	IS 80		Airworthiness of aircraft of Contracting States.				
43	R. 43	IS 80		Renewal of Certificates of Airworthiness.				
44	R. 44	IS 80		Charges for certification of airworthiness.				
45	R. 45	IS 80		Inspection and certification of				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
				Aircraft plying for public service.				
46	R. 46	IS 17/80	28/21(c)	Requirements as to the issue and custody of Certificate of Safety				
47	R. 47	IS 84		Overhauls, & c., to be made under supervision				
48	R. 48	IS 8/051/043	07(A-1)	Operating crew to hold licences				
49	R. 49	-		Foreign crew to hold licences				
50	R. 50	IS 50		Application for licences and ratings to be made to the Director.				
51	R. 51	IS 050/051		Grant, &c., of licences to be subject to fulfillment of conditions as to medical fitness and competence				
52	R. 52	IS 18		Number and description of operating crew				
53	R. 53	IS 8/51/43		Grant of licences to members of operating crew				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
54	R. 54	IS 14	07(A-1.e)	Limitations according to category of licence held				
55	R. 55	IS 50						
56	R. 56	IS 50		Duration of rating				
57	R. 57	IS 50		Requirements relating to operating crew licences				
58	R. 58	IS 08/50		Proof of identity				
59	R. 59	IS 050/36		Proof of standards				
60	R. 60	IS 051/43		Practical tests				
61	R. 61	IS 51		Conditions applying to flight by persons for purpose becoming eligible for grant of pilot's licences				
62	R. 62	IS 008/051/043/049		Director to record on licenses date and results of medical examination and suspensions				
63	R. 63	IS 050		Injury or illness of persons holding licenses				
64	R. 64	IS 50						



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
65	R. 65	IS 51		Aeronautical knowledge, experience and skill				
66	R. 66	IS 50						
67	R. 67	IS 50		Renewal of licence and ratings				
68	R. 68	IS 018/51	07(A-2)	Recent experience				
69	R. 69	IS 54	07(B-2) 19(1)	Flight time limitations				
70	R. 70	IS 04		Relief period				
71	R. 71	-		Re-examination of holders of licences and ratings				
72	R. 72	IS 08/50		Validation of licences issued outside Sri Lanka				
73	R. 73			Fees for examinations, & c				
74	R. 74	IS 67	12(A)	Flying school licences				
75	R. 75	IS 67		Persons qualified to give flight instructions				
76	R. 76	IS 67		Instructions in flying.				
77	R. 77	IS 67	12(E-2.f)	Examinations and tests for grant of extension or renewal of a rating to give instruction in flying				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
78	R. 78	IS 67		Limitations of rating				
79	R. 79	IS 67						
80	R. 80	IS 67		Ground instructor				
81	R. 81	IS 017/080	07(H) 31(B-3.f) 32(A-1)	Log-books to be maintained and requirements as to their maintenance				
82	R. 82	Is 50		Personnel flying log-book				
83	R. 83	IS 017/080		How log-books are to be kept				
84	R. 84	IS 084/017/080	32(A-2) 31(B-3a,b,c)	Repairs to aircraft				
85	R. 85	IS 20	07(C-1) 21(C-1.ix) 21(C-c.i) 31(B-3a,b,c)	Entries in journey log and personnel flying log-book				
86	R. 86	IS 17	07(C-2)	Manner of entry and signature				
87	R. 87	IS 17	20(B-ii)	Aircraft log				
88	R. 88	IS 17		Engine log				
89	R. 89							



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
90	R. 90			Telecommunication log book				
91	R. 91			Radio maintenance log				
92	R. 92			Propeller log				
93	R. 93	IS 50		Logs of members of operating crew				
94	R. 94		19(3)	Documents to be carried in aircraft				
95	R. 95	IS 17		General provisions as to documents				
96	R. 96			Production of documents				
97	R. 97	IS 86		General powers of Director as to cancellation, &c of certificates, licences, and other documents.				
98	R. 98			Forgery, &c. of documents				
99	R. 99	ASN 032 IS 016/015	13(A) 30(C-1) 30(G-2)	Carriage in aircraft of radio apparatus				
100	R.100	ASN 032 IS 016/15		Circumstances under which radio messages may be sent				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
101	R.101			Aircraft station not to impair safety of aircraft				
102	R.102			Aircraft station not to cause interference.				
103	R.103	IS 15		Use of distress frequencies				
104	R.104	IS 15		Sending and receiving of messages				
105	R.105			Foreign aircraft flying within Sri Lanka				
106	R.106		15(B)	Licensing of aerodromes				
107	R.107			Passengers aerodromes				
108	R.108	IS 81		Noise or vibration caused by aircraft on aerodromes				
109	R.109			Authorization of places for use as aerodromes				
110	R.110		15(B-2)	Aerial lighthouses				
111	R.111			Dangerous lights				
112	R.112			Functions of air traffic services				
113	R.113		32(A)	Designation of control zones and local areas				
114	R.114			Aircraft to comply with air traffic control instructions while in and on entering or				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
				leaving control zones or areas				
115	R.115			Aircraft to comply with air traffic control instructions in certain circumstance while outside any control zones or areas				
116	R.116		15(B-4.d)	Weather reports to be by approved persons				
117	R.117			Fees for use of aerodromes				
118	R.118			Fares and freights.				
119	R.119			Statistical returns				
120	R.120	IS 086/080/020/018		Sri Lanka aircraft				
121	R.121		19(2)	Foreign aircraft of Contracting States				
122	R.122			Foreign aircraft of countries other than Contracting States.				
123	R.123			Pilotless aircraft.				
124	R.124	IS 20, IS 015	07(I)	Documents to be carried in aircraft				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
		IS 080/086						
125	R.125	IS 12		Aircraft arriving from or leaving for overseas.				
126	R.126	IS13		International aircraft to land at specific aerodromes.				
127	R.127			Prohibited and restricted areas				
128	R.128		02(A-4) 07(G-2) 15(G)	Carriage of munitions				
129	R.129	IS 9		Restrictions as to carriage of dangerous goods				
130	R.130			Emergency authority				
131	R.131			Liability as to neglect of rules regarding lights, &c.				
132	R.132	IS 18		Sri Lanka aircraft flying over foreign territory				
133	R.133	IS 13		Towing				
134	R.134			Dropping of articles from aircraft				
135	R.135			Picking up articles				
136	R.136			Acrobatic flying.				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/ IS/ Directives	Checklist				S	U
137	R.137			Flying over public gathering				
138	R.138			Flying over populous areas				
139	R.139	IS 13		Compliance with air traffic control instructions				
140	R.140	IS 014/018		Flying by night				
141	R.141			Regulatory provisions				
142	R.142	IS 022/015		Avoidance of danger				
143	R.143			Negligence in the use of lights, &c.				
144	R.144	IS 16		Signals				
145	R.145	IS 13		Responsibility for compliance with rules of this part.				
146	R.146			Temporary suspension of rules				
147	R.147			Aerodromes at which traffic control is not operating				
148	R.148			Aerodromes at which the operation of aircraft is not restricted to runways.				
149	R.149			Prevention of not collisions at sea				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
150	R.150	IS 15		Flight under visual flight rules				
151	R.151			Ground visibility				
152	R.152			Flight visibility				
153	R.153			Flight in control zones.				
154	R.154			Flight in control areas				
155	R.155			Flight in areas other than control areas and control zones				
156	R.156							
157	R.157	IS 13		Flights under Instrument Flight rule				
158	R.158	IS 18	10(A-7.a)	Qualification of pilot-in-command				
159	R.159	Is 15		Equipment of aircraft for IFR flight				
160	R.160	IS 13		Minimum altitude for IFR flight				
161	R.161	IS 13		Flight plan				
162	R.162	IS 13		Air traffic clearance				
163	R.163	IS 13		Use of signals				
164	R.164	IS 12		Responsibility for compliance with this part.				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
165	R.165			Aerodrome control radio telephone communication				
166	R.166	IS 13		Visual signals				
167	R.167	Is 13		Pilot-in-command to maintain lookout for visual signals.				
168	R.168			Ground and light signals				
169	R.169		02(B-7)	Control of persons and vehicles at aerodromes.				
170	R.170			Signals displayed by water aerodromes.				
171	R.171		02(B) 15(F)	Marshaling signals				
172	R.172			Warning signals				
173	R.173			Signal to land				
174	R.174	Is 15		Transmission of signals				
175	R.175	IS 15		Distress signals				
176	R.176	IS 15		Urgency signals				
177	R.177	IS 15		Safety signals				
178	R.178	IS 15		Visual distress and urgency signals				
179	R.179	IS 13		Lights to be displayed by aircraft				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
180	R.180	IS 13		Classification of operations				
181	R.181	IS 13		Classification of aircraft.				
182	R.182	IS 13		Requirements according to operation on which aircraft is to be used.				
183	R.183	IS 013/018		Number of operating crew				
184	R.184	IS 13		Private operations.				
185	R.185	IS 13		Aerial work licences				
186	R.186	IS 13		Charter licences				
187	R.187	IS 13		Airline licences				
188	R.188	IS 13		Furnishing of information.				
189	R.189	IS 13		Form and consolidation of licences				
190	R.190	IS 13		Duration of licence				
191	R.191			Arrangement under which regular public transport services may be operated by persons other than licensees.				
192	R.192	IS 13		Internal Services.				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
193	R.193			Fees for issue or renewal of licences.				
194	R.194							
195	R.195	IS 13		Application for licences				
196	R.196							
197	R.197	IS 13		Representations				
198	R.198	IS 13	10(A-7.a) 10(A-7.c)	Grant of licences.				
199	R.199	IS 13	01, 03, 04, 05, 09, 10, 31(D-3 & 4)	Conditions to be fulfilled				
200	R.200	IS 13		Grant of licences to be subject to conditions				
201	R.201			Grant of temporary licences				
202	R.202			Provisional licences				
203	R.203	IS 13		Amendment of terms of licences.				
204	R.204			Revocation and suspension of licences.				
205	R.205	IS 13		Custody, production and surrender of licences.				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
206	R.206	IS 13		Periodical returns				
207	R.207	IS 13	10(A-8)	Special conditions				
208	R.208	IS 13	10(A-7)	Staff employed by an operator				
209	R.209	IS 13	20(A-1) 21(A-2)	Organization				
210	R.210	IS 017/080	04(B-8.n) 20(A-3) 20(B-13) 21(C- c.1) 22(D) 31(A-2) 31(D-2) 33, 34	Maintenance Manual				
211	R.211		20(B-1) 20(B-9) 21(B-6)	Inspection of airlines				
212	R.212	IS 017/080	20(B-8)	Training of maintenance personnel				
213	R.213	IS 017/80	04(B-7) 20(B-2&3) 21(B-6)	Records				
214	R.214	Is 13	04(B-8) 10, 10(A-9) 20(A-2) 22(A)	Operations				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/ IS/ Directives	Checklist				S	U
215	R.215	IS 50	20(B-2)	Flight time records				
216	R.216	IS 13	10(A-7.b)	Training and checking organization				
217	R.217	IS 51	31(D-1.a)	Co-pilot's qualifications				
218	R.218	IS 13	7(F), 19(2)	Fuel instructions and records				
219	R.219	IS 13	15(E-1)	Safety of the public.				
220	R.220		19	Proving tests.				
221	R.221	-	02(B-2)	Application of the Sixth Schedule				
222	R.222	IS 13		Pilot-in –command				
223	R.223	IS 18		Pilot at controls-Dual controls				
224	R.224	IS 33		Persons entitled to occupy certain seats and positions in aircraft				
225	R.225			No person other than pilot to manipulate controls				
226	R.226			Aircraft not to be taxied except by pilot or authorized person.				
227	R.227	IS 13	19(11)	Cockpit check system				
228	R.228	IS 13/49	08	Flight crew fitness and required fuel for the flight.				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/ IS/ Directives	Checklist				S	U
229	R.229	IS 13	06A	Aircraft operating limitations				
230	R.230	IS 13	19(2)	Flight plans				
231	R.231	IS 15		Testing of radio apparatus				
232	R.232			Listening watch				
233	R.233	IS 22		Safety precautions before taxiing and taking off				
234	R.234			Taking off				
235	R.235	IS 15	06(C)	Tests immediately prior to taking off				
236	R.236			Maneuvering on movement area				
237	R.237			Banking after take-off				
238	R.238	IS 13	06(F)	Meteorological conditions observed en route				
239	R.239	IS 80	35(B)	Reporting of defects				
240	R.240			Passengers not to be carried on certain flights				
241	R.241			Carriage on wings, undercarriage &c.				
242	R.242	IS 15	13(E-5) 19(10)	Safety belts				
243	R.243	IS 15	13(B-1&2) 13(C&E)	Emergency and lifesaving equipment				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
			19(10) 30(D-6)					
244	R.244	ASN 041	19(10)	Smoking in aircraft				
245	R.245	IS 50		Intoxicated persons not to act as pilots &c. and not to be carried on aircraft				
246	R.246			Flight over sea by certain aircraft				
247	R.247	IS 093/ ASN 029		Free balloons				
248	R.248	ASN 029		Fixed balloons and kites				
249	R.249	IS 013/ 016		Land stations not to engage in aeronautical mobile radio service except with permission				
250	R.250	IS 14		Carriage of examiners.				
251	R.251			International airline licence.				
252	R.252			Decisions of council affecting international airlines				
253	R.253							
254	R.254	IS 11		Interpretation				
255	R.255	IS 13	19(2)	Right of non scheduled flight				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/ IS/ Directives	Checklist				S	U
256	R.256			Conditions of approval to take in and discharge passengers and cargo in Sri Lanka				
257	R.257	IS 12		Non-scheduled flight by aircraft of Contracting States.				
258	R.258			Aircraft of foreign countries other than Contracting States				
259	R.259	IS 086/008/013/050/066/080		Suspension or cancellation of licences and certificates by the Director				
260	R.260	IS 11		Definitions				
261	R.261	IS 006	7(J)	Accidents to be reported				
262	R.262	IS 006		Particulars to be reported				
263	R.263			Removal or interference with aircraft				
264	R.264			Aircraft &c. of Contracting State to remain undisturbed on request.				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory	
NO.	ANR	ASN/ IS/ Directives	Checklist				S	U
265	R.265			Release of aircraft, &c. from custody of Director				
266	R.266	IS 006		Authorization of investigation into accident.				
267	R.267	IS 006		Powers of an Inspector of Accidents.				
268	R.268	IS 006		Investigation of accidents to Sri Lanka aircraft outside Sri Lanka				
269	R.269	IS 006		Furnishing of information to foreign country which conducts investigation.				
270	R.270	IS 006		Inquiry reports				
271	R.271			General				
272	R.272			Surrender of documents				
273	R.273			Production of licences.				
274	R.274			Access of authorized persons to aerodromes, aircraft, &c.				
275	R.275			Liability for damage to aircraft during official tests				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
276	R.276			Supply of particulars of certificates and licences				
277	R.277	IS 13	02(B-1) 19(10)	Exits in aircraft				
278	R.278			Dimensional units to be used in air-ground communications				
279	R.279	IS 50		Licensing of personnel				
280	R.280	IS 13		Aeronautical charts				
281	R.281	IS 80		Fire equipment in hangars and workshops				
282	R.282		19(11 & 15)	Implementation of ICAO annex 14				
283	R.283	IS 13	15(I) 19(8) 23(A)	Fueling of aircraft				
284	R.284	IS 80		Housing of aircraft				
285	R.285	--		Taxing of aircraft into hangars				
286	R.286			Prohibition of carriage of persons without passports				
287	R.287	IS 80		Inspections				
288	R.288			Photography at aerodromes				
289	R.289		7(G-1) 11(A & B)	Loading and load sheet				



Reference of the published Civil Aviation requirements				Description in brief	Comp. status	Level of Operator's compliance Mark first with R for Read, Ustd for Understood and Cmpd for compliance (please give reference to the applicable Page, Section and Chapter, Volume and the title of the relevant document which gives effect to the regulatory requirements, when compliance is indicated)	Satisfactory /Unsatisfactory	
NO.	ANR	ASN/IS/Directives	Checklist				S	U
290	R.290			State aircraft to be exempt from fees				
291	R.291			Detention of aircraft				
292	R.292			Persons entering or remaining in aerodromes				
293	R.293			Contravention of regulations by aircraft				
294	R.294							
295	R.295			Repeals, &c.				



APPENDIX – D

Certification Check Lists

General

1. Civil Aviation Authority has formulated a system, which contains 36 checklists to be completed prior to certification of an applicant for issuance of an AOC. Checklist No. 01 gives an overall description of the organisation and it will be completed by the Project Manager at the completion of the Certification Process. Operations Team Leader will complete Checklists number 02-19 and Team Leader - Airworthiness will complete Checklists number 20-36 with the assistance of the respective Team members.
2. The rest of the Team Members will use their respective checklists for conformance as per their Inspector Handbook. .
3. The Checklists contain only the items that should be examined or looked into. The Civil Aviation Inspector concerned will determine the standards (assessment criteria) against which an item in the checklist should be assessed. The following principles will be used a rule of thumb.
 - a. Check the item against the requirements in the Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures issued by DGCA or any letter addressed to the applicant in the absence of such,
 - b. Check the item against the requirements in the Chicago Convention or any Annex thereto

The guidance in these Checklists may change from time to time to comply with requirements published by ICAO and as stipulated by the DGCA.

4. The Checklists are provided only for the guidance of the Civil Aviation Inspectors. However, if an applicant is desirous of knowing the result of an assessment in respect of a particular area, the inspector concerned may issue a copy to the applicant.

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


CL -01(CAA/OP/CL/001)
 Certification of Applicants For
 Air Services Operations in Sri Lanka

CHECKLIST – 01 – ASSESSMENT OF GENERAL, LEGAL & ECONOMIC STATUS

Name of the Applicant:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. The Legal Status of the Company			
1. Evidence for the registration as a Company / Partnership			
2. The nature and scope of the Memorandum and Articles of Association to engage in the proposed activities			
B. The Economic Strength of the Company			
1. Latest consolidated financial statement			
2. Profit and loss statement			
3. Balance sheet 			
4. Group's financial business plan			
5. Forecast revenues			
6. The applicants plans to fund its essential safety related activities			
7. Forecast expenditure			
C. Company's Preparedness			



1.	Statistics relating to existing air services have been taken in to account			
2.	Potential traffic on the proposed routes is analyzed			
3.	The need for air transport in the area concerned is justified			
4.	Feasibility Study Report/Market search analysis			
5.	Provisions in the existing Air Service Agreements to support the proposed Services			
D.	The degree and nature of each member of the Board of Directors involvement in the Sri Lanka civil aviation system			
1.	Compliance history with transport safety regulatory requirements:			
2.	Related experience (if any) within the transport industry			
3.	Knowledge of the applicable civil aviation system regulatory requirements			
4.	Any history of physical or mental health or serious behavioral problems			
5.	Any conviction for any transport safety offence, whether or not			
	The conviction was in a Sri Lanka Court; or			
	The conviction was in a court of foreign country			
6.	Any evidence that any member of the Board has been declared bankrupt or has held a position of a company which is declared bankrupt.			
7.	Any evidence that the person has committed a transport safety offence or has contravened or failed to comply with any rule made under the Air Navigation Act or Rule made hereunder			
8.	The attitude of the members of the Board of Directors towards adoption of a safety culture			



E.	Insurance Arrangements: Whether the applicant has organized an adequate Insurance Policy from an Organization acceptable to CAA in respect of			
1.	Aircraft			
2.	Passengers & Cargo			
3.	Third Party liabilities			
4.	Crewmembers			
5.	Applicant's staff & general properties			
6.	Victim Protection Plan in case of an accident			
F.	Arrangements in place to ensure regular and efficient air services			
1.	Passenger Handling Arrangements			
2.	Ground Handling Arrangements			
3.	Reservations			
4.	Ticketing			
5.	Customer Relations			
6.	Denied Boarding procedures			
7.	Mishandled baggage procedures			
8.	Sudden Change of Schedules			
G.	Fares & Rates			
1.	The applicant has submitted proposed fares & rates to CAA for approval			
2.	Aircraft			
3.	Passengers & Cargo			



4.	Proposed fares and rates are just and fair			
H.	Schedules			
1.	Applicant has submitted the proposed Schedule of flights for the approval of CAA			
2.	Arrangements in place to obtain subsequent changes to the approved schedule			
a.	Monthly statistics relating to number of passengers and amount of cargo transported sector wise			
b.	Annual returns in respect of business turn over including loss/profit and balance sheet			
c.	Any other information as required by CAA			
3.	Measures in place to prevent operation of flights without approval from CAA			
I.	Statistical Returns			
1.	Applicant's knowledge of the regulatory requirements in respect of provision of statistical returns to CAA			
2.	Arrangements in place for provision of Statistical returns to CAA			
General Remarks :				
<p style="text-align: center;"> Name of the Inspector Signature Date </p>				

Check List 01
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CL -02(CAA/OP/CL/002)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 02 – INSPECTION OF PASSENGER HANDLING AND PUBLIC SAFETY

Name of the Applicant: Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Passenger Handling in Terminal			
1. Procedures for identification of and seat allocation for handicapped persons			
2. Seat allocation for infants and children			
3. Scales for weighing baggage and cargo			
4. Procedures for identification and prevention of carriage of Dangerous Goods by passengers			
5. Procedures for checking and prevention of passengers Carrying restricted items onboard			
6. Appropriate system for control of loose articles in cabin (carry-on-baggage)			
B. Safety Aspects on Tarmac Day /Night			
1. Safety routes available for emergency evacuation			
2. Staff in attendance with passengers			
3. Positioning of steps			
4. Protection from jet blast			
5. Clearance from propellers			
6. Clear of taxing aircraft			



7.	Clear of moving vehicles			
8.	Positioning of tankers/hydrants			
C.	Cabin Crew Liaison with Load Control			
1.	Passengers occupying assigned seats			
2.	Head count/load sheet check			
D.	Ground Handling Arrangements/Procedures			
1.	Availability of Ground Handling Procedures			
2.	Ticketing procedures			
3.	Checking procedures			
4.	Checked luggage handling procedures			
5.	Unaccompanied luggage handling procedures			
6.	Denied Boarding procedures			
E.	Catering Aspects			
1.	Sanitary			
2.	Security (including nature of utensils provided)			
General Remarks:				
<p>..... Name of the Inspector</p>		<p>..... Signature</p>		<p>..... Date</p>

Check List 02
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CL -03(CAA/OP/CL/003)
Certification of Applicants For
Air Services Operations in Sri Lanka

CHECKLIST – 03 – OPERATIONS MANUAL

Name of the Applicant: Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Guidelines

This checklist is subdivided in to five steps viz;

1. Checking the Operations Manual against the Declaration of Conformance for completeness and acceptability.
2. Checking specific material required by legislation for acceptability.
3. Checking material copied in to the Operations Manual for agreement with the Flight Manual.
4. Checking the Operations Manual against SLCAP 4500 for completeness and uniformity with the given standard format.
5. Checking that all changes required by DGCA to the Operations Manual have been included in the final
6. Draft.

[Sat: Satisfactory, Unsat: Unsatisfactory]

Note: The applicant shall complete the checklist in Appendix 1 of SLCAP 4500 – Preparation and Certification of Operations Manual.

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**CL -04(CAA/OP/CL/004)**Certification of Applicants For
Air Services Operations in Sri Lanka**CHECKLIST – 04 – ORGANIZATIONAL STRUCTURE, STAFFING AND ADMINISTRATIVE FACILITIES**

Name of the Applicant: Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item		Status		Remarks
		Sat	Unsat	
A.	Qualified and Competent Employees: Organization has sufficient number of suitably qualified and competent employees to act as;			
1.	Flight Crew			
2.	Cabin Crew			
3.	Instructors			
4.	Other technical trainers			
5.	Operational Planning			
6.	Operational Control			
7.	Crew Scheduling			
8.	Load Control			
9.	Passenger Handling			
10.	Administrative Support			
B.	Administrative Facilities			
1.	Office Accommodation size			
2.	Office equipment			
3.	Office support Staff			
4.	Communication/Information System that can communicate efficiently and rapidly with all crew, operational support staff and their managers			
5.	Printing and/or distribution facilities			

Check List 04

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6.	Office Environment			
7.	Facilities for Record Keeping			
8.	Technical Library			
a.	Facilities			
b.	Arrangements			
c.	Availability of documents such as			
i.	Air Navigation Regulations			
ii.	Aviation Safety Notices			
iii.	Flight Operations Manual			
iv.	Maintenance Control Manual			
v.	Minimum Equipment list			
vi.	State Limitation for Flight Time Limitations			
vii.	Aeronautical Information Publication of Sri Lanka.			
viii.	Applicable Maps & Charts			
ix.	Aircraft Manual			
x.	Other important documents			
C.	Registered Office			
1.	Principal or Designated Officer : Person responsible to the Company as the contact person for communication between CAA and the Company			
2.	Emergency Contact numbers			
Remarks:				
<p>.....</p> <p>Name of Inspector Signature Date</p>				



CL -05 (CAA/OP/CL/006)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 05 – ASSESSMENT OF FLIGHT MANUAL

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

		Status		Remarks
		Sat	Unsat	
A.	Flight manual is available in the English Language			
	If the Manual is a translation, has the translated copy been approved by the Manufacturer.			
B.	Information in the Flight Manual is updated by implementing changes made mandatory or approved by the State of Registry.			
C.	Flight Manual is current and relates to a particular serial numbered aircraft in the applicant's fleet			
D.	Flight Manual contains:			
1.	Identification of the aircraft			
2.	Operating procedures including, normal, abnormal and emergency procedures			
3.	Aircraft Limitations			
4.	Performance and loading information			
E.	The Flight Manual supplements and appendices are appropriate to the serial numbered aircraft			
F.	The Flight Manual has performance information appropriate to the aircraft's method of type certification			
G.	The Flight Manual contains as acceptable Loading System			
H.	The Flight Manual contains all relevant amendments – for example, GPS installation etc			
I.	The Flight Manual has supplements relevant to the applicant's planned operation – for example ETOPS,RVSM,RNP etc.			



General Remarks:

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Flight Operations Inspector's Name

.....

Signature

.....

Date

Check List 05
Page 02 of 02



CL -06 (CAA/OP/CL/006)
 Certification of Applicants For
 Air Services Operations in Sri Lanka

CHECKLIST – 06 – PROVISION OF OPERATIONAL INFORMATION TO CREW

Name of the Applicant

Operator – generated Information for Crew Use – Tables/Graphs/Diagrams

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item		Status		Remarks
		Sat	Unsat	
A.	Maximum Weight for Take-off and Landing			
1.	Has the applicant, where applicable, provided written verification that source performance data and its method of application assures compliance with the ANR			
2.	Maximum weight which complies with accelerate / stop, climb performance and obstacle avoidance available:			
a.	For individual runways			
b.	For each approved aircraft configuration			
c.	Correct for runway surface			
d.	Wet/Standing water/Contamination corrections			
e.	Simple and understandable presentation			
f.	Accurate (sample check required)			
g.	Dissemination of Notices to Airmen (NOTAM) to flight crew and operations personnel			
h.	System responsive to changes advised by NOTAM			
i.	Suitably qualified and experienced persons available to conduct analysis of source data			
B.	V Speeds for Actual Weight			
l.	Simple and understandable presentation			



2.	Corrections to be applied by crew appropriate			
3.	Accurate(sample check required)			
C.	Power Setting			
1.	Simple and understandable presentation			
2.	Reduced thrust procedures authorized in <i>flight Manual</i>			
D.	Obstacle Avoidance			
1.	Operator understands requirements to assess engine-out obstacle avoidance during climb and cruise			
2.	Suitable staff and facilities to devise obstacle avoidance procedures for take-off and climb			
3.	Procedures given in a simple and understandable presentation			
E.	Quality Control			
1.	Company-generated information provided for cockpit use is controlled for currency and availability			
2.	System responsive to changes in source data			
3.	System verified for accuracy on an ongoing basis			
F.	Provision of other information			
1.	Provision of pre-flight information			
2.	Elements of Integrated Aeronautical Information Package (AIP)			
3.	Aeronautical Information Circular (AIC)			
4.	Aeronautical Information Regulation and Control (AIRAC)			
4.	Maps and charts			
5.	Weather information			
6.	Volcanic Activity			
7.	Aeronautical Information (NOTAMS) of lasting character			
8.	Presence of Dangerous Goods on board			
9.	Security Sensitive information (carriage of firearms by passengers)			

Check List 06

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General Remarks:

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Inspector's Name

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Signature

.....

Date

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CL -07 (CAA/OP/CL/007)
Certification of Applicants For
Air Services Operations in Sri Lanka

CHECKLIST – 07 – ARRANGEMENTS FOR MAINTENANCE OF DOCUMENTS/ RECORDS

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A	Flight Crew Records		
1.	Licence currency status		
a.	Licence		
b.	Medical		
c.	Ratings		
d.	Special authorizations		
e.	Endorsements/Limitations		
2.	Recent experience status		
a.	Competency Checks [Sec 9.1.1-(a)]		
b.	Bi-annual Aircraft Type Proficiency Check		
c.	Recency Check (3-take-offs & landings on type)		
d.	All weather Operations Check		
e.	ETOPS (annual check)		
3.	Recency of Instrument Rating (12 months)		
4.	Recency of Route Qualification (12 months)		
5.	Validity of Licence (age >60 years of age)		
B.	Flight and Duty time limitation records for Flight and Cabin Crewmembers		
1.	Check for 28 day limit		
2.	Check for 365 day limit		

Check List 07
Page 01 of 04



3.	Check for minimum days off			
4.	Check for monthly cumulative duty hours			
5.	Report on exceeding Flight & Duty Time Limitations			
6.	Conformance of the flight duty roster to the State Limitations (IS 54 & SLCAP 4210)			
C.	Operating Crew			
1.	Competency in Safety and Emergency Procedures (12 months)			
a.	Flight Crew			
b.	Cabin Crew			
2.	Competency in Transport of Dangerous Goods (24 months)			
a.	Cargo Acceptors and supervisors			
b.	Handlers/Loaders and Supervisors			
c.	Flight Crew			
d.	Cabin crew (every 12 months)			
e.	Passenger Security Staff			
3.	Competency in Security Procedures (12 months check)			
a.	Cargo Acceptors and Supervisors			
b.	Handlers/Loaders and Supervisors			
c.	Flight Crew			
d.	Cabin crew			
e.	Passenger Security Staff			
D.	Trip Records (Preserved for two years)			
1.	Entries are made within 24 hours			
2.	Entries made in ink			
3.	Contents (Reg. 89)			
E.	Navigational Log			
F.	Flight Dispatch Release			
G.	Fuel records			
H.	Aircraft Loading			

Check List 07

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1.	Load sheet			
2.	NOTOC (Dangerous Goods)			
I.	Log Books (Preserved for two years)			
1.	Aircraft log book			
2.	Engine log book (for each engine)			
3.	Propeller log book (for each propeller)			
4.	Radio maintenance log book			
5.	Telecommunication log book			
6.	Personal Flying log book (for each pilot)			
J.	Arrangement for carriage of Aircraft documents (in reference to IS 020)			
1.	Certificate of Registration			
2.	Certificate of Airworthiness			
3.	Licences of the Operating Crew (Pilots and Cabin Crew/Engineers, if applicable)			
4.	Journey Log Book			
5.	Technical Log Book			
6.	Radio Licence			
7.	Certificate of Safety			
8.	Load sheet			
9.	Passenger Manifest			
10.	Cargo Manifest			
11.	Copy of the AOC & Ops Specs, Certified true by the DGCA			
12.	ICAO Manual on Emergency Response Procedures involving Dangerous Goods.			
13.	Flight Operations Manual			
14.	Cabin Crewmember Safety & Emergency Procedures Manual			
15.	Certificate of Insurance			
16.	Airplane Flight Manual (AFM)			
17.	Duly certified copy of Lease Agreement in respect of Lease aircraft			
18.	Minimum Equipment List (MEL) & Configuration Deviation List (CDL)			
19.	Weight & Balance Manual			
K.	Incident/Accident Reporting Forms			
1.	ATC/Near miss(Air prox) Forms			
3.	Notification of Child delivery onboard Form			
4.	Notification of Death on board Form			
5.	General Incident Reporting Form			

Check List 07

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6.	Report on Unruly Passenger Form			
7.	Bird Strike Form			
8.	Other (Pl. specify)			

General Remarks:

.....
Name of the Inspector	Signature	Date

Check List 07
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CL -08 (CAA/OP/CL/008)
 Certification of Applicants for
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CHECKLIST – 08 – ARRANGEMENTS OF PROPOSED FUEL POLICY

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A	Fuel policy included in <i>Operations Manual</i>		
B.	Fuel Policy contains:		
1.	Uplift instructions		
2.	Holding and diversion policy		
3.	Tankering policy		
4.	Acceptable alternative methods of compliance - that is, use of PNR, etc.		
5.	System provided to review adequacy of fuel policy based on records		
C.	Fuel uplift instructions cover the following		
1.	Flight fuel departure to destination plus diversion to alternate (if required) calculated at aircraft manufacture’s specified rate		
2.	Appropriate allowance specified for taxi, takeoff, pre-departure maneuvering and destination maneuvering		
3.	Appropriate allowances specified for in-flight variations due to:		
a.	ATC requirements, Variation to cleared flight level and Terminal area holding,		
b.	En-route weather, Icing conditions, Thunderstorm avoidance, Variation in forecast wind		
c.	Stipulates minimum fuel required for landing (fixed reserve)		
d.	Allowances specified for in-flight emergencies		

Check List 08
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1.	Pressurization loss			
2.	Engine failure (including departure airfield closed for landing)			
3.	Other, (i.e., RAT deployment), Passenger emergencies			
4.	Allowances for ETOPS considerations			

General Remarks:

Large empty rectangular area for general remarks.

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Name of the Inspector

.....

Signature

.....

Date



CL 09 (CAA/OP/CL/009)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

**CHECKLIST – 09 – INSPECTION OF FLIGHT/ CABIN CREW SCHEDULING in reference to
 Implementing Standard 054**

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A	Record to be available		
1.			Schedulers have access to all operating crew records
2.			Use of these records in the applicant's crew scheduling system is practical
B.	Competence of Scheduling Staff		
1.			Acceptability of Training
2.			Understand legal implications of scheduling
3.			Effective use of applicant's scheduling system
C.	Communication/Information System		
1.			Means of advising schedulers of the need for schedule change
2.			Means of advising crew members of schedule Changes
D.	Documents Recommended to be available		
1.			Operational Manual
2.			Flight & Duty Time Limitation Scheme
3.			State Limitations for Flight & Duty Time Limitations
4.			Approved Flight Schedule
5.			List of Flight crews employed
6.			Flight Crew Duty / flight time records



7.	Approved Leave applications			
8.	Change of Schedules			

Remarks:

.....
Name of the Inspector Signature Date

Check List 09
Page 02 of 02



CL -10 (CAA/OP/CL/011)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 10 – INSPECTION OF OPERATIONS SUPPORT SERVICES

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item		Status		Remarks
		Sat	Unsat	
A	Services Provided			
1.	Performance Information			
2.	Navigation information/route data cards			
3.	Instrument approach Minima			
4.	Computer flight planning			
5.	Obstacle Avoidance Procedures			
6.	Operational control support			
7.	Staff			
a.	Qualifications			
b.	Training			
c.	Competence			
d.	Adequacy in strength (number)			
8.	Suitability of accommodation			
9.	Availability of appropriate information			



10.	Reliability of system to convey current information to crew			
11.	Responsive to changed inputs			

Remarks:

..... Name of the Inspector Signature Date
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Check List 10
Page 02 of 02



CL -11 (CAA/OP/CL/012)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 11 – INSPECTION OF LOADING AND LOAD CONTROL

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A Load System			
1. Approved by Weight Control Authority			
2. System appropriate for operations in regard to ease of use, speed of use, appropriate units and divisions used			
3. Instructions given in the Operations Manual			
4. If computer is used:			
System checked for accuracy (applicant should demonstrate)			
Manual backup system is available			
B. Approval Load Controllers			
1. Properly appointed by the Operator and approved by DGCA			
2. Approval process, training syllabus and competency checks contained in a company controlled document			
3. Appropriate training and competency check is provided			
4. Competency checked during inspection			
5. Responsibilities in defined in Operational Manual			
C. Load Sheet			
1. Signed by pilot or approved load controller			
2. Contains all information for proper weight and balance control			

Check List 11
 Page 01 of 02



3.	Copy carried in the aircraft and one left at the place if departure			
D.	Communications Systems: satisfactory communication system provided between load controller and:			
1.	Passenger check-in			
2.	Cargo acceptance			
3.	Aircraft loaders			
4.	Fuel suppliers			
5.	Crew			
E.	Cargo Loading			
1.	System to ensure cargo loaded in correct holds			
2.	Cargo restraint adequate			
Remarks:				
.....	
Name of the Inspector		Signature		Date



CL -12 (CAA/OP/CL/013)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 12 – INSPECTION OF TRAINING FACILITIES

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status	Remarks	
		Sat	Unsat
A Class Room & Training Areas			
1. Number & Size adequate for the purpose			
2. Student accommodation			
a. Seating/Writing			
b. Visibility			
c. Hearing			
d. Minimal visual and aural distractions			
3. Heating/Cooling/Ventilation/Lighting			
4. Equipment as specified by syllabus available, such as blackboards, whiteboards, viewgraphs, projectors, video etc.			
B. Special Equipment [Syllabus-identified training aids adequate for purpose]			
1. Briefing Rooms [Rooms to conduct briefing for competency/proficiency checks for flight training:]			
2. Number/size appropriate to task			
3. Adequately furnished / equipped			
4. Briefing Room for cabin crew to conduct pre-flight briefing			
C. Recording System Security			
1. Controlled access			

Check List 12
Page 01 of 03



2.	Privacy / Tampering			
3.	Adequate/ effective/ Usable			
D.	Course Records Adequate to monitor effectiveness of training system			
E.	Individual Training Records Detailed records kept with respect to each operating crew member, recording at least;			
1.	Each ground training course completed or attempted, including results for each phase or subject and the final assessment of the standard achieved			
2.	Each endorsement training course completed or attempted, including results for each phase of training, the number of time each exercise was undertaken and the results of checks or tests			
3.	Each flight or simulator proficiency check completed or attempted, including the number of times each exercise was undertaken and the results of the tests or checks			
4.	Any other period of training over and above that prescribed, undertaken in an aircraft or simulator, including the exercises completed or attempted and an assessment of the standard achieved			
F.	Examination Facilities			
1.	Exam rooms/area adequate for purpose			
2.	Equipment adequate for purpose			
3.	Secure storage for exam papers			
	Unused papers			
	Completed papers			
G.	Administration			
1.	Adequate accommodation/ Facilities			
2.	Adequate support services			
	Training schedules coordinated with operational			
4.	Adequate qualified staff available to conduct training courses			
5.	Facilities available for the production of required training course notes and material			



General Remarks:

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Inspector's Name

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Signature

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Date

Check List 12
Page 03 of 03



CL -13 (CAA/OP/CL/014)
 Certification of Applicants
 Air Services Operations in Sri Lanka

CHECKLIST – 13 – INSPECTION OF AIRCRAFT

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Flight-deck items			
1. Required radio and navigation equipment			
2. All equipment required by applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures			
3. All control switches, indicators and gauges visible and accessible to appropriate crew			
4. Observer's seat			
a. View of operating crew			
b. Equipped with intercom, oxygen and full harness			
5. Fleet standard layout of instruments and equipment (changes if any)			
6. Secure flight-deck Door			
B. Safety and Security Equipment			
1. Life preservers / vest – accessible to flight / cabin crew and passengers			
2. Life rafts (If applicable) meet stowage requirements			
3. Signaling equipment (if life raft required)			
4. Survival equipment carried			
5. PBEs for cabin crew appropriately located			
6. PBEs for flight crew appropriately located or smoke goggles and oxygen available			
7. Torches at each crew station			
8. PBE accessible throughout cabin			

Check List 13



9.	Oxygen supplies comply with the ANR			
10.	Safety Briefing Cards			
11.	Fire extinguishers-required number, approved type, location suitable, serviced and certified OK			
12.	First Aid Kits			
13.	Medical Kit / universal precautionary kit			
14.	Megaphones			
15.	Crash Axe			
16.	Lighting (Floor & Safety sign) (Escape path lighting)			
17.	Safety belts/ harness/ Kangaroo Belts			
18.	Communication Equipment PA/ Interphone			
19.	Passenger Seats			
20.	ELT – no;s as required			
21	Life Jackets for pax , infants			
22	Emergency Response Kit (For handling of DG Incidents)			
C.	Cabin Crewmember Seating			
1.	Distributed uniformly throughout cabin			
2.	As near as practicable to emergency exists			
3.	Each section of cabin under surveillance			
4.	Seat equipped with shoulder harness			
5.	Access to intercom when seated			
D.	Crew rest			
1.	Seating rest adequate (comfortable, quiet, private)			
2.	Bunk rest approved (comfortable, quiet, private)			
E.	Cabin Layout			
1.	Passenger number not more than 5% above that for initial emergency evacuation demonstration			

Check List 13

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2.	No major configuration change to that in place for initial emergency demonstration			
3.	Passenger seats do not obstruct emergency exits or Aisles/ can be used as a strong hold in case of turbulence , decompression			
4.	Passenger seating does not exceed maximum number approved in type certificate			
5.	Passenger Seats are provided with seats belts			
6.	Lavatory Fire Protection Arrangements (Waste bin extinguisher, Smoke detector)			
7.	Weight Placards/Exit Signs/ Decals for emergency equipment/ No Smoking, Fasten seat belt signs/ Life jacket location			
8.	Carry-on Baggage Restraints			

Remarks:

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Inspector's Name

Signature

Date

Check List 13

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CL -14 (CAA/OP/CL/015)
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CHECKLIST – 14 – DETERMINATION OF LANDING MINIMA

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Operator understands obligations in regard to calculation of “Aircraft Landing “Minima”(see ICAO Annex6, Part Chapter 4, Para 4.2.7) Part II, Chapter 2 & Part III Chapter 3			
B. <i>Operations Manual</i> contains information on:			
1. Additions to “aerodrome Operating Minima”: Full Annex 6 considerations for precision Approaches OR Pressure error correction only OR + 50 ft			
C. If operations planned to overseas destinations:			
1. Operator has expertise to determine if overseas minima are designed to PANS/Ops (ICAO Doc 8168 Vol II)			
2. Operator will have the services of a delegate to calculate overseas minima in accordance with PANS/OPS			
D. If Jeppesen charts are to be used:			
1. Operator has a training package for crew familiarization (for example, Jeppesen video series)			
2. Approved minima shown unambiguously			
Remarks:			
..... Name of the Inspector Signature Date	



CL -15 (CAA/OP/CL/016)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 15 – INSPECTION OF OPERATIONS PORTS

Name of the Applicant:

Name of the Operating Port:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Company Documentations			
1. Specific regulated take-off & landing charts			
2. Special obstacle avoidance procedures			
3. Route qualification briefing			
4. Accuracy of <i>Operations Manual</i> information			
5. Reference Library (where crew are based)			
B. Aerodromes			
1. Type (Licensed/Military)			
2. Lighting activation			
3. Electric Lighting			
4. Electrical Lighting			
a. Runway			
b. Taxiway			
c. Apron			
d. Wind indicator			
e. Obstacle lighting			



5.	Electronic or visual slope guidance			
6.	Navigation aid and instrument procedures			
7.	Approved QNH source			
8.	Approved Met observers			
9.	Adequate data on obstacle gradients, movement areas, hazards etc.			
10.	Runway inspections and bird scaring			
11.	Movement areas suitable			
12.	Suitability for type of aircraft operated			
13.	Movement Area			
a.	Runway			
b.	Taxiway			
c.	Apron			
d.	Pavement Strength			
14.	Runway width			
15.	Runways strip			
C.	Airspace			
1.	Controlled Airspace			
2.	Terminal Control Area			
3.	Obstacle Limiting Areas/Surfaces			
D.	Dispatch			
1.	NOTAM and Weather			
2.	Flight notification			



3.	Communications			
4.	Operational Documents			
5.	Suitable “work area”			
6.	Crew rest			
E.	Local Load Control Systems			
1.	Pax handling			
2.	Freight handling			
3.	Load sheet preparation			
4.	Trained/approved load controller			
5.	Passenger lists			
6.	Scales for weighting baggage and cargo at each port or each base			
7.	Cargo manifests			
F.	Marshalling/Parking			
1.	Designated Marshalls			
2.	Standards signals			
G.	Dangerous Goods			
1.	Handling, acceptance, cargo examination			
2.	Staff trained & properly authorized			
H.	Airside			
1.	Passenger safety			



I.	Refueling			
1.	Refueling Precautions			
2.	Aircraft location			
3.	Refueling equipment mobile			
	Fire extinguishers			
J.	Inspection of Passenger Handling and Public Safety	Use the Checklist - 2		
Remarks:				
..... Name of the Inspector	 Signature	 Date

Check List 15
Page 04 of 04



CL16 (CAA/OP/CL/017)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 16 –ASSESSMENT OF TRAINING AND CHECKING MANUAL

Name of the Applicant:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A.	Does the Manual contain information on the following items and is that information suitable for the proposed operation:		
	1. Structure of the training & checking organization		
	2. The method of assignment of duties and responsibilities of all ground, flight and other appointment within the training and checking organization		
	3. The interrelation of ground and flight training		
B.	For each Ground Course		
	1. Course outline		
	2. Detailed syllabus		
	3. Examination cover the requirements of DGCA requirements		
	4. Completion standards		
	5. Specimen record forms		
	6. Documents and Certificates		
C.	For each flight or simulator training program and/or proficiency test		
	1. Aircraft Training Programme		
	a. Course outline		
	b. Syllabus covers the requirement of DGCA		



	c. Completion standards			
	d. Specimen record forms			
	e. Document and Certificates			
	2. Simulator Training Programme			
	a. Course outline			
	b. Syllabus covers the requirement of DGCA			
	c. Completion standards			
	d. Specimen record forms			
	e. Documents and certificates			
D.	Command responsibility during training and checking flights, including (if applicable) route checks and licences renewal proficiency tests			
E.	Supervisory, Training and Checking Pilots (Minimum qualification and experience)			
F.	Training Programme			
	1. Course Outline			
	2. Detailed syllabus as appropriate			
	3. Completion standard			
	4. DGCA approval process			
	5. Specimen record forms			
G.	Minimum crew complement and minimum crew qualification for specified types of training			
H.	Training checklists and occasion on which their use is authorized			
I.	Maximum numbers and qualification of persons to be carried on training flights comply with			
J.	General restrictions , limitations , specifications or safety precautions applicable to flight training or checking – for example fuel, load ,minimum weather conditions, persons to be carried onboard, safety pilot etc.			

Check List 16



	safety pilot etc.			
K.	Prescribed methods of conducting various training sequences, including			
	1. Techniques and standards to be achieved			
	2. Methods, special procedures and limitations relating to practice and simulated emergency and abnormal flight operations			
L.	Procedure to be followed when a satisfactory standard is not achieved			
M.	Tests and Checks			
	1. At least two checks of competency in each year which will ensure the continued competency of pilots over the complete year			
	2. Provision of instrument rating renewal			
	3. Route Check			
	4. All Weather Operations			
	5. Special requirements (ETOPS, EDTO RVSM, TCAS ,ACAS, GPWS, etc.)			
	6. Safety & Emergency procedures			
	7. Transport of Dangerous Goods			
	8. Security			
N.	Use of Designated Check Pilot			
	1. Selection procedure			
	2. Number			
O	Cabin Crew Training Manual approved by the CAA			
Remarks:				
..... Inspector's Name	 Signature	 Date



CL -17 (CAA/OP/CL/018)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 17 – FLIGHT CHECK SYSTEM

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item		Status		Remarks
		Sat	Unsat	
A	Checklists encompass at least those items in <i>Flight Manual/POH</i> checklists			
B.	Any differences from the flight Manual/POH justified by the applicant and are satisfactory			
C.	Checklist accessible to all flight crew during flight			
D.	Checklist printing is legible under adverse visual conditions			
E.	Checklist presented in durable form			
F.	Instructions for the multi-crew use of checklists indicate clearly which duties are to be performed by each crewmember and the appropriate challenges, actions required and responses to be used.			
G.	Checklists, expanded and abbreviated are published as part of the <i>Operations Manual</i> .			
H.	Operations Manual instructions provide procedures to ensure the validity of aircraft copies			
I.	Operations Manual instructions provide adequate procedures in the use of checklists			
J.	Abbreviated checklists are consistent with expanded checklists			



General Remarks:

Large empty rectangular box for general remarks.

.....

Inspector's Name

.....

Signature

.....

Date

Check List 17
Page 02 of 02



CL -18 (CAA/OP/CL/019)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 18 – FLIGHT OPERATIONS INSPECTORS FINAL REPORT

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item		Status		Remarks
		Sat	Unsat	
A	Formal Application			
B.	Declaration of Conformance to ANR ,IS & ASN			
C.	Key Personnel Satisfactory:			
1.	Accountable Manager			
2.	Chief Executive Officer			
3.	Head of Flight Operations			
4.	Head of Training and Checking			
D.	Document Evaluation			
1.	Operations Manual (CL-03)			
2.	Aircraft Flight Manual (CL-05)			
3.	Dangerous Goods Manual			
4.	Cabin Safety Manual			
5.	Training & Checking Manual (CL-16)			
6.	Other Manuals (ETOPS, CAT I/II/III, MEL, etc.)			
E.	Inspections			
1.	Organisational Structure and Staffing Inspection (CL- 04)			
2.	Administration Facility Inspection (CL – 04)			



3.	Records System Inspection (CL-07)			
4.	Crew Scheduling Inspection (CL –09)			
5.	Inspection on Facilities for provision of Operational Information to crew (CL-06)			
6.	Inspection of Operational Support Services (CL-10)			
7.	Load Control Inspection (CL-11)			
8.	Passenger handling and Public Safety Inspection (CL-02)			
9.	Training Facilities Inspection (CL-12)			
10.	Inspection of Operating Ports Inspection (CL-15)			
11.	Demonstration of emergency Evacuation Procedures			
12.	Ditching Demonstration			
13.	Fuel Policy Inspection (CL-08)			
14	Aircraft Inspection (CL-13)			
15.	Determination of Landing minima (CL-14)			
16.	Proving Flight (CL-19)			
F.	Approvals / Exemptions / Directions			
G.	Persons Requiring Approval			
1.	Head of Training and Checking			
2.	Training and Checking Pilots / Check Flight			
3.	Persons Appointed to Conduct Emergency Procedure Tests			
4.	Ground Instructors			
5.	Approved Load Controllers			



6.	Approved Dangerous Goods Course Instructors			
H.	Organisations Requiring Approval			
1.	Training and Checking Organisation			
2.	Delegations			
I.	Facilities Requiring Approval			
1.	Pilot Engineering Ground Training Facilities			
2.	Audio-Visual Briefing Facilities			
3.	Accreditation of Flight Simulators			
J.	Other Approvals			
1.	Area Navigation System			
2.	Extended Range Operations			
3.	All Weather Operations and Auto land			
4.	Flight (Cockpit) Check Systems (CL-17)			
5.	Dangerous Goods Training Courses			
K.	Conditions to be included on AOC (Attach list)			
L.	Aerodromes and Routes Assessed as Satisfactory (Attach list)			

Recommendations:

I am satisfied that the applicant has complied with , or is capable of complying with, the provisions of the Civil Aviation Act, the Civil Aviation Regulations and Civil Aviation Directives that relate to safety, including provisions about the competence of persons to do anything that is covered by the Airline Licence

I recommended that:

.....

Signature

Date//

Name of the Team Leader Flying Operations



CL -19 (CAA/OP/CL/020)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 19– PROVING FLIGHT

Name of the Applicant

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Application for Airline Licence			
		1. 2. 3.	
Aircraft Type		Aircraft S.N.	
Route		Date	

Item		Status		Remarks
		Sat	Unsat	
A	Flight Time Limitations Crew schedules in accordance with flight and duty limits			
2.	Pre/ Flight Documents (available and correct) ▶ Met and NOTAMS..... Flight ▶ Plans..... ▶ Fuel load in accordance with <i>Operations Manual</i> ▶ Aircraft performance data..... Landing / ▶ Overflight approvals from Status concerned.....			
3.	Aircraft Documents (on board) ▶ Certificate of Registration..... Certificate of ▶ Airworthiness..... Maintenance ▶ Release..... ▶ Aircraft Flight Manual (if required)... .. ▶ <i>Operations Manual / MEL</i> ▶ Licence with respect to aircraft radio equipment... ▶ Journey Logbooks.....			
4.	Operational Documents (on board) ▶ Flight crew’s licences and medical certificates... Cargo ▶ manifest..... ▶ Passenger manifest..... ▶ Certificate of Safety.....			



<p>5.</p>	<p>Passenger Handling and Loading</p> <ul style="list-style-type: none"> ▶ Method of passenger weight calculation in accordance with <i>Operations Manual</i>..... ▶ Handicapped persons not assigned to emergency exit rows..... ▶ Procedures for identifying handicapped pax. ... ▶ Handicapped, sick or injured persons not hazardous to other occupants..... ▶ Passenger safety on tarmac vehicles, props, jet blast ▶ “Carry on” baggage in accordance with <i>Operations Manual</i>..... ▶ Method of baggage weight calculation in accordance with <i>Operations Manual</i>..... 			
<p>6.</p>	<p>Baggage and Cargo Loading / Unloading</p> <ul style="list-style-type: none"> ▶ Baggage / Freight loaded in assigned locker... Cargo restraint..... ▶ Handling of Dangerous Goods..... 			
<p>7.</p>	<p>Load Control</p> <ul style="list-style-type: none"> ▶ Communications with <ul style="list-style-type: none"> Flight deck crew..... Baggage loader..... Passenger check-in..... Refueller..... ▶ Compilation of load sheet..... ▶ Last Minute Changes (LMCs) to flight crew..... 			
<p>8.</p>	<p>Refuelling Procedures</p> <ul style="list-style-type: none"> ▶ Proximity of buildings and aircraft..... ▶ Refueling equipment is mobile..... ▶ No-smoking signs on tarmac..... ▶ Two or more fire extinguishers available..... ▶ Refueling with Pax on board <ul style="list-style-type: none"> Pax briefing completed..... Cabin attendant at designated station’s prepared for evacuation..... Seat belt signs off..... Emergency signs armed..... Areas outside aircraft exits clear of service vehicles..... Aircraft and refueling equipment earthed..... 			



<p>9.</p> <ul style="list-style-type: none"> ▶ Pre-Flight Procedures ▶ Flight Crew drills and procedures in accordance with <i>Operations Manual</i> <ul style="list-style-type: none"> Use of checklist..... Confirmation of load control documents... Confirmation of dangerous Goods info... Calculation of take-off performance... Airways clearance/navigation systems preparation..... ▶ Flight deck to cabin communications in accordance with <i>Operations Manual</i>..... ▶ Cabin crew drills and procedures in accordance with <i>Operations Manual</i> <ul style="list-style-type: none"> Check of emergency equipment..... Passenger restraints and seats upright..... Stowage of loose articles and pax service items..... Aisles and exits clear..... Briefing of handicapped passengers..... ▶ Passenger briefing cards <ul style="list-style-type: none"> Correct..... In place..... 				
<p>10.</p> <ul style="list-style-type: none"> ▶ Taxi/Pre-take-off Procedures ▶ Pushback procedures..... ▶ Flight deck/ground communication..... ▶ Use of checklist..... ▶ Crew briefing as per <i>Operations Manual</i>..... ▶ Arming of cabin slides..... ▶ Passenger oral briefing covers <ul style="list-style-type: none"> No smoking (including Toilets)..... Seat belts..... Emergency exits..... Use of Oxygen..... Flotation devices..... Survival equipment (if carried)..... ▶ Check of passenger seat belts..... ▶ Cabin to flight deck communication..... ▶ On time departure/Scheduled turnaround time..... 				
<p>11.</p> <ul style="list-style-type: none"> ▶ Flight Phase ▶ Flight deck drills and procedures in accordance with <i>Operations Manual</i> <ul style="list-style-type: none"> Monitoring of flight path..... Adherence to clearances..... Crew coordination..... Use of checklist..... Altimetry/height awareness..... ▶ Navigation..... 				



	<p>Communications.....</p> <p>Systems Operations.....</p> <p>Fuel/Weather/Volcanic activity reporting/ Operational Control.....</p> <p>Considerations.....</p> <p>Monitoring/Human Factors.....</p> <p>Turbulence penetration.....</p> <p>Descent planning.....</p> <p>Approach briefing (inspector to nominate instrument approach procedure).....</p> <p>Approach /speed control.....</p> <p>Procedures at minima.....</p> <p>Airfield layout knowledge.....</p> <p>ATC requirements and procedures.....</p> <p>En route knowledge.....</p> <p>Cabin crew duties and procedures in accordance with <i>Operations Manual</i></p> <p>Passenger control.....</p> <p>Response to flight deck signals.....</p> <p>Handling of service carts.....</p> <p>Location of emergency equipment.....</p> <p>Limitation of emergency equipment.....</p> <p>Fire extinguishers.....</p> <p>Oxygen.....</p> <p>Protective breathing equipment (PBE)...</p> <p>Response to simulated emergency.....</p> <p>Onboard cabin fire.....</p> <p>Bomb threat procedures.....</p> <p>Toilet fire.....</p> <p>Handling of incapacitated pax.....</p> <p>Handling of disorderly pax.....</p> <p>Response to turbulence warning (simulate if necessary).....</p> <p>▶ Knowledge of emergency procedures.....</p> <p>Ditching.....</p> <p>Crash landing.....</p> <p>Emergency evacuation.....</p> <p>Stowage of equipment prior to landing...</p> <p>Slide disarming procedures.....</p>			
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12.	<p>Aircraft and Equipment</p> <ul style="list-style-type: none"> ▶ Belt/no-smoking signs..... ▶ Life jackets..... ▶ Rafts/emergency beacon (if required)..... ▶ Galley equipment/security..... ▶ PA/Intercom equipment..... ▶ Fixed oxygen system..... ▶ Portable oxygen system..... ▶ Protective breathing equipment..... ▶ Aircraft's library..... 			
13.	<p>Intermediate Port/Turn-around (Flight crew considerations)</p> <ul style="list-style-type: none"> ▶ Airfield layout/Knowledge..... ▶ Parking arrangements/Procedures..... ▶ Refueling arrangements/procedures..... ▶ Update of operational information <ul style="list-style-type: none"> Met..... NOTAMS..... Flight pans..... ▶ Use of the MEL (simulated problem) 			
14.	<p>Port Facilities Capable of Supporting the Services</p> <ul style="list-style-type: none"> ▶ Passenger handling..... ▶ Baggage and cargo handling..... ▶ Tarmac vehicle control..... 			
15.	<p>Security Arrangements</p> <ul style="list-style-type: none"> ▶ Control of access to the cockpit..... ▶ Security arrangement in the cabin..... ▶ Sterility of passengers..... ▶ Sterility of Cargo..... ▶ Sterility of Cabin (with reference to items introduced from outside such as catering, newspapers, servicing etc.)..... ▶ Preventive measures of any onboard unlawful interference..... 			
16.	Meets scheduled turn-around times			
17.	ETOPS Procedures			
18.	Capacity of company to notify relevant persons of operational changes			
Remarks:				
<p>.....</p> <p>Inspector's Name</p>		<p>.....</p> <p>Signature</p>		<p>.....</p> <p>Date</p>

Check List 19

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11.	Defect reporting and Investigations			
12.	Stores Control			
13.	Amendment of MCM (if applicable)			
14.	Internal audit and administrative support			

Remarks:

.....
Name of Airworthiness Inspector	Signature	Date

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Page 02 of 02



CL -23 (CAA/OP/CL/024)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 23 –FUELLING OF AIRCRAFT

Applicant:..... Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Does the operator have procedures to ensure compliance with the ANR, if applicable including:			
1. The location of aircraft during fuelling and de-fuelling			
2. Passenger safety and precautions			
3. Aircraft electrical system safety precautions			
4. Safety precautions external to the aircraft			
5. Action to be taken in the event of a fire hazard			
6. Ground Operation of aircraft radar equipment			
7. Fuel spillage precautions during starting and ground operations			
B. Fuel Quality Control			
1. Does the operator have provisions in place to :			
a. Ensure fuel quality and quantity are correct			
b. Check fuel supplier audit reports or audit fuel quality			
c. Prevent contamination of dispensed fuel			
d. Record the fuelling at each refueling location where fuel is uplifted indicating company and person responsible for monitoring the fuel supplier			
e. Institute a fuel sampling programme			
f. Guide and train flight crew, fuel distributor and ground staff			



g.	Conduct the fuel quality audit programme			
2.	Have the fuel servicing procedures been incorporated into operator's ground handling and servicing procedures manual or similar document which is available to flight and ground staff			
C.	Fuelling Overseas or in Remote Areas			
1.	Where the operator is likely to refuel overseas or in remote areas are adequate measures in place to ensure that the quality and quantity of fuel uplifted is correct?			
2.	Do these measures take into account			
a.	Since hydrant system re-fuelling in locations subject to monsoonal flooding may not be a safe practice, is re-fuelling restricted to tanker re-fuelling only? (Where the normal filtering system can be closely monitored)			
b.	Other operator's experience?			
c.	If testing shows that fuel does not contain an antistatic additive, are procedures in place to ensure that passengers are disembarked before re-fuelling?			
d.	The need for any special precautions?			
Remarks:				
.....		
Name of the Inspector	Signature	Date		



CL -24 (CAA/OP/CL/025)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 24 –MAINTENANCE FACILITIES

Applicant: Location

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A.	Base facilities		
1.	Do the facilities include		
a.	Suitable premises to provide protective cover for largest type of aircraft proposed?		
b.	Suitable premises, tooling, equipment, test apparatus and technical data/		
c.	Storage facilities which ensure segregation of aircraft components and materials, including protection against deterioration, contamination or damage?		
d.	A person or position appointed to coordinate and control all activities carried out at the base or port?		
e.	A system to control the quality of work?		
f.	A record and maintenance planning system?		
g.	Sufficient qualified employees at each base or out-station to perform and certify the maintenance?		
h.	An engineering organization for the control of design, modification and repair to aircraft and aircraft components? (This may be met through the operator's main base or by contract with another organization.)		
B.	Out-station Facilities		
1.	Are there sufficient numbers of suitably qualified staff at each out-station to perform the tasks allocated to it?		
2.	Are shift arrangements in place?		
3.	Are arrangements in place to ensure on-coming shifts are made fully aware of any outstanding or incomplete task(s)?		
4.	Are instructions included so that scheduled or planned maintenance is only allocated to stations with sufficient staff, aircraft down-time, facilities and suitable conditions?		



5.	Are arrangements in place to ensure that each out-station will be provided with			
a.	A list of the technical data provided for the station?			
b.	An amendment service and periodic check of currency?			
c.	A list of station spares holding with an indication of which items are held for priority purposes?			
d.	Company procedures and technical instruction appropriate to the aircraft type?			
e.	Extracts from the maintenance instructions covering the maintenance to be performed at each station?			
f.	Access to deferred and repetitive defect information and trouble-shooting information?			
g.	Details of any subcontracts for out-station support, fuel supply, loading and ground handling?			
6.	Are maintenance facilities and working accommodation appropriate to the scale of work and undertakings of the station, including unscheduled maintenance?			
7.	Is ground support equipment appropriate, including equipment for ground de-icing and anti-icing of aircraft as necessary?			
8.	Are all procedures related to facilities documented and available to those who need to know?			
C.	Overseas Maintenance Facilities			
1.	Where the operator anticipates operations outside Sri Lanka territory, are procedures in place to ensure			
a.	That all maintenance performed on the aircraft outside Sri Lankan territory			
b.	Will be carried out by persons specified in ANR?			
c.	Will be carried out in accordance with the aircraft's approved system of maintenance or, if an approved SOM is not required for the aircraft, in accordance with ANR?			
d.	Will be certified in accordance with ANR			
e.	That maintenance releases will be issued only by a person authorized by CAA?			



f.	Provisions for overseas maintenance are documented and available to those who need to know including flight crew?			
Remarks:				

Check List 24
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CL -25 (CAA/OP/CL/026)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 25 –WEIGHT & BALANCE CONTROL

Applicant:

Location

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Has the operator provided an appropriately qualified weight control authority (WCA) holder			
B. Are procedures for recording of aircraft mass alteration satisfactory?			
C. Are procedures for aircraft mass control during modification satisfactory?			
D. Are procedures for preparation and approval of loading data satisfactory?			
E Does the applicant have procedures for the issue of an aircraft's load data sheet each time?			
1. The aircraft is re-weighted or the weight and balance is validated?			
2. The weight and balance tolerances recorded in the weight and balance records are exceeded?			
3. There is a change to the aircraft's fixed equipment, which affects the aircraft's weight and balance?			
F. Are there satisfactory procedures for ensuring that the current load data sheet will be incorporated on to the aircraft's flight manual(or alternative approved document) and the aircraft's logbook, and are these procedures accessible to the pilot in command to assist with correct loading of the aircraft?			
G. Are procedures for conducting aircraft weighing satisfactory and do they comply with ANR/ICAO Annex 6			
Remarks:			
..... Name of the Inspector Signature Date	



CL -26 (CAA/OP/CL/027)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 26 –AIRCRAFT SERVICING, SPARES HOLDING & STORES CONTROL

Applicant:

Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item		Status		Remarks
		Sat	Unsat	
A.	Aircraft Servicing			
1.	Are procedures in place and available to those who need to know to ensure that materials used in servicing of the aircraft at all locations			
a.	Conform to the appropriate specifications?			
b.	Are protected from damage, deterioration and contamination?			
c.	Are controlled to ensure shelf-life limits are observed?			
B.	Spares Holding			
1.	Are provisions in place for sufficient spares to be available at each location?			
2.	Has account been taken of the operator's MEL (if applicable)?			
3.	Are numbers of spares adequate for support in relation to routes, frequency of flights and numbers of aircraft?			
4.	Are procedures in place to ensure that all spares are obtained from acceptable sources?			
5.	Are procedures in place for review of spares holdings at regular intervals at all locations?			
C.	Stores Control Procedures			
1.	Are procedures in place to ensure:			
a.	That all spares are stored so that they remain airworthy?			
b.	That parts are used in rotation?			
c.	Control of return to stores of items which are no longer needed, especially where the item has been installed in the aircraft and subsequently removed?			
d.	The removal of components from completed assemblies is rigidly controlled?			



e.	Control of shelf life of spares, materials and consumable products?			
f.	Traceability of parts?			
2.	Are procedures in place at all locations to ensure?			
a.	Redundant items are removed?			
b.	Superseded parts, or those without or of unknown modification status, are removed for replacement or updating?			
3.	Are procedures in place to ensure compliance with Airworthiness Directives and other mandatory requirements, while parts are in storage, before affected parts are installed on an aircraft?			
<p>Remarks:</p>				
..... Name of the Inspector	 Signature	 Date



CL -27 (CAA/OP/CL/028)

Certification of Applicants for
Air Services Operations in Sri Lanka

CHECKLIST – 27 – MINIMUM EQUIPMENT LIST / CONFIGURATION DEVIATION LIST

Applicant:

Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
1.	Does the operator have an approved permissible unserviceability schedule (PUS or MEL) for each aircraft type?		
2.	If so, is the PUS or MEL incorporated into the operator's <i>Operations Manual</i> , documented and available to those who need to know, and included in the <i>Maintenance Control Manual</i> where required?		
3.	Where the operator uses one document to include the MELs for a number of aircraft, does the MEL refer to individual aircraft differences, if any?		
4.	Is the procedure for using the MEL satisfactory?		
5.	Is the procedure for using the CDL satisfactory?		
6.	Is the procedure for acceptance of aircraft with inoperative item(s) covered under the MEL/CDL by the crew satisfactory?		
7.	Is the procedure for management of the MEL/CDL time limits satisfactory?		

Remarks:

..... Name of the Inspector Signature Date
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CL -28 (CAA/OP/CL/029)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 28 – MAINTENANCE RELEASE

Applicant: Location:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Has the operator published a maintenance release (MR)?			
B. Is the maintenance release identified in the <i>Maintenance Control Manual</i> as such?			
C. Has the maintenance release been designated to accommodate:			
1. The name of the certificate of approval holder issuing the maintenance release?			
2. The signature of the person authorized to sign it?			
3. Place, date and time of issue?			
4. The aircraft type and registration?			
5. The aircraft's TTIS			
6. The date and TTIS when the maintenance release ceases to remain in force?			
7. All requirements and conditions relating to maintenance during the period it remains in force?			
D. Are the procedures included in the <i>Maintenance Control Manual</i> and available to those who need to know, including any persons overseas, for:			
1. Issue and signing of the maintenance release?			
2. Use of the maintenance release?			
3. Ensuring all persons using the maintenance release are instructed in its use and have ready access to a copy of the procedures for its use?			
4. Ensuring that, when issued, the maintenance release is available to the pilot and a copy retained by the person issuing it?			
5. Retention of the maintenance releases required by ANR?			
6. Amendment of the maintenance release?			
Remarks:			
.....			
Name of Inspector	Signature	Date	



CL -29 (CAA/OP/CL/030)
Certification of Applicants

Air Services Operations in Sri Lanka

CHECKLIST – 29 –ACCOMPLISHMENT, AND CONTROL OF AIRWORTHINESS DIRECTIVES

Applicant: Locality:

[When an item is marked to be unsatisfactory, indicate reasons under the Remarks column in detail]

Item	Status		Remarks
	Sat	Unsat	
A. Are the procedures for AD information sources and distribution satisfactory?			
B. Are the procedures for making decisions on the applicability of, and the planning for, compliance with Ads satisfactory?			
C. Are procedures in place to ensure that all applicable Airworthiness Directives (ADs) are complied with and certified within the compliance times specified in the AD?			
D. Are the necessary technical personnel available?			
E. Do the procedures ensure-			
All non-recurring Ads will be complied with?			
All recurring Ads will be complied with within the initial compliance time?			
All recurring Ads will be incorporated into the System of Maintenance to ensure recurring compliance?			
All required certifications for Ads are made?			
AD compliance status can be established from the maintenance records?			
AD compliance will be confirmed prior to the required compliance time?			
An aircraft will not be flown if an applicable AD is not complied with?			
Where maintenance has been subcontracted, it is clear where responsibility lies for compliance with ADs?			
Remarks:			
..... Name of the Inspector Signature Date	

Check List 29
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CL -30 (CAA/OP/CL/031)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 30 – AIRWORTHINESS INSPECTION OF AIRCRAFT

Applicant:

Aircraft Registration Aircraft Serial Number.....

[When an item is marked to be unsatisfactory, give details thereto in the Remarks Column]

Item	Status		Remarks
	Sat	Unsat	
A. General			
1. Aircraft has a Type Certificate			
2. Serial Number matches with the documents			
B. Compliance with the Conditions of Certificate of Airworthiness			
1. Aircraft registration marking is correctly applied			
2. Fire-proof plate is correctly installed			
3. Placarding for correctness and legibility in accordance with			
a. Applicable Ads			
b. CTA/TCDS			
c. Flight Manual			
d. Modifications etc.			
e. Aircraft data plate and aircraft records align			
4. Correct installation of role equipment and the approved data for the equipment			
5. General condition of the aircraft			
C. Operational Equipment and Avionics			
1. Basic operational requirements for the type of Operation			
a. Provision for oxygen (if applicable)			
b. Emergency and lifesaving equipment			
c. Basic Operational equipment			
2. Check that the following avionics equipment as fitted on the aircraft as specified in the ANR law the approved data for the equipment			
a. IFR operations systems			
b. Radio communication system			
c. Survival radio equipment			



d.	Radio Navigation System			
e.	Traffic Alert and Collision Advance System			
f.	Airborne weather radar			
g.	SSR(transponder)			
h.	GPWS/EGPWS			
i.	GPS			
D.	Aircraft Configuration, Interior and Exterior			
1.	Passenger seats do not obstruct emergency exits or Aisles			
2.	Passenger seating does not exceed maximum number approved in type certificate			
3.	Aircraft configuration is in accordance with weight and balance report(s)			
4.	Exits outlined externally			
5.	Slip resistant route on wing			
6.	Operating instructions are placarded on door			
7.	Escape tape/rope and attachment points are secure			
8.	Exit locator sign present and operable			
9.	Exit can be opened from inside and outside			
10.	Visual means to inspect locking mechanism			
11.	Unobstructed passageway between compartments			
12.	On one aisle aircraft, no more than three seats abreast on each side			
13.	Seat backs are locked up right where they may obstruct to an exit			
14.	Seat back provides a firm handhold			
15.	Self-stowing mechanism of shoulder harness is operable, if installed			
16.	Inertia type shoulder harness operate and lock engage			
17.	Slip resistant surface on galley floor			
18.	Lavatory floor has a slip resistant surface			
19.	Slide-inflatable			
a.	Floor brackets and girt bar are serviceable			
b.	Pressure gauge or other means, is visible and reading indicates serviceable			
c.	Slide cover/ stowage is secure			



20	Slide Rafts			
a.	Correct capacity with respect to persons on board			
b.	Pressure is visible and reading indicates serviceable			
c.	Slide cover / stowage is secure			
d.	Floor brackets and girt bar are serviceable			
E.	Maintenance Release is valid for the operation			

Remarks:

Check List 30
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CL -31 (CAA/OP/CL/032)
 Certification of Applicants for
 Air Services Operations in Sri Lanka

CHECKLIST – 31 – INSPECTION OF MAINTENANCE SYSTEMS

Applicant:

Aircraft Registration Aircraft Serial Number.....

[When an item is marked to be unsatisfactory, give details thereto in the Remarks Column]

Item		Status		Remarks
		Sat	Unsat	
A.	Maintenance System			
1.	If the operator is not the holder of the C of R, is a satisfactory agreement in place to ensure the C of R holder’s responsibilities are met?			
2.	Does the aircraft have an approved System of Maintenance (SOM) appropriate to the aircraft’s configuration?			
3.	Does the aircraft have a maintenance schedule appropriate to the aircraft’s configuration?			
4.	Does the SOM/maintenance schedule take into account			
a.	The requirement fitted to the aircraft?			
b.	The manufacture’s recommendations?			
c.	ANR, ASN, Ads, etc.?			
5.	Where the manufacturer offers a choice f maintenance schedules, can all conditions be met for the selected schedule?			
6.	Are airworthiness requirements for aging aircraft above MTOW 5700 kg applicable to the aircraft			
7.	Do other of this type or with similar equipment have a history of poor reliability?			
8.	Are procedures in place to keep the SOM /maintenance schedule current, in relations to the manufacturer’s and CAA’s requirements?			
9.	Does the operator receive the manufacturer’s service information?			
10.	Does the operator have adequate procedures to assess and act promptly upon the manufacturer’s service information?			
11.	Can conditions recommended by the manufacturer, if any, be met?			
12.	Is a reliability program required?			

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B.	Reliability Programs			
1.	Is a condition-monitoring or reliability program required?			
2.	If yes, is it approved by CAA?			
3.	If so, has a direction under ANR been issued to provide periodic reporting to CAA of:			
a.	A summary of defects and corrective action taken?			
b.	A summary of unscheduled component removals?			
c.	A summary of in-flight engine shutdowns?			
d.	A summary of in-flight propeller feathering (if applicable)			
e.	A summary of delays/cancellations/diversions due to technical/maintenance reasons?			
f.	The aircraft, engine and propeller hours for the reporting period and the total time in service of the airframe, engine and propeller?			
g.	The number of unscheduled engine removals and reasons for removal?			
h.	The unscheduled engine removal rate per 1000 engine hours?			
i.	The in-flight engine shutdown rate per 1000 engine hours?			
j.	The in-flight propeller feathering rate per 1000 propeller hours (if applicable)?			
4.	Are the investigation procedures to be undertaken in the event of an unsatisfactory reliability of condition alter in place?			
5.	Does the operator's training program include a Reliability program?			
6.	Does the operator have procedures for reporting required information to CAA and/or the manufacturer?			
C.	Cargo Restraint Equipment			
1.	Are maintenance tasks of cargo restrain equipment and/or Unit Load Devices (ULDs) adequate and included in the approved system of maintenance of the aircraft?			
2.	Are maintenance tasks of cargo restraint equipment adequate and included in a separately controlled system within the maintenance program of the fleet of aircraft and that is approved by CAA?			
3.	Are procedures in place for the control of maintenance of cargo restraint equipment?			
4.	Are procedures in place to ensure the effectiveness of restraint capabilities of			



a.	Containers (ULD)?			
b.	Pallets?			
c.	Nets?			
d.	Straps?			
e.	Other restraint equipment?			
5.	Are procedures in place to ensure no item/unit is used which is damaged beyond the manufacturer's specified limits?			
6.	Are instructions in place to ensure cargo is correctly loaded into the aircraft, onto pallets and into containers and to ensure the correct methods of restraint are used?			
7.	Do contracts with cargo agencies state clearly how cargo is to be loaded and restrained?			
8.	Are procedures in place to enable monitoring of the contractor's performance?			
9.	Are controls in place to ensure that ULDs and pallets are maintained as aircraft components?			
10.	Is documentation covering these procedures available to those who need to know?			
D.	Role Equipment			
1.	Does the operator have procedures in place to ensure			
a.	That equipment attached to the aircraft for role equipment is maintained as aircraft components?			
b.	Compliance with the maintenance requirements of role equipment?			
c.	That installation and removal of role equipment is carried out in accordance with approved data?			
d.	Maintenance control of role equipment?			
2.	Does the role equipment require flight manual supplement?			
3.	Does the operator have procedures to ensure all conditions for flight manual supplement(s) (if any) are complied with?			
4.	Is documentation available, to those who need to know?			

Remarks:

.....
Name of the Inspector

.....
Signature

.....
Date

Check List 31
Page 03 of 03



CL -32 (CAA/OP/CL/033)
 Certification of Applicants for
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CHECKLIST – 32 – TIME-IN-SERVICE AND MAINTENANCE RECORDS

Applicant:

[When an item is marked to be unsatisfactory, give details thereto in the Remarks Column]

Item		Status		Remarks
		Sat	Unsat	
A.	Are the following procedures for hours and cycles recording satisfactory?			
1.	How the maintenance control personnel have access to the current flight hours and cycle information			
2.	How it is processed			
B.	Does the operator have procedures and documentation in place to ensure complete, up-to-date and accurate maintenance records are kept? (including the type of company document(s) that are required to be recorded, the recording period requirement for each of them, and the person responsible for retention of those documents)			
C.	Are procedures to ensure that all records, or copies of those records that contain certifications, are received from the approved maintenance organization(s) satisfactory?			
D.	Are procedures for maintenance records preservation satisfactory? This includes the means provided to protect the records from deterioration, as well as the specific procedures in place to guarantee that the records will not be altered during the retention period			
E.	Are there satisfactory procedures for the transfer or maintenance records? That is, which records have to be transferred to the c of R holder and who is responsible for the coordination of the transfer?			
F.	Are these procedures adequately documented and available to those who need to know?			
Remarks:				
<div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 30%; border-bottom: 1px solid black; text-align: center;"> Name of the Inspector </div> <div style="width: 30%; border-bottom: 1px solid black; text-align: center;"> Signature </div> <div style="width: 30%; border-bottom: 1px solid black; text-align: center;"> Date </div> </div>				



CL -33(CAA/OP/CL/034)

Certification of Applicants for
Air Services Operations in Sri Lanka

CHECKLIST – 33–CONTRACTUAL ARRANGEMENTS

Applicant:

[When an item is marked to be unsatisfactory, give details thereto in the Remarks Column]

Item	Status	Remarks
A. General		
1. Are contractual arrangements in place for engineering support and maintenance?		
2. Are full details of the division of responsibilities included in the agreement between the two parties?		
3. Are the following matters addressed in the agreement?		
a. General arrangements for the support of the operation by the maintenance organization?		
b. Arrangements for liaison between the operator and the maintenance organization?		
c. How maintenance is to be performed at the approved location of the maintenance organization?		
d. Provision of sufficient appropriately licensed maintenance personnel?		
e. Training of maintenance personnel including, where necessary, the operator’s personnel?		
f. Arrangements for maintenance and ground handling at the operator’s out-stations, including major unscheduled maintenance?		
g. Control and development of the System of Maintenance or maintenance schedule as appropriate?		
h. The management and operation of reliability programs?		
i. The preparation of documentation needed to implement the maintenance schedule?		
j. Arrangements for approval of changes to the maintenance schedule?		
k. Defect reporting to the manufacturer and CAA?		
l. Airworthiness control, including the control of deferred and repetitive defects?		



m.	Maintenance of log books and other records?			
n.	The transmission of daily flight information, or equivalent, from the operator to the maintenance controller			
o.	Procedures for the receipt, assessment and incorporation of manufacturer's service bulletins/information, modifications and manufacturer's technical data in to the aircraft's System of Maintenance?			
p.	Compliance with mandatory requirements?			
q.	Provision for acceptance and storage of spares, materials and consumable products?			
r.	Availability of tools and equipment?			
s.	Provision for suitable maintenance facilities where maintenance is to take place?			
t.	Quality auditing of the maintenance arrangements?			
u.	Are the following matters addressed?			
i.	Person in the maintenance organization to be contacted for maintenance control purposes?			
ii.	Where a maintenance controller is not required, the person in the operator's organization responsible for liaison with the maintenance organization?			
iii.	The responsibilities of each organization if more than one maintenance organization is contracted?			
iv.	Has the contract been examined?			
B.	Contracting Out-station Support			
1.	Is there an agreement between the operator and the contract maintenance organization for out-station support?			
2.	Are arrangements documented by the operator and the maintenance organizations, so that responsibilities, procedures and communication paths are made clear to all personnel concerned?			
3.	Are these included in the operator's MCM and the maintenance organization's procedures manual as applicable?			
4.	Does the organization contracting the maintenance hold a certificate of approval or equivalent approval for the maintenance in an ICAO Contracting State?			
5.	Do the qualifications of the maintenance personnel employed by the line maintenance contractor conform to the requirements of ANR, as applicable?			



6.	Are there procedures to ensure continuing satisfactory performance by contracted organization(s)?			
7.	Are there arrangements for the training of maintenance staff?			
C.	Contracting Ground Handling			
1.	Has the operator entered into a ground handling agreement?			
2.	If yes, does an agreement exist detailing the tasks to be performed on behalf of the operator?			
3.	Are there provisions to be maintenance and flight crew are aware of terms of the agreement that affect their responsibilities?			
4.	Are there arrangements to ensure continuing satisfactory performance by contracted organization(s)?			
5.	Are there arrangements for the training of ground handling staff?			
General Remarks:				
..... Name of the Inspector	 Signature	 Date



CL -34 (CAA/OP/CL/035)
 Certification of Applicants for
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CHECKLIST – 34 – ASSESSMENT OF HEAD OF MAINTENANCE

Applicant:

[When an item is marked to be unsatisfactory, give details thereto in the Remarks Column]

Item		Status		Remarks
		Sat	Unsat	
A.	Is the applicant capable of establishing an operator’s engineering support structure for aircraft maintenance control?			
1.	Is the applicant able to demonstrate a working knowledge of the Act, the pertinent CARs and airworthiness requirements governing continued airworthiness of the aircraft or aircraft fleet?			
2.	Is the applicant able to demonstrate adequate technical understanding of the maintenance control requirements of aircraft operated by the operator, including the ability to assess Instructions for Continued Airworthiness issued by the aircraft, engine and component manufacturers?			
3.	Does the applicant have knowledge and understanding of the operator’s Maintenance Control Manual?			
4.	Does the applicant have a proven working knowledge of aircraft maintenance planning/scheduling?			
5.	Does the applicant have a sound knowledge and understanding of the legislative framework relating to aircraft engineering and maintenance?			
B.	Does the applicant have the ability and experience to liaison within the operator’s organization, and with contracting maintenance organization(s), manufacturers of aircraft, engine, Components and with CAA on matters governing airworthiness?			
Remarks:				
..... Name of the Inspector	 Signature	 Date



CL -35 (CAA/OP/CL/036)
Certification of Applicants for
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CHECKLIST – 35 – INSPECTION OF DEFECT REPORTING SYSTEM

Applicant: **Location:**

[When an item is marked to be unsatisfactory, give details thereto in the Remarks Column]

Item		Status		Remarks
		Sat	Unsat	
A.	Are procedures for defect reporting satisfactory?			
B.	Are procedures and responsibilities for analyzing the defect reports satisfactory?			
C.	Does the operator have procedures for liaison with manufacturers and CAA?			
D.	Has the operator defined a deferred defect policy?			
E.	Has the operator established a procedure to be followed in order to be sure that the deferment of any defect will not lead to any safety concern?			
F.	Are these procedures adequately documented and availability to those who need to know?			

Remarks:

.....
Name of the Inspector

.....
Signature

.....
Date



CL -36 (CAA/OP/CL/037)
 Certification of Applicants for
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CHECKLIST – 36 – AIRWORTHINESS TEAM LEADER’S FINAL REPORT

Name of Applicant:

Item	Tick	Initials
1. Formal application Complete		
2. Compliance Statement Complete		
3. Document Evaluation Maintenance Control Manual [CL-21]		
4. Inspections <ul style="list-style-type: none"> ▪ Organizational Structure and Staffing [CL-20] ▪ Head of Aircraft Maintenance [CL-34] ▪ Inspection of aircraft [CL-30] ▪ Technical Data [CL-22] ▪ Weight and Balance Control [CL-25] ▪ Accomplishment and Control of Airworthiness Directives[CL-29] ▪ Fuelling [CL-23] ▪ Maintenance Control [CL-24] ▪ Time-in-Service and Maintenance Records [CL-32] ▪ Defect Reports [CL-35] ▪ Maintenance Systems [CL-31] ▪ Aircraft Servicing, Spares Holding and Stores Control [CL-26] ▪ Maintenance Facilities [CL-24] ▪ Contractual Arrangements [CL-33] ▪ Maintenance Release/Aircraft Technical Log [CL-28] ▪ Configuration Deviation List/ Minimum Equipment List [CL-27] 		
5. Certification <ul style="list-style-type: none"> ▪ Maintenance Controller / Head of Maintenance ▪ <input type="checkbox"/> Operator’s Maintenance Personnel Training Program 		
6. Conditions (if any) to be included on AOC (Attach list)		
7. Completion Certificate and Airworthiness Recommendations: I am satisfied that the applicant has complied with, or is capable of complying with, the provisions of the Air Navigation Regulations of 1955 and the directives/instructions issued by DGCA in respect of matters relating to safety, including provisions about the competence of persons to do anything that is covered by the Airline Licence and I certify that the applicant has satisfied all airworthiness requirements for issue of the Airline Licence. Signature: Date...../...../..... Team Leader Airworthiness		



APPENDIX – E



Certification of Applicants for Air Service Operations Work Sheet

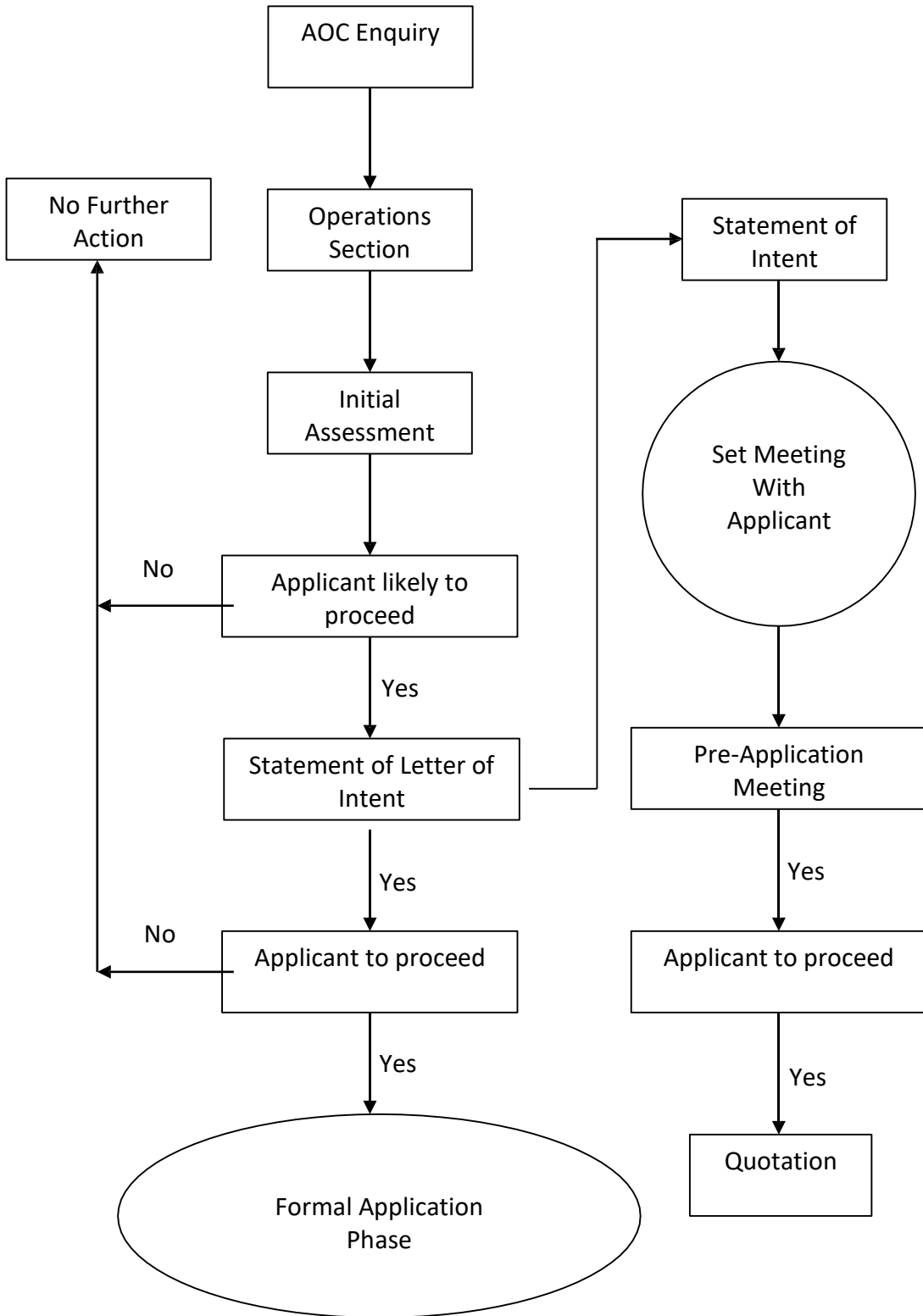
Name of Applicant			
Name of the Representative			
Date and Time		Location	
Reason for visit (Use both columns)			
1.		4.	
2.		5.	
3.		6.	
Action of CAA Inspectors (Use both Columns)			
1.		4.	
2.		5.	
3.		6.	
Signature of CAA Inspector(s)		Date	



APPENDIX – F

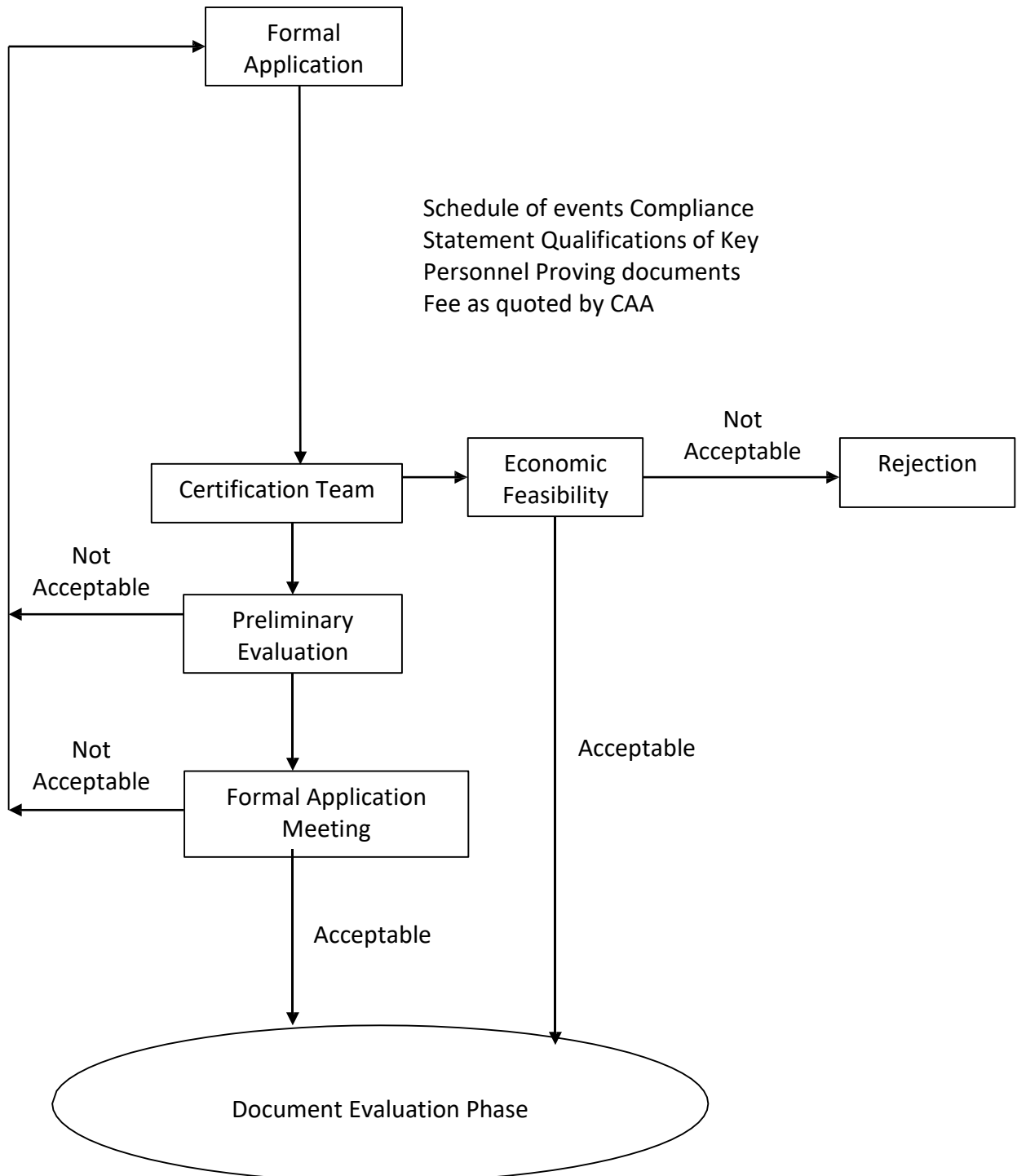
CERTIFICATION FLOW CHART

PRE-APPLICATION PHASE



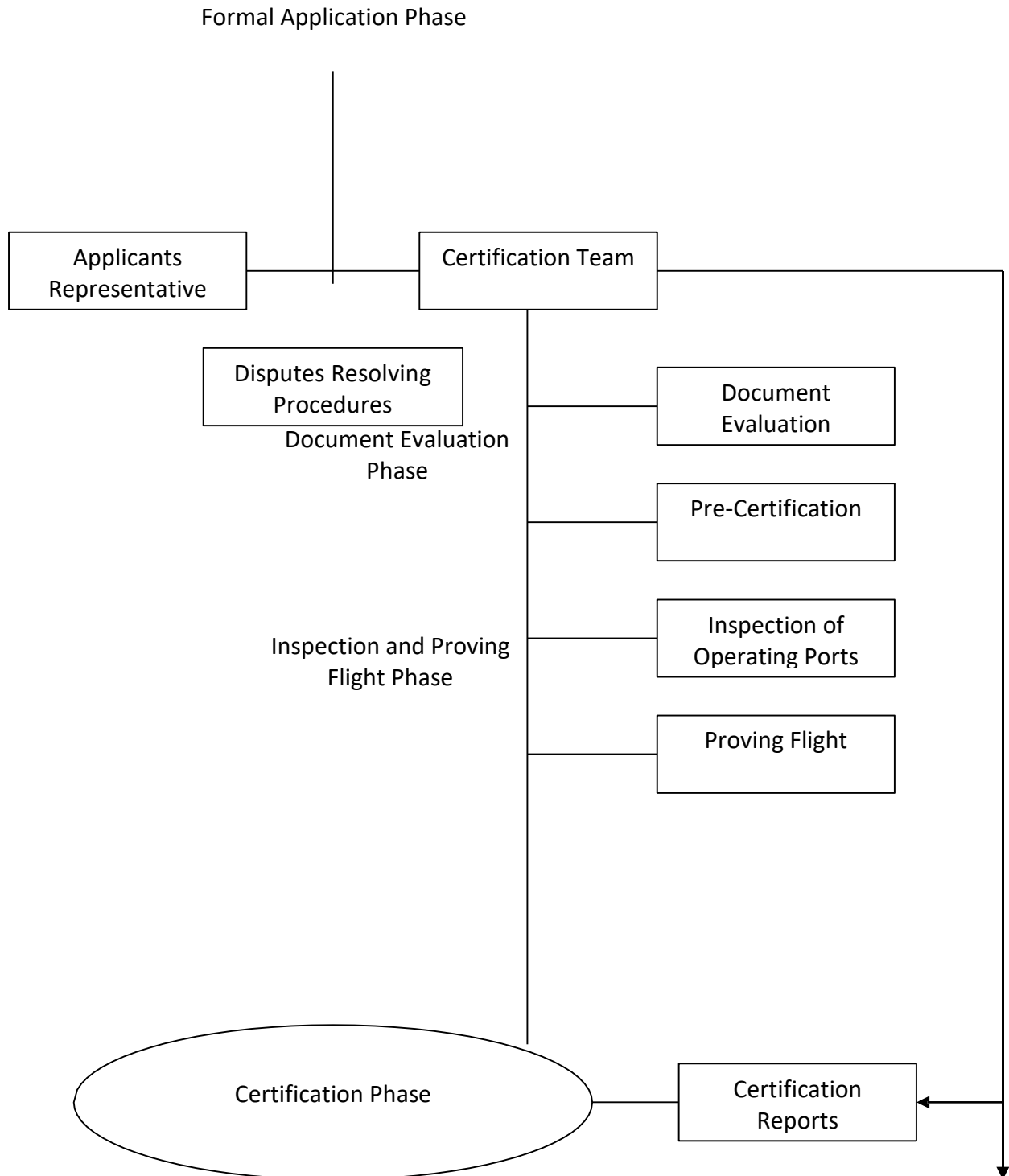


FORMAL APPLICATION PHASE



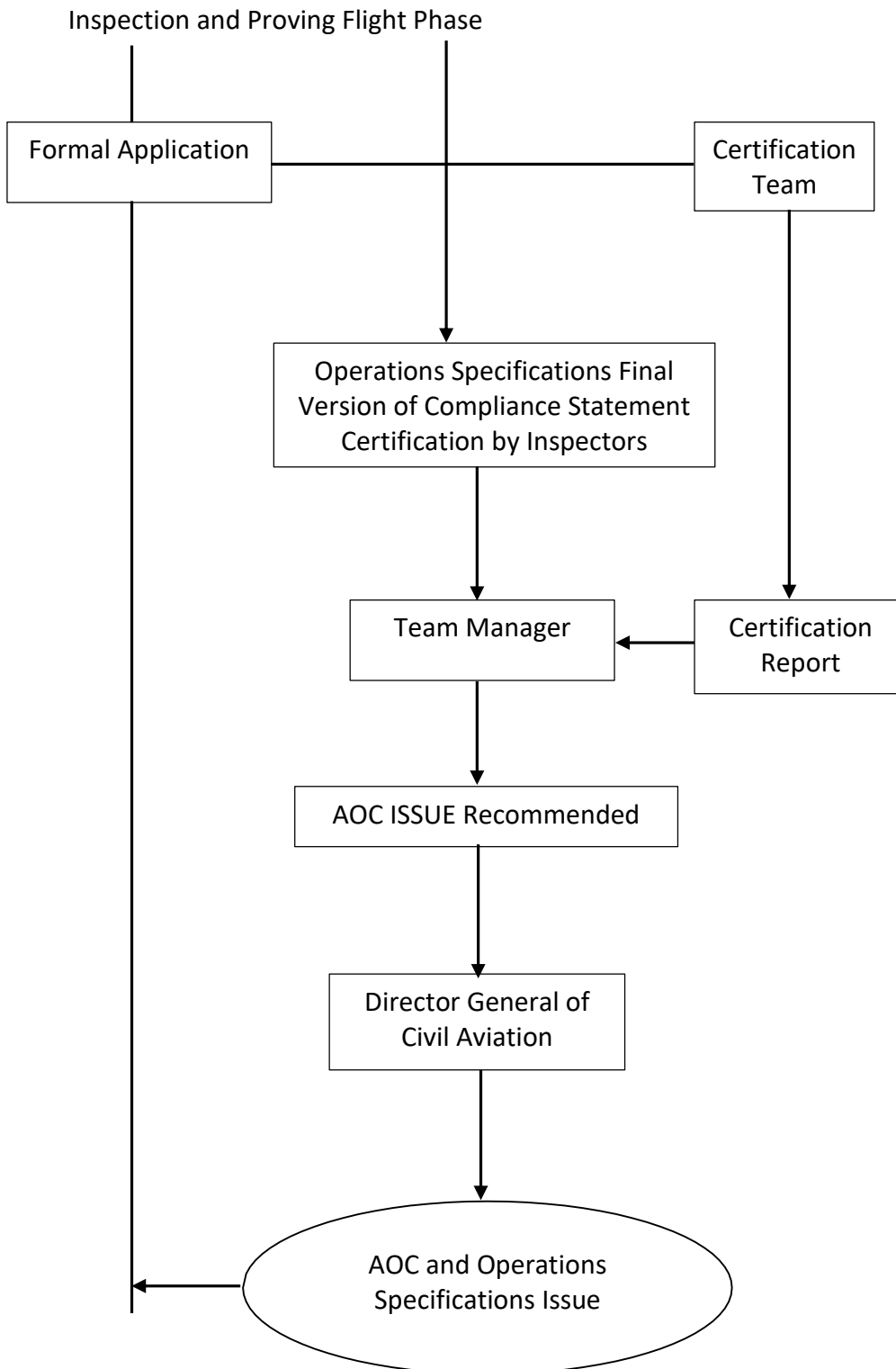


DOCUMENT EVALUATION INSPECTION AND PROVING FLIGHT PHASE





CERTIFICATION PHASE





APPENDIX – G

1. WET LEASE OPERATION

1.1. BACKGROUND

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

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

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

1.1.4. It must be emphasized that the operator too has the overall responsibility of the safety oversight of the aircraft.

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

1.2. Article 12- Rules of the air

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

1.3. Article 17, 18, 19 and 20- Nationality of Aircraft.

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

1.4. Article 30 – Aircraft Radio Equipment.

1.4.1. Aircraft radios must be licensed by the State of Registry if they are to be carried in or over the territory of other contracting States. The use of radio apparatus must be in accordance

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

1.5. Article 31- Certificates of Airworthiness.

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

1.6. Article 32- Licenses of Personnel.

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

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

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

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

2. Definitions

- a. Wet Lease - The lease of aircraft with crew
- b. Dry Lease - The lease of an aircraft without crew

3. SPECIFIC PROCEDURES REGARDING LEASES

3.1. When an applicant or holder of a Sri Lanka AOC wishes to use leased aircraft for their operation, the following information shall be provided.

- a. The aircraft type and serial number;
- b. The name and address of the registered owner;
- c. Sate of registry and registration marks;
- d. Certificate of Airworthiness and a statement from the registered owner that the aircraft fully complies with the airworthiness requirements of the State of Registry;
- e. Certificate of Airworthiness;
- f. Certificate of Registration
- g. Certificate of GPWS Airworthiness
- h. Certificate of ACAS Airworthiness
- i. Certificate of BRNAV Airworthiness
- j. Certificate of Noise

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- k. Certificate of Insurance.
 - l. Name, address and signature of lessee or person responsible for operational control of the aircraft under lease agreement, including a statement that such individual and the parties to the lease agreement fully understand their respective responsibilities under the applicable regulations;
 - m. A compliance statement from the lessee that it shall be responsible to the CAA to ensure that the Lessor shall be responsible for the Safety oversight for the aircraft and its operation;
 - n. A statement from the Lessee or Lessor as to the responsibility of removal of a disabled aircraft an Accident Victim Relief programme;
 - o. A “No Objection” letter from the State of Registry for the lease agreement
 - p. Copy of the lease agreement or description of lease provision; and q. Duration of the lease.
- 3.2. After successful perusing of the above documents the CAA shall inspect the following
- a. Flight crewmember certification and training;
 - b. Other crewmember certification and training
 - c. Airworthiness of the aircraft and performance of maintenance;
 - d. Dispatch or flight following;
 - e. Signing the maintenance release
 - f. Scheduling of flight and other crewmembers

4. WET LEASE / DRY LEASE AGREEMENT

- 4.1. If it is a “Wet Lease”, the lessor shall exercise operational control over the aircraft and the responsibility for the airworthiness and operational oversight of the airplane will remain with the State of Registry. However, the lessee shall be responsible to the CAA to ensure that the lessor carries out the safety oversight to the satisfaction of the CAA.
- 4.2. If it is a “Dry Lease” then the responsibility for the operational control lies with the State of Operator.
- 4.3. All requirements pertaining wet lease operation is contained in IS 091.



APPENDIX – H

INTRODUCING A NEW AIRCRAFT TYPE

1. Items for Consideration

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

1.1. Application

- a. The aircraft type and serial number;
- b. The name and address of the registered owner;

1.2. Aircraft

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

1.3. Flight Deck

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

1.4. Cabin

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

1.5. Flight Crew Training

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

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- iii. proposed training
- iv. venue / organization / dates
- v. concessions sought
- c. Mainstream
 - i. proposed training
 - ii. venue / dates
- d. Flight simulator
 - i. Type / Model / Visual system
 - ii. Number / acceptance dates
 - iii. Accreditation dates
 - iv. Date of entry in to use
 - v. Certificate of approval of the State of Manufacturer

1.6. Inspector involvement

- a. proposed training
- b. venue / organization / dates
- c. approval of initial group training
 - i. ground
 - ii. simulator
 - iii. flight
 - iv. observation associated with concessions sought
- d. approval of initial group training
 - i. ground
 - ii. simulator
 - iii. flight
 - iv. observation associated with concessions sought

1.7. Cabin crew training

- a. proposed training

1.8. Operations

- a. Proposed route structure
- b. EROPS aspects
- c. Destination aspects
- d. Navigation aspects
- e. Meteorological aspects
- f. Special handling
- g. Special ATC requirements
- h. Noise abatement aspects
- i. Special ground handling
- j. Flight planning handling
- k. Low weather aspects
- l. Normal landing minima
- m. Cat I/II/III aspects
- n. Circling
- o. Low visibility take-offs
- p. Automatic flight

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- q. Auto land
- r. Auto go-around
- s. Fmes/pdes
- t. Special requirements
- u. Ditching certification
- v. Nav system approval
- w. Data collection
- x. Aerodrome compatibility
- y. Aircraft size and weight

1.9. Documentation

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

1.10. Maintenance aspects

- a. Engineering licence
- b. Requirements
- c. Experience
- d. Engineering training
- e. Training of Company personnel
- f. Training of CAA Inspectors
- g. Maintenance Review Board
- h. System of Maintenance
- i. Support equipment

1.11. Maintenance trainer

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

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APPENDIX – I

1. Qualifications and Level of Experience- Nominated Post Holders

1.1. Nomination of Post Holders

- 1.1.1. Nominated post holders must satisfy Civil Aviation Authority, Sri Lanka that they possess the appropriate experience and licensing requirements (if applicable) which are listed below.
- 1.1.2. In particular cases (as an exception) the DGCA, Sri Lanka, may accept a nomination which does not meet requirements in full. In such a circumstance the nominee should be able to demonstrate his experience /qualifications which the DGCA will accept as comparable. Such acceptance will depend upon the ability of nominee to perform effectively the functions associated with the post and the scale of operation.
- 1.1.3. The nominated post holders should have practical experience and expertise in the application of aviation safety standards and safe operating practices.
- 1.1.4. To enable the Civil Aviation Authority, Sri Lanka to clearly identify the persons responsible for different aspects of the operation, the applicant must nominate and seek approval for those personnel selected for following positions. The nomination shall be accompanied by a complete and accurate resume of the person nominated.
- 1.1.5. Any subsequent change in approved Nominated post holders should be effected only with the approval of the DGCA, Sri Lanka.

1.2. Accountable Manager (General Manager / Chief Executive Officer)

- 1.2.1. Responsible for the overall functioning of the operation, who has corporate authority to ensure that all operations and maintenance activities can be financed and carried out to the standard required by the Civil Aviation Authority, Sri Lanka.

1.3. Head of Flight Operations

- 1.3.1. Responsible for the conduct and standard of flight operations.

1.4. Head of CAMO

- 1.4.1. Responsible for ensuring both the operator and CAMO fulfill the obligations as specified in the contract.

1.5. Head of Training

- 1.5.1. Responsible for the conduct and standards for all training as required in Operations Manual Part D, for persons involved with aircraft operations

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1.6. Head of Ground Operations

1.6.1. Responsible for the conduct and standard of ground operations.

1.7. Head of Airline Security

1.7.1. Responsible for the standard of airline security

1.8. Head of Cabin Crew

1.8.1. Responsible for cabin crew functions.

1.9. Head of Quality / Compliance Monitoring

1.9.1. Responsible for the airline quality / compliance monitoring system

1.10. Head of Safety management (SMS)

1.10.1. Responsible for the airline Safety Management system

1.11. Chief Pilots for Each Fleet

1.11.1. Responsible for the safe operation of an aircraft fleet

1.12. Some of the above positions may be combined, depending on the size and complexity of the Operation, if the management structure is acceptable to Civil Aviation Authority, Sri Lanka.

1.13. It is not obligatory to use the titles above; however, the offices responsible for the duties listed in paragraph above must be clearly identified.

1.14. As the qualifications and level of experience of the nominated post holders will vary according to the scope and size of the proposed operation, DGCA will use judgment in deciding whether or not particular experience and qualifications are acceptable

2. Desirable qualifications of nominated post holders

2.1. Accountable Manager (General Manager / Chief executive Officer)

2.1.1. To be agreed with Civil Aviation Authority of Sri Lanka.

2.2. Head of Flight Operations

2.2.1. The nominee shall have at least the following or comparable qualifications.

2.2.2. 2000 hours flight time in operations identical or substantially similar to those proposed.

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- 2.2.3. 1000 hours in command of aircraft of the same type or a type substantially similar to the major type of aircraft proposed to be operated.
- 2.2.4. Sri Lankan Licence, rating(s) appropriate to the proposed category of operation.
- 2.2.5. Before the commencement of revenue services, hold a P1 endorsement on the major type of aircraft proposed to be operated. Should the fleet change in the future, the head of line operations must maintain a first class endorsement on at least one major type in current operation. (Note: it is not necessary that the head of line operations actually operates the company's aircraft in revenue service, although the person appointed may choose to do. The requirement is that the head of line operations be personally experienced in the manner in which the company requires its major type of aircraft to be operated)
- 2.2.6. The candidate's performance within the past 5 years, should be such that there is no doubt as to his character, integrity or judgment in relation to flight operations. He should also have a history of maintenance of and compliance with regulatory requirements.

2.3. Head of CAMO

- 2.3.1. The Head of CAMO, is responsible to the DGCA for ensuring that the terms and conditions stipulated in the CAME approved by the DGCA are complied with. This will guarantee that responsibility for taking corrective action for any deficiencies that will be identified by the CAA is vested at the highest level in the organization management structure, thus ensuring that the executive authority is in place for safe practices.
- 2.3.2. The holder of this position should be approved by the DGCA and it must be filled with an officer who satisfies the following requirements:
- 2.3.3. Has a minimum of 10 years' experience in the aviation field acceptable to the DGCA of which five years should be at a supervisory level.
- 2.3.4. Pass the Air Legislation examination for AMEs and has proven knowledge in airworthiness regulatory systems in force and knowledge to apply those requirements in managing civil aviation activities.

2.4. Head of Training

- 2.4.1. 1000 hours flight time in operations identical or substantially similar to those proposed
- 2.4.2. 1000 hours in command of aircraft of the same type or substantially similar to those proposed to be operated.
- 2.4.3. 500 hours as an unrestricted check pilot on the same type of aircraft or an aircraft substantially
- 2.4.4. Hold a license and rating(s) appropriate to the proposed operations
- 2.4.5. Prior to the commencement of revenue services, hold unrestricted approval as a check pilot on the major type of aircraft to be operated. Should the fleet change in the future,

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maintain an unrestricted approval as a check pilot on a at least one major type in current operations and

- 2.4.6. The candidate's performance within the past 5 years should be such that there is no doubt as to his character, integrity or judgment in relation to flight operations and maintenance of regulatory requirements.

2.5. Head of Ground Operations

- 2.5.1. The Manager Ground Handling will be nominated by the airline & the CAA will accept the person provided he has the basic knowledge of the following:
- 2.5.2. knowledge of the SMS programme of the airline
- 2.5.3. Knowledge on passenger handling
- 2.5.4. Knowledge baggage handling
- 2.5.5. Knowledge on Cargo/Mail handling
- 2.5.6. Knowledge Aircraft handling & Loading
- 2.5.7. Knowledge Load control
- 2.5.8. Knowledge Airside management & Safety
- 2.5.9. Knowledge Aircraft movement control
- 2.5.10. Knowledge Ground handling agreements
- 2.5.11. Knowledge of airport handling ground support equipment specifications

2.6. Head of Airline Security

- 2.6.1. Director – Aviation Security Unit (Av Sec) shall have one of the following qualifications;
- 2.6.2. Be an ex- military officer in the rank of a Captain in the Sri Lanka Army or equivalent rank in the Sri Lanka Navy/Air Force and/or Assistant Superintendent of Police who had been in charge of the ground/Security operations unit with a minimum of five (05) years' experience. or
- 2.6.3. A senior executive in the Aviation industry with a minimum of five (05) years'
- 2.6.4. Experience in the international aviation security environment. or
- 2.6.5. A minimum of three (03) years' of experience in Avsec related matters in a
- 2.6.6. Civil Aviation regularity body in the capacity of a senior executive.

2.7. Head of Cabin Crew

- 2.7.1. Two years' experience in a reputed airline as a Manager in In-flight services section; or
- 2.7.2. Five years' experience as a cabin safety Instructor in an airline; or

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2.7.3. Person acceptable to the Authority with knowledge in related regulations pertaining to aviation.

2.8. Head of Quality / Compliance Monitoring

2.8.1. Shall ensure that the activities of the operator are monitored for compliance with the applicable regulatory requirements, and any additional requirement established by the operator.

2.8.2. Shall be approved by the DGCA and shall have the experience and knowledge acceptable to the DGCA.

2.8.3. Be able to demonstrate relevant knowledge, background and appropriate experience related to the operation, including knowledge and experience in compliance monitoring.

2.9. Head of Safety Management (SMS)

2.9.1. Safety Manager's prime responsibility is to encompass an effective Flight Safety Programme in the airline. The requirements for the Safety Manager shall be as stipulated in ASN 072.

2.10. Chief Pilots for each fleet

2.10.1. To be agreed with Civil Aviation Authority of Sri Lanka.



APPENDIX – J

PRE-CERTIFICATION FACILITY INSPECTION

1. General

- 1.1. Civil Aviation Authority inspectors will conduct pre-certification inspections to ensure that the requirements in applicable Regulations, Orders & Rules, Implementing Standards, Special Directions, General Directions, Directives and Procedures are met with respect to facilities, staff and equipment. Facilities and equipment provided for staff must be adequate to allow them to carry out their duties in compliance with regulations.
- 1.2. The following paragraphs provide guidance to the operator preparing for a pre-certification inspection.

2. Management and Executive Staff

- 2.1. The duties and responsible of managers and senior executive must be clearly defined in writing, and chains of responsibilities firmly established. Furthermore, it is important that the operational management should have proper status in the organization. The number and nature of appointments will vary with the size and complexity of the organization and the DGCA must be satisfied that the management organization is adequate and properly matched to the operating network and commitments.
- 2.2. The correct balance must be established with respect to the amount of flying performed by managerial pilots. They must be allowed to fly with sufficient frequency in order that their flying performance is maintained at an acceptable level.
- 2.3. The Civil Aviation Authority must be given notice of any intended change in appointments or functions.

3. Administration Facilities

- 3.1. It is important that office services of a suitable nature and size are provided. Clerical staff, typists, duplicating equipment, etc., must be sufficient to ensure that operational instructions and information can be produced and circulated to all concerned without delay. Where the provision of printing facilities for manuals, manual amendments and other necessary documentation is not warranted by the size of the company, efficient alternative arrangements must be in existence.

4. Record Keeping

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

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

5. Retention of records

5.1. The minimum retention period for training records must ensure that a person's pertinent training and qualification status can be determined for any given date during the request period, which may vary between airlines but could up to 36 months. The minimum retention period must ensure that record of any training and / or qualification that is a prerequisite for a crew member's current (including the previous 12 calendar months) assignment is maintained until superseded by like training or qualification. For example, sufficient LOFT exercise must be provided such that a pilot is not confronted with the same scenario on subsequent LOFT exercises. These exercise require review on a cyclical basis, accordingly, the nature of the review process will in turn determine the length of time the records are required to be maintained.

5.2. Records of aircraft loading and fuel must be kept for 12 months. Records of cyclic events are to be retained such that a full and complete record of the current cycle is available. For example, records of a captain's route qualification will be updated each time the captain re-qualifies on a route; the previous history of the captain's experience of that route or aerodrome is not required. With respect to records of a crew member's flight times, the record must go back at least 12 months to ensure compliance with all relevant orders.

5.3. Passenger and crew list must be accurately maintained to identify all persons on an aircraft in the event of an accident. However, the Civil Aviation Authority does not require retention of passenger lists after a flight has arrived safely.

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

6. Operations Library

6.1. At each operating base/ line station the operator should maintain at adequate and appropriate library of Aviation Regulations, Standards, AIP, Company Operations Manual, Flight Supplement, IAP Charts, En-route Charts, Aircraft Flight Manuals, Aircraft Operating Manuals, Standard Operating Procedures, maps, and other documents needed for reference and planning purposes, and for carriage in flight. The library should be kept in an orderly manner with updated documents.

6.2. Maps, charts and flight guides should cover the whole of the region for which the operator is or wishes to be certificated.

6.3. Arrangements should be made for the amendment of manuals, flight guides etc, and for notifying the amendments to the aircraft crew and other operating staff concern. A record should be kept of the distribution of the manuals and amendments.

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7. Crew Scheduling

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

8. Crew room

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

8.2. A convenient location for the flight crew – If the Crew Room is adjacent to the scheduling office, it is an arrangement which would allow close liaison between the scheduler and the technical crew members.

9. Operations Planning

9.1. An operations planning facility must be provided to satisfy the following activities;

9.1.1. To conduct planning of new routes or new aircraft types on existing routes in advance of the operations (An operation planning room should be provided and stocked with maps, charts, documents and manuals).

9.1.2. To ensure control of aircraft documents and operational documents issued to crewmembers.

9.1.3. To ensure the integrity of data which is fed to an aircraft automatic navigation system (that is, any aircraft navigation system which does not require the crew to insert the co-ordinates of each way point).

9.1.4. To provide the crew with documents with which they can check the accuracy of computer stored information.

9.1.5. To provide the crew with fuel consumption figures and aircraft performance data for take-off, en-route and landing.

9.1.6. The operations planning room and its library are normally controlled by a company navigation officer who should liaise closely with operations management.

9.2. The company officer responsible for the remaining functions above must be nominated and the appointment must be acceptable to the Civil Aviation Authority. In accepting the company proposal for operations planning, the Civil Aviation Authority will assess the suitability both of the personnel involved and of the facilities provided to them. The proposed type of operation, geographical area of operations, and the size of the airline are considerations.

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10. Flight Planning Facilities

- 10.1. There are two operations with respect of flight planning. Preparation of the flight plan may be undertaken by a specialist and checked by the captain, or the plan may be prepared by the captain. The method chosen depends on the qualifications of and the responsibilities given to the specialist officer concerned. The flight plan may be prepared manually, or where approved by the Civil Aviation Authority, by computer. In the latter case facilities should also permit manual flight planning to cover non-availability of the computer.
- 10.2. A company operating its own flight planning facility will need to collect weather and operational information (NOTAM) from the various sources. The flight planning facility will need to transmit the completed flight plan both to air traffic control and to company personnel at intended ports of call. Alternative means of transmission of the flight plan, for example by telephone, should be considered, although not mandatory, display of weather diagrams would be beneficial, as would a system whereby arriving crew brief the flight planning office on the weather conditions they encountered.

11. Operational control

- 11.1. Prior to the issuance of the AOC the inspectors shall verify the operations control Procedures of the applicant. They shall be guided by Chapter 13 of SLCAP 4200.

12. Load Control

- 12.1. The operator is responsible for establishing an approved system of load control, and the proposed system must be approved by the Civil Aviation Authority and described in the operations manual. Subsequent variations to the system also require approval.
- 12.2. Calculation of aircraft weight and balance using the approved system may be the responsibility of the flight crew, although it is more usual to employ a separate load control officer. Whichever method is used a reasonable accurate aircraft weight is needed at the flight planning stage for comparison with performance chart to determine limiting conditions. To allow for last minute changes, which are accepted as being unavoidable, it is permissible to have a traffic officer bring the final version of the load sheet to the flight deck, immediately prior to closing the doors.
- 12.3. If a separate load control facility is used, a means of communication between the flight planning facility and the load controller is required so that the zero fuel weight can be passed to the flight planner and fuel loads transmitted to load control. The personnel employed in load control facility shall be competent and approved for the purpose.
- 12.4. It is important that the load be placed aboard the aircraft in the manner assumed by the load control calculations. Close liaison between load and the loading staff will be necessary to achieve this.
- 12.5. General cargo and baggage should be protected against breaches of security while being loaded, and provision must be made for the safe loading and security of dangerous goods.

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13. Passenger Handling & Facilities

- 13.1. Passenger handling facilities will be inspected only as they affect safety and security. The comfort and convenience of passengers are left to the commercial judgment of the company and to building regulations which will address aspects such as provision of toilets and fire safety.
- 13.2. The Civil Aviation Authority will determine the acceptability of the following areas;
- a. Passenger protection from blast, propellers, moving aircraft, and moving vehicles/equipment.
- 13.3. The possibility of falling from passenger loading devices.
- a. The feasibility of timely evacuation, if it is planned to refuel aircraft with passengers aboard.
- 13.4. It will be necessary for the facilities to be inspected during both daylight and in night- time. Facilities, notices and procedures which are obvious and effective in daylight hours can be confusing and inadequate in the hours of darkness.

14. Training Facilities

- 14.1. Training facilities and instructors will be scrutinized. Training will generally be an ongoing requirement and the amount of associated effort is easy to underestimate.
- 14.2. Traffic and loading staff must be trained on handling dangerous goods and on security requirements, whilst servicing and loading staff must be indoctrinated in Ramp safety. Little in the way of training aids is required as the practical skills are best taught on the job. Consequently, the facilities, which must be provided to train traffic, loading and servicing staff, are in general limited to the usual classroom accommodations and equipment. However, sufficient classroom accommodation must be provided so that the training of ancillary ground staff does not lead to conflict with training of flight crew, cabin crew and dispatchers.
- 14.3. The Civil Aviation Authority will consider the following when classroom facilities are being inspected;
- a. The visibility to the students of the instructor, training aids and the board;
 - b. The sound system so that the students hear the training;
 - c. The visual or aural distractions;
 - d. The reflections on the board or visual aids;
 - e. Considering the passage of the sun throughout the day, and
 - f. Considering the effect of night lighting.
 - g. The adequate heating, cooling and / or ventilation;
- 14.4. If flight simulator training is proposed, the simulator facilities will require detailed assessment and approval.

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- 14.5. The instructors will require specific approval to conduct their proposed tasks. Such staff should be prepared to demonstrate competence in the area of their proposed expertise by showing the following;
- That they understand the subject or the principles of operation of the equipment involved.
 - That they are proficient in operating the equipment (if equipment is involved).
 - That they are proficient in operating such training aids as may be available for the subject.
 - That they can impart information to the class or student.
 - That they can adequately assess the results achieved by the class or student.
- 14.6. The Civil Aviation Authority inspectors are required to individually assess instructors in the following categories;
- Ground instructors employed to teach flight crew technical training courses or parts thereof.
 - Flight simulator instructors.
 - Check pilots or check flight engineers.
 - Cabin Crew
 - Dangerous Goods
 - Security

15. Aircraft Servicing

- 15.1. Aircraft servicing falls in to the following areas;
- Passenger and commercial servicing (for example, cabin cleaning and galley replenishment).
 - Re-fuelling
 - Toilet servicing.
 - Potable water replenishment.
 - Baggage handling / loading.
 - Push-back of aircraft.
- 15.2. Push- back of the aircraft (if planned) deserves special attention. Close co-ordination between the flight deck and the ground handler is essential, and this aspect deserves special coverage in the Ops Manual. The inspectors of the CAA will observe push-backs from both the flight deck and from ground during the pre-certification process.
- 15.3. The servicing of aircraft toilets and drinking water are not glamorous jobs, but carelessness can have safety implications. Company procedures should adequately address these areas.
- 15.4. Inspectors will check that safe ground handling practices are carried out during the proving flights.

16. Inspection of Aircraft

- 16.1. The aircraft, which are proposed to be used in revenue operations, will be inspected by flight operations inspectors and airworthiness inspectors of the CAA. The basis of this inspection is as follows;

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- a. To determine that the cabin layout and equipment meets safety standards.
 - b. To ensure that the communications and navigation equipment is appropriate to the proposed operation.
 - c. To ensure that the flight deck controls and equipment match the description in the operations manual and conform to the aircraft checklist.
- 16.2. The aircraft inspections may be carried out at any time prior to certification but it would be desirable to have the aircraft inspected before they are used for training or route proving to gain maximum benefit to the operating and training personnel. The emergency evacuation and ditching demonstrations shall be conducted only after the aircraft are inspected to the satisfaction of the CAA.
- 16.3. Each aircraft in the fleet will be inspected even where a number of supposedly identical machines are acquired. Portions of the inspections may be combined with surveillance of training or proving flights and consideration must be given to the use of applicable items of equipment at night.
- 16.4. Inspection of the safety equipment in the flight deck and cabin is to ensure the equipment meet the safety intention of the regulations. Airworthiness inspectors will determine that the equipment are of certified standard and Flight Operations and Cabin Safety Inspectors will establish that the equipment is positioned so that it is available at the appropriate time, that warnings / cautions are obvious and unambiguous and that operations manual materials is pertinent.

17. Inspection of operating ports (Stations)

- 17.1. It is usual for an operator to have one main base and major or minor ports. The main base will usually contain the company headquarters, training establishments, and be the majority of company personnel including flight crewmembers. The ports or destinations, which the applicant intends to serve, will be either major ports or minor ports depending on the facilities provided. Pre-certification inspection of facilities will tend to concentrate on the main base.
- 17.2. A port would be considered a major one if;
- a. Flight crew are based at the port; or
 - b. Maintenance (other than transient maintenance) is scheduled.
- 17.3. The Civil Aviation Authority will normally inspect all company port facilities before an Airline Licence is issued. Inspection at a minor port may require only a few minutes and this may be possible during the turn-round of a proving flight. The inspection of a major port will occupy a much longer period, which will vary with the functioning of the port.

18. Proving Flight

- 18.1. The company will be required to conduct a number of proving flights to demonstrate operational readiness. Proving flights will be conducted in all respects as if they were revenue services. i.e. the following functions must be demonstrated;
- a. Scheduling of aircraft and crews.

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- b. On-time departures and arrivals.
 - c. Recording and rectification of defects encountered.
 - d. Load control.
 - e. Baggage and/ or cargo loading and unloading.
 - f. Passenger handling.
 - g. Flight and cabin crew familiarity with duties and company procedures.
 - h. Capacity of port facilities to support the services.
 - i. Adjustment of schedules to accommodate delays encountered due to ATC, weather or aircraft unserviceability.
 - j. Capacity to notify relevant persons of operational changes.
- 18.2. The applicant will also be required to submit a detailed plan of how the proposed proving test flight hours will be used. This includes specific schedules for the en route phase, showing departure and arrival dates, times and stations and the Civil Aviation Authority require these details approximately two weeks before that phase is started.
- 18.3. Civil Aviation Authority inspectors will allow the proving flights to run without intervention although the crew may be required to conduct a particular form of departure, arrival or instrument approach. Nevertheless, inspectors will ask questions of flight deck and cabin crew, to confirm the crewmembers knowledge and familiarity with airfield layouts, parking and fueling arrangements at the various destinations and ATC requirements enroute. Cabin crew will be expected to be familiar with passenger handling arrangements at the various destinations. In addition, inspectors will review company activities and control in areas outside the aircraft, and this may require discussion with relevant staff.
- 18.4. The number of proving flights required will vary according to the size and scope of the operation. It should be assumed that a proving flight will be required for each type of aircraft proposed, to each destination intended to be covered by that type. In deciding whether any relaxation of that requirement is warranted, the Civil Aviation Authority will consider the previous history of the company (if any), e.g. a commuter operator upgrading to a full airline but operating over the same route structure, may not warrant the same degree of demonstration as an operator setting up for the first time.
- 18.5. A minimum of two inspectors will accompany each proving flight, with one officer occupying a seat on the flight deck. On large aircraft, more inspectors will be needed to adequately observe the operation.
- 18.6. If the applicant holds a current Airline Licence in another category of operation. It may be possible for proving flights to be conducted for revenue purposes in accordance with that Airline Licence. In the absence of a current Airline Licence revenue passengers or cargo may not be carried on proving flights, but company staff, invited guests and company cargo or equipment may be carried.
- 18.7. The Civil Aviation Authority has no objection to proving flights being used for PR purpose, but Civil Aviation Authority inspectors will not hesitate to intervene at any stage if the flight or its associated support is not satisfactory, and intervention may be clearly visible, and the potential risks should be evaluated if guests or the media are invited.

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**APPENDIX – K**

Form No. CAA/OP/002

Form AOCR - 1

APPLICATION FOR RENEWAL OF AN AIR OPERATOR CERTIFICATE

1. Name of Operator: -
2. Postal Address: -
3. Telephone(s):- Facsimile:- E-mail:-
4. Name of Chief Executive Officer:-
5. Designation:-
6. Telephone(s):- Facsimile:- E-mail:-
7. Type of Licence held:- Licence/ Provisional Licence
8. Date of original issue:-
9. Date of Expiry:-
10. Classes of Operations authorized:- 1. Private 2. Aerial Work 3. Charter 4. Regular Public Transport
11. Date of commencement of operations:-
12. Particulars of aircraft used for the Operations(Please complete the form AOCR-1-1)
13. Particulars regarding maintenance facilities (Pl. Complete the form AOCR-1-2)
14. Particulars regarding personnel (Please complete the form AOCR-1-3)
15. Particulars regarding Manuals (Please complete the form AOCR-1-4)
16. Particulars regarding services operated (Please complete the form AOCR-1-5)
17. Particulars regarding performance (Please complete the form AOCR-1-6)
18. Financial Status of the airline (Please complete the form AOCR-1-7 and attach a Duly completed certified copy of Annual Report/Final Accounts/Balance Sheet and Loss & Profit Account)
8. Any other information:-



Particulars about aircraft Form
AOCR – 1-1 (a)

Type	Year of Manufacture	Registration Number	Serial Number	Basic Weight of aircraft (kg)	Date & Method of acquisition	Number of hours flown to date	Type of Engines	C.of.A valid till	Crew Requirement					Capacity			
									Pilots	Flight Engineers	Cabin Crew	Navigator	Others	Passengers	Cargo		



Particulars about aircraft Form
AOCR – 1-1 (b)

1. Engines

Type	Model	Serial Number	Hours/Cycles

2. Propeller

Type	Model	Serial Number	Hours/Cycles



Particulars about aircraft Form
AOCR – 1-2

Description	Location	Extent (Sq. metres)	Date & Method of acquisition	Facilities available	Any other details
Hangars					
Workshops					
Engine Test Cells					
Shop Equipment					
Instrument overhaul and test shop					
Spare parts storage					
Refueling facilities					
Sub bases					



Particulars about aircraft Form
AOCR – 1-3 (a)

Post	Name	Qualifications	Nationality	Main responsibilities
a. Accountable Manager				
b. Head of Flight Operations				
c. Head of CAMO				
d. Head of Training				
e. Head of Ground Operations				
f. Head of Airline Security				
g. Head of Quality/ Compliance Monitoring				
h. Head of Safety Management System				
i. Chief Pilots of Each Fleet				
j. Head of Cabin Crew				



Particulars about aircraft Form
AOCR – 1-3 (b)

Description	Number of Persons		Nature of Employment	
	Sri Lankans	Foreigners	Full time	Part time
1.Captains				
2.First Officers				
3.Second Officers				
4.Flight Engineers				
5.Navigators				
6.Cadet Pilots				
7.Aircraft Maintenance Engineers				
8.Aircraft Technicians				
9.Flight Operations Officers				
10.Cabin Crew Members				
11.Loaders				
12.Station Managers				
13.Country Managers				
14.Senior Managers				
15.Managers				
16.Executives				
17.Consultants				
18.Radio Operators				
19.Approved Instructors – Flight crew (Pilots, Cabin crew, Flight Engineers)				
20.Maintenance Release Engineers				
21.Officers of Clerical & Allied grades				
22.Minor Employees				
23.Others				

(Please enclose a list of names of all employees coming under categories 1-14)



Particulars about aircraft Form
AOCR – 1-4

Name of Manual	Date of initial issue	Date of last revision	Language in which the documents are Written	Whether a copy has been given to DGCA (if so please specify the date)
1.Certificate of Type Approval				
2.Drawing of the design				
3.Flight Manual				
4.Wiring Manual				
5.Maintenance Manual				
6.Overhaul Manual				
7.Repair Manual				
8.Operating Manual				
9.Mandatory Service Bulletins/Ads				
10.Flight Test Report				
11.Type Record or Stress Analysis summary				
12.Schedule of materials used in each important part of the primary structure				
13.List of equipment carried in the aircraft				
14.Minimum Equipment List				
15.Operations Manual				
16.Training Manuals				
17.Dangerous Goods Manual				
18.Security Manual				
19.Air Navigation Act & Regulations				
20.ASN				
21.Maintenance Schedule				
22.Illustrated parts catalogue				



Particulars about aircraft Form
AOCR – 1-5

Sector	Frequency per week	Type of Aircraft	Date of commencement



Particulars about aircraft Form
AOCR – 1-6

Sector	Capacity provided		Capacity utilized			Date of Commencement
	Pax.	Cargo	Pax.	Cargo	Mail	



Particulars about aircraft Form
AOCR – 1-6

Year Ended:-

Currency:- Airline:-

The published Annual Report of the Airline should be forwarded, if possible, with this reporting form.



Financial Data
AOCR – 1-7

DESCRIPTION		AMOUNTS	
		SUB ACCOUNTS	MAIN A/C'S & RESULTS
REVENUES	1. Scheduled services (total)...		
	1.1 Passenger...		
	1.2 Excess baggage...		
	1.3 Freight, express and diplomatic bags...		
	1.4 Mail.....		
	2. Non-Scheduled flights (total).....		
	2.1 Passenger & excess baggage.....		
	2.2 Freight (including express and diplomatic bags) and mail.....		
	3. Incidental revenues (total).....		
	3.1 Air transportation activities (gross)		
	3.2 Other incidental revenues (net)....		
	4. TOTAL OPERATING REVENUES.....		
EXPENSES	5. Flight operations (total).....		
	5.1 Flight crew salaries and expenses.....		
	5.2 Aircraft fuel and oil.....		
	5.3 Flight equipment Insurance and uninsured loss.....		
	5.4 Rental of flight equipment.....		
	5.5 Flight crew training (when not amortized).....		
	5.6 Other flight expenses		
	6. Maintenance and Overhaul.....		
	7. Depreciation and Amortization (total).....		
	7.1 Normal depreciation of flight equipment.....		
	7.2 Normal depreciation of ground property and equipment....		
	7.3 Extra depreciation (in excess of cost).....		
	7.4 Amortization of development and pre-operating costs.....		
	7.5 Flight crew training (when amortized).....		
	8. User charges and station expenses (total).....		
	8.1 Landing and associated airport charges.....		
8.2 Route facility charges.....			
8.3 Station expenses.....			



	9. Passenger Services..		
	10. Ticketing, sales and promotion..... 11. General and administration..... 12. Other operating expenses..... 13. TOTAL OPERATING EXPENSES.....		
O.R	14. OPERATING RESULTS.....		
NON-OPERATING	15. Retirement of property and equipment..... 16. Interest..... 17. Payments from public funds not allocated elsewhere (total)..... 17.1 Direct subsidies..... 17.2 Other payments..... 18. Affiliated companies... 19. Other non-operating items..... 20. NON-OPERATING ITEMS (balance).....		
PROFIT/LOSS	21. PROFIT OR LOSS (-) BEFORE INCOME TAXES... 22. Income taxes..... 23. PROFIT OR LOSS (-) AFTER INCOME TAXES...		
Remarks, Part 1 (include description of any unavoidable deviations from reporting instructions)			



PART 2 – BALANCE SHEET

ASSETS	AMOUNTS	
	SUB ACCOUNTS	MAIN ACCOUNT & TOTAL
1. Current assets..... 2. Equipment purchase funds..... 3. Other special funds..... 4. Flight equipment before depreciation..... Less: Reserve for depreciation..... Flight equipment after depreciation (item 4 minus item 4.1) 5. Ground property and equipment before depreciation..... Less: Reserve for depreciation..... Ground property and equipment after depreciation (item 5 minus item 5.1) 6. Land..... 7. Investments in affiliated companies..... 8. Deferred charges (total) Development and pre-operating costs..... Other deferred..... 9. Intangible assets..... 10. Other assets..... 11. TOTAL ASSETS (equal to item 24 below)		
LIABILITIES 12. Current liabilities (Other than reported in item 13). 13. Unearned transportation revenues..... 14. Deferred credits..... 15. Operating reserves..... 16. Self-insurance reserves..... 17. Other reserves (specify)..... 18. Advance from affiliated companies..... 19. Other liabilities..... 20. Long-term debt..... 21. Capital stock..... 22. Capital surplus..... 23. Net balance of unappropriated retained earnings (identical to item 6 of Part 3 below, “Statement of Retained Earnings” 24. TOTAL LIABILITIES (equal to item 11 above.).....		



Financial Data
AOCR – 1-7

DESCRIPTION	SUB-ACCOUNTS	MAIN ACCOUNTS AND RESULTS
<p>1. Net balance of unappropriated retained earnings for previous years, as shown in item 6 of last Year’s Statement of Retained Earnings.....</p> <p>2. Adjustments to previous years retained earnings (Total).....</p> <p>Transfer to reserves</p> <p>Amount paid as bonus, dividends, etc.....</p> <p>Other (Specify).....</p> <p>Other (Specify).....</p> <p>3. Profit or loss (-) after income taxes for this year (as shown in item 23 of part 1, Profit and loss statement</p> <p>4. Appropriations (total –specify items below)</p> <p>(.....)</p> <p>(.....)</p> <p>(.....)</p> <p>5. Dividends.....</p> <p>6. Net balance or unappropriated retained earnings for the current and previous years (same as item 23 of part 2 above)</p>		
<p>Remarks, Part 2 and 3 (include description of any unavoidable deviations from reporting instructions)</p>		



APPENDIX – L

EXPLANATORY NOTES ON SATISFYING THE CAA REQUIREMENTS RELATING TO FINANCIAL FRAMEWORK OF AN APPLICANT FOR THE GRANT OF AN AIRLINE LICENCE

In order for a company to operate aircraft for the carriage of passengers or cargo for remuneration it must meet a number of criteria in the Air Navigation Regulation of 1955 on the licensing of Air Service Operations. This document sets out in outline the approach that the CAA typically takes when considering applications for Air Service Operations in the light of Air Navigation Regulation 199. It is possible that in some cases a different framework will be appropriate; this will be decided on a case-by- case basis.

Paragraph 199 requires that applicants command financial resources to maintain the proposed operations for a period of at least three (03) years. The CAA addresses this by analyzing the applicant’s business plan, to establish whether it is based on realistic assumptions and, if not, what the assumptions should be. Using the revised assumptions if necessary, the balance sheet and cash positions are projected forward for three (03) years. If these projections suggest that the applicant does not have sufficient starting funds to meet the requirements in the Air Navigation Regulation 199, then the CAA may require more capital than proposed in the business plan. This paper will go on to describe in some detail how the funding requirement is set; in general terms a new airline will need enough funds to cover initial capital expenditure, including lease deposits, and other setting-up costs, as well as enough to cover initial losses. The following sections discuss:

Section 1. The process involved in considering the financial aspects of the application, from receipt of the application to grant of a licence.

Section 2. The approach that the CAA takes to the analysis of business plans.

Section 3. The approach that the CAA takes to determining the level of funds available to the business.

Section 4. The way in which the CAA interprets the financial requirements stipulated in the Air Navigation Regulation 199.

1. PROCESS OF CONSIDERING APPLICATION

The process will start with the CAA’s analysis of the applicant’s business plan. This is discussed in more detail in Section 2. In outline, this consists of considering each aspect of the plan against independent evidence, and using particular analytical techniques. In some cases this will suggest that the plan is optimistic; projected passenger numbers or yields may be high, or costs may be too low. In such cases the CAA will prepare an alternative version of the plan.

As the CAA’s analysis progresses any key results will usually be communicated to the applicant, and it is of course open to the applicant to provide a response to the analysis, where it disagrees with the results.

The final decision on the funding required for the Operating Licence to be granted will be taken by the DGCA, following a meeting with the company. The DGCA’s decision on the funding

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requirement will ultimately be based on his view of whether, using the CAA's framework of interpreting balance sheets and cash (see Section 3), the applicant meets the requirements in the Air Navigation Regulation 199 (see Section 4).

However, before the application can progress to that stage, the CAA will require evidence that funding is likely to be available to the applicant once a decision has been made. It is difficult to state precisely what constitutes sufficient evidence; in general terms, the applicant should be able to produce written evidence that persons or organizations, with sufficient financial strength, support the application and would be likely to invest in it.

Once the decision has been made, the applicant will be issued with a letter stating the conditions on which a licence will be granted. Among other conditions deriving from Air Navigation Regulations and associated requirements (such as adequate insurance and possession of an AOC) it is likely to indicate that the licence will be granted once the CAA has received written confirmation from the applicant's auditors that the appropriate level of funding has been injected into the company. It may include other requirements, such as signed copies of contracts or leases, depending on the nature of the application. Once all of the conditions have been met, the licence will be granted.

As indicated elsewhere in this document, the applicant is required under the Regulations to submit the initial application with all pertinent information not less than two months before the date on which the applicant is desired to commence proposed service. It is important to remember that two months does not start until the CAA has received all of the information it requires. In CAA's experience it is rare for applicants' plans, and even their first responses, to include enough information for a decision to be reached. It would therefore be prudent for applicants to allow significantly longer than two months for this process.

2. CAA ANALYSIS OF BUSINESS PLANS

The application should be accompanied by financial information, comprising a business plan, actual and projected financial statements and other supporting documentation as explained in this document. The required information is specified in Appendix-A to this paper.

In considering the applicant's prospects the CAA will consider whether the business plan is based on reasonable assumptions; this is referred to as the analysis of the business plan. The guiding principle behind this analysis is that the assumptions are most likely to be reasonable when they are borne out by independent evidence. The analysis is likely to be less time consuming if the plan spells out the assumptions on which it is based, and is accompanied by as much independent supporting evidence as possible.

While analyzing the plan the CAA staffs involved are likely to need to seek clarification from the applicant on particular points. In some cases the most time consuming part of an application is waiting for answers from the applicant. Since most applicants are interested in receiving an answer as soon as possible, it is in the applicant's own interests firstly to provide a plan which explains and supports their reasoning as fully as possible, and secondly to respond promptly to the CAA's requests for further information.

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2.1. Scheduled Revenues

This typically splits into passenger numbers and yield, and the approaches used for these differ. Of course in reality there is a tradeoff and it is generally possible to deduce, by comparison with existing carriers, whether the level of yield expected is consistent with the passenger numbers.

2.1.1. Passenger Numbers

The CAA usually uses an approach based on a ratio called the Competitive Performance Index, or CPI. The CPI is simply the ratio, in a particular market, between an airline's market share and either its frequency share (CPI (F)) or capacity share (CPI(C)), depending on whether the route is more business or leisure oriented. It is useful because, in the absence of any specific reasons why it would change, the ratio tends to stay constant year-on-year. In considering the applicant's route, the CAA will generally determine a suitable CPI by analogy with an existing carrier in similar circumstances, making adjustments as necessary. Then, after calculating the applicant's projected capacity or market share and estimating the market size it is possible to use this ratio to calculate the expected passenger numbers for a particular airline.

Selection of the CPI is judgmental and the necessary adjustments vary from case to case, depending on how close an analogy can be made with an existing carrier. The most common standard adjustment is for the learning curve; where the available CPIs are for established carriers, it is necessary to apply reductions for the newness of the carrier and the route. Based on its experience of the build-up of traffic in such circumstances, the CAA usually applies a reduction of 20% in passenger numbers in the first year of operation and 10% in the second.

2.1.2. Yields

Again the CAA's approach is to look for carriers in similar circumstances, offering similar products, and compare their yields. Often the analogy is not perfect and adjustments must be made, for example to take account of a different business / leisure split on the applicant's and comparator's routes, or because one carrier presents itself as low-cost while the other offers a conventional service. As part of its role in monitoring the finances of Operating Licence holders the CAA receives yield data from existing carriers and this is main source of information in this area. However this is a perfect example of information that the CAA cannot reveal to the applicant; the CAA can reveal its conclusion but not its reasoning.

2.2. Charter Revenues

The treatment of charter revenues depends on how integrated the airline is with a particular tour operator. If, for example, the applicant is to be a wholly owned subsidiary of an existing tour operator, and proposes to make little by way of third party sales, then the question becomes whether the tour operator can sell enough of its programme to fill the airline's seats. We would consider the operator's past success in selling its budgeted programme at a profit, and in the light of that whether the new proposed programme seemed attainable.

Where an applicant was not attached to a tour operator, or was attached but intended to make a material amount of revenue from third party sales, we would consider its ability to sell the aircraft in its own right. This would take the form of assessing whether the anticipated daily utilization per

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aircraft, load factors and seat rates could be reasonably achieved, making comparisons against existing operators.

2.3. Costs

In considering costs the CAA uses two different methods. For Direct Operating Costs (DOC), one method is to compare the applicant's DOCs per block hour with existing carriers using the same aircraft type and flying as similar an operating pattern as possible.

The other approach is to consider evidence on each item of cost separately. For example, aircraft lease costs can be verified by obtaining a copy of the lease agreement. Fuel costs could be verified with reference to manufacturer's data or other independent sources. Airport charges could be verified with calculations deriving from the published schedule of airport charges. If a discount were available to new services, then a letter from the airport confirming this would be sufficient evidence. Handling charges can be verified with a copy of the agreement with the handling agent.

2.4. Re-forecast

Having analyzed the plan, it is possible that the CAA will regard some of the conclusions as optimistic. Where that is so then the CAA may wish to re-forecast the plan, based on assumptions, which the CAA regards as more realistic. In order to be able to do this, it is useful to have access to a spreadsheet version of the business plan, preferably compatible with Microsoft Excel.

3. CAA VIEW ON FUNDS AVAILABLE TO BUSINESS

In considering whether the proposed level of funding is adequate the CAA analyses the applicant's balance sheet at the start of operations and considers whether it is strong enough in the light of the CAA's analysis of the business plan.

The CAA generally considers two aspects of the balance sheet: firstly the concept of free assets, and secondly unrestricted cash balances. The following paragraphs will define these two aspects of funding, and the way in which the concepts are applied will be described in Section 4.

3.1. Cash

Cash is relatively straightforward. The CAA takes the balance sheet definition and then the only distinction is between restricted and unrestricted cash. For example if a bank had a charge over part of the firm's cash, or required a minimum balance to be maintained, then the CAA would not count that as cash in applying the test described in Section 4.1.1.

3.2. Free Assets

A company's free asset position is a modified version of its net asset position, as recorded on the balance sheet. Whereas net assets is the sum of all the company's assets, minus short and long term liabilities, free assets is reached by deducting particular categories of asset from the net assets, and adding back particular categories of liability. Certain off-balance sheet items may also need to be added or deducted.



The mechanics of the calculation are similar to calculation of a company's break-up value. However the additions and deductions made to reach the free asset value are different, and the concepts should not be confused.

The underlying principle behind the free asset figure is that it should represent the funds that would be available to support the business throughout the period in question.

For start-up carriers, the calculation is likely to be relatively simple. The following description of the categories of addition and deduction includes categories, which are more relevant to an existing carrier than a start-up, and it may be useful to retain it for future reference.

The following notes outline the additions and deductions that are made; they are not comprehensive but will illustrate the principles.

3.2.1. Assets

As a general rule, fixed assets are deducted if they could not be used to support borrowing or sold quickly without harming the business. For example, aircraft are usually allowable at book value (unless the book value seems to overstate the amount of borrowing that the aircraft could realistically support), and the same applies to freehold and long leasehold property (that is, with over 10 years unimpaired).

Computers, motorcars, short leasehold property and other minor fixed assets would be deducted. In respect of freehold properties held overseas allowance will only be given if a Sri Lanka branch of an overseas bank confirms the extent to which the asset can support borrowing.

Current assets are deducted unless they have intrinsic worth in the short run, even in circumstances where a company was perceived to be in trouble.

The following table shows the treatment of the most common categories of current asset.

Category	Allowed	Notes
Ratable stock	Yes	There is a presumption that this can be used to support borrowing
Consumable stock	No	Usually misc minor items which would not support borrowing
Trade debtors	Yes	There is a presumption that the debt will be paid
Loans to associated companies, parents, directors etc.	No	Except with independent evidence of recoverability
Prepayments	Some	Some, such as for insurance, are partly recoverable. Others, such as for brochures or advertising, would have no value if the company were to cease trading and would be deducted.
Lease deposits	No	These are rarely recoverable
Unrestricted cash	Yes	
Restricted cash	No	For example, where a bank has taken a charge over



cash held by the company

3.2.2. Liabilities

Short-term liabilities are almost never added back, since there is a presumption that they must be paid.

Long term loans can be added back only if the borrower and lender are willing to sign a legal undertaking to the effect that the loan will not be repaid without the prior consent of the CAA. The CAA uses a standard form of words for undertakings formally subordinating the amount, which can be provided on request.

A deferred tax reserve cannot be added back unless it can be demonstrated clearly that, taking reasonable assumptions, there is no prospect of the liability crystallizing in the foreseeable future, whether the company continues to trade or not.

Maintenance reserves cannot be added back, since it must be assumed that they reflect a genuine need to keep funds aside to maintain the aircraft, and without which the aircraft would become inoperable. In the event of failure a lessor would normally expect aircraft to be returned with full maintenance undertaken.

The above are all examples of liabilities, which have already been deducted to reach the net asset figure. Within the categories of liability which have not been so deducted (the shareholders' funds) there is one further possible adjustment. Where Performance Share are redeemable, they will be treated as a potential liability and therefore deducted, unless the company signs an undertaking that the shares will not be redeemed without the CAA's prior consent. The standard wording can be provided on request.

The following table shows a sample balance sheet together with the appropriate adjustments.

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Balance sheet

	Rs. million	Rs. million
Fixed assets:		
Aircraft	50.0	
Short leasehold building	5.0	
Computer equipment	10.0	
Current assets:		
Cash		
Trade debtors		
Aircraft security deposits		
Current liabilities:		
Trade creditors		
Other creditors		
Net current assets		
Long term liabilities:		
Parent company loan		
Net assets:		
Ordinary shares		
Redeemable preference shares		
Profit and loss account		
Shareholders' funds		
Free asset calculation		
Net assets shown on balance sheet		
Deductions		
Short leasehold building		
Computer equipment		
Aircraft security deposits		
Preference shares		
Total deductions		
Free assets		

The firm in this example has a free asset deficit. The situation would be improved if it and the lenders signed undertakings for either the parent company loan (which could then be added back) or the preference shares (which would then not need to be deducted).

4. TESTS FOR AIR NAVIGATION REGULATION 199

This paragraph contains the two financial tests that the applicant must meet in order to satisfy the CAA that the applicant is in compliance with the ANR 199. Although both tests must be met, the tests are separate; that is to say that each will indicate a particular level of funding, and the higher will apply. If the first requirement under these tests would be met by initial funding of Rs. 40 million, and the requirements and the second test would be met by funding of Rs. 60 million then



the final requirement would be for Rs. 60 million, since that would also cause the requirements under the first test to be met.

4.1. Requirements examined under the first test

The test is that the applicant “can meet at any time its actual and potential obligations, established under reasonable assumptions, for a period of three (03) years from the start of operations”. The following paragraphs describe the approach that the CAA adopts with regard to the main categories of applicant that it receives.

In considering this test for an airline the CAA uses the applicant’s business plan, modified by new assumptions that the CAA may incorporate as described above, to project the free asset and free cash position forward on a monthly basis for 36 months. Typically, the CAA will set the level of initial funding to ensure that at their lowest point, neither of these indicators falls below a certain minimum. It should be noted that the CAA invariably seeks a margin of comfort on the free asset low point; it is not enough for the position merely to stay positive. It is not possible to give specific guidance on how this margin is set; the factors that will influence it include the scale of the operation and its inherent riskiness, residual uncertainties in the forecasts, and the possibility of unforeseen events such as fuel price increases and aircraft technical problems.

In some cases the applicant’s proposed level of funding may not be high enough, and the projections will indicate that the CAA’s minimum is breached. In such cases the CAA would seek enough extra funding to ensure that the minimum is met. To take a simple example: based on proposed funding say of Rs. 100 million, the CAA’s modified business plan produces a free asset low point of Rs. 5 million, whereas the required margin of safety is Rs. 20 million. The CAA would require extra funding to be enough to make up the difference; that is, Rs. 15 million making total funding of Rs.115 million.

Similar considerations apply to cash, in that the CAA would normally seek a margin of comfort. Under exceptional circumstances an application that was based on overdraft finance might be acceptable to cover a short-term deficit, but only where a bank was proven to be irrevocably committed to making the facility available. The facility could not be repayable on demand or subject to unacceptable covenants. In those circumstances of course the facility would need to be large than the projected requirement, by a margin of safety as described above.

4.2. Requirements examined under the second test

The requirement of this tests is to examine whether the applicant is in a position to “meet its fixed and operational costs incurred from operations according to its business plan and established under realistic assumptions, for a period of three months from the start of operations, without taking into account any income from its operations.”

This test is more straightforward, although again the application may differ slightly depending on the nature of the application.

For scheduled airlines, the process is simply to find the costs incurred in the first three months, excluding passenger-related costs such as commissions, and to ensure that the free asset position at the start of operations is at least as great as this amount.

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For conventional charter airlines, the CAA would generally exclude direct operating costs as well, on the grounds that if the airline received no income, it would have no reason to fly. Of course the same rationale does not apply to new scheduled airlines, which typically experience very low load factors in the first months of operation but which must operate anyway.

Attachment A

1. FINANCIAL INFORMATION REQUIRED FOR AN OPERATING LICENCE

The following sections indicate what financial information will be required for the application for an Operating Licence.

1.1. Which companies should be included?

This question arises where the company is part of a group. In such cases, the CAA is likely to consider the finances of the group as a whole rather than just the company that will hold the Operating Licence. The level at which the CAA considers the finances is referred to as the basis of licensing.

To take the simplest case first, an application may be based on a single company, which is directly owned by investors rather than another company. In that case the CAA would consider the balance sheet and business plan of the company only.

The approach would be more complex if the applicant company was part of a group. For example, integrated groups are usually structured as holding companies, which own both airline and tour operating companies. Some airlines are part of a group in which the head company also owns maintenance or perhaps leasing companies.

In these cases, the basis of licensing will typically be the consolidated financial position of the group, which is to say that the CAA would consider the application on the basis of the consolidated balance sheet and consolidated financial projections. Projections would also be needed for each of the individual companies separately, since they would need to be analyzed separately. Furthermore, as conditions of grant of a licence the CAA would require a guarantee from the head company that it would honour the obligations of each licence holder. A copy of the standard wording is available from the CAA on request.

1.2. Balance Sheets and Funding

For all companies (or groups), a projected balance sheet as at the start date of the proposed operation, which includes the effect of any funding that will be injected into the venture should the application be successful, together with:

- a) For a company which has been trading for some time already, the most recent set of audited accounts and a reconciliation with the projected balance sheet.
- b) For a company which has been traded, details of any transactions such as start-up costs taking place prior to the projected balance sheet date.

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- c) The balance sheet should be accompanied by a breakdown of other debtors and prepayments and stock should be split between rotables and consumables.
- d) Details as to the source of finance and (proposed) shareholders, including their nationality and full details of shares held. Useful supporting documentation would include any shareholders agreements and the articles of association.
- e) Details of any financing agreements in which the company is or expects to be involved, such as overdraft or bonding facilities and aircraft leases. Useful supporting documentation would include the relevant agreements.
- f) Projected monthly balance sheets, for three (03) years from the start of operations again accompanied by the information shown at c) above.

1.3. Profit and loss projections

A detailed trading budget for the company's total operations, starting from the start date of the proposed operation. The projections should be monthly, covering the period prior to start-up and then for a three (03) year period. Full details of the assumptions used in respect of revenue and costs (on a hourly, sector or passenger basis as applicable) should be provided. If discounts are to be provided against published costs at airports, written confirmation will be required from the relevant airport.

For a scheduled operation, the direct costs and revenues should also be broken down by route, and a timetable and fare structure should be provided.

For a charter operation, the projections should show the expected hourly utilization of the aircraft and the hourly rate. While the exact breakdown of costs, revenues, and other indicators will vary according to the nature of the operation, the projections should be to a level of detail similar to the templates provided at Appendix B.

1.4. Cash flow projections

A detailed cash flow projection budget for the company's total operations, starting from the start date of the proposed operation. The projections should be monthly, covering the period prior to start-up and then for a three (03) year period. There are a variety of legitimate ways to present cash information, although this should contain similar detail to the template provided at Appendix B. A statement of assumptions on the timing of payments is also required.

1.5. Other

Details of the proposed fleet of aircraft and the basis on which they are funded; for example if they will be owned outright then the cost, whereas if they are leased then details of the lease payments and any deposits. Useful supporting documentation would include lease agreements.



It will make the CAA's analytical work faster if the financial projections and balance sheets indicated above can be provided as a Microsoft Excel-compatible spreadsheet on floppy disc, as well as in hard copy.

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1. ILLUSTRATIVE FORMAT FOR FINANCIAL PROJECTIONS

**APPENDIX – M****Check List
Certification of Air Operators in Sri Lanka**

Name of the Applicant:

No.	Description	IPT	Yes	No	Folio
1	Letter of Intent from the applicant				
2	Approval from the line Ministry				
3	Send a letter to applicant by mentioning required documents to AOC process (SLCAP 4100, SLCAP 4500, CAA/OP/065, CAA/OP/068)				
4	Obtain the necessary approvals and correspondence from AW section for the aircraft to be imported				
5	Pre-application Meeting				
	a. Invite the applicant and his staff				
	b. Invite the Office staff				
	c. Make copies of the letter of intent to each Inspectors				
	d. Power point presentation				
	e. Arrangement of refreshments				
	f. Issue a copy of presentation to Applicant				
	g. Obtain attendance sheet				
	h. Monitor correspondence with the applicant in the file				
6	Applicant submits the dully filled Formal Application (date stamped) as per SLCAP 4100 with;				
	a. All applicable manuals & Business Plan				
	b. Particulars about nominated post holders (CAA/OP/066)				
	c. Schedule of Events				
	d. Declaration of Conformance				
7	Prior Approval from DDG(CAER) for publication deposit				
8	Letter to Airline with regard to cost Estimate for certification along with the advertisement deposit				
9	Charge the evaluation fee & issue a receipt	10			
10	Check the completeness of the Application and Manuals				
13	Inspection & Acceptance of aircraft by CAASL /training of Civil Aviation Inspectors on the new type				



14	Publish the application in the Gazette and in the Daily News, Dinamina, Thinakaran & The Island				
	a. Prepare English Language Notice				
	b. Approval from DGCA for the				
	c. Approval from DGCA for the Tamil translation				
	d. Translation request (English to Tamil)	14-b			
	e. Work Certificate				
15	Copy of the Formal Application forwarded to the CAA Technical Library along with the memo	14-e			
16	Settle the Payments				
	a. authorization from DDG(FSR) for payments to Tamil translator				
	b. prepare voucher for Tamil translator				
	c. Prepare vouchers for newspaper settlements				
	d. Prior approval from DDG(CAER) to release the funds from Deposit				
	e. Settle the invoices for newspapers & Gazette				
	f. Prior approval from DDG(CAER) to refund the balance money to applicant				
	e. Settle the remaining money to the applicant				
17	Get the public representation received from CAA Technical Library				
18	Resolve the objections (If there any)				
19	Send the Business plan to Finance Section	14-e			
20	Request Certification team members from required sectional heads	14-e			
21	Appoint a Certification Team				
22	Formal Application Meeting				
	a. Invite the applicant and Nominated Post Holders				
	b. Invite the Certification team along with the letter				
	c. Organize the power point presentation				
	d. Organize refreshments				
	e. Issue a copy of presentation				
	f. Obtain attendance sheet				
	g. Monitor correspondence with the applicant in the file				
23	Circulate Management Resumes to relevant sections for acceptance	22-b			



24	Obtain a date from DGCA for Interviews and inform the Interview team Hold the Interviews for Nominated Post Holders				
	a. Schedule the interview				
	b. Invite for Interviews				
	c. Prepare required check lists and attendance sheet for interview				
	d. Conduct the interview as per the CL				
25	Send a letter to the applicant about acceptance of Nominated Post Holders				
26	Check the draft operations Specifications				
27	Follow up schedule of events				
28	Documentary Evaluation				
	a. Forward Manuals to relevant team members for perusal and approval	22b			
	b. Use the check lists as per appendix D of SLCAP 4100				
27	If all documents are in order and all officials mentioned above are satisfied with the application, process the application according to specimen in the FOI hand book				
28	Arrange transport for Facility Inspection				
29	Prior to the proving flight sent the file for concurrence of other sections (Aerodrome, ANS, AW, PEL, AvSec) and check the pending compliance status for CAA requirements.				
30	Inform operator about corrective actions required by other sections.				
31	On successful completion of above 29 & 30 check the arrangements for the proving flight.				
32	Issue letters of approvals				
33	Convene a meeting with the certification team to finalize the certification				
34	Forward the DGCA Final reports of Operations (Checklist 19) and Airworthiness (Checklist 36) together with the Project Managers final report.				
35	Request D (AT & ER) to prepare Airline License for the type of operation (Economic Authority) charging the applicable fee.				
36	Forward the AOC & Operations Specifications along with the Airline License to DGCA for Signature in two copies				



37	Issue the original AOC, Airline License and Operations Specifications and update the database				
38	Open up a file for the amendment of AOC and Ops Specs And Renewal of AOC				

Checked by:

Approved by:

Signature:

Signature:



APPENDIX – N

CAA/ST/014



CIVIL AVIATION AUTHORITY OF SRI LANKA
MONTHLY RETURN OF AVIATION STATISTICS
Statistics of Passenger, Cargo & Mail Uplifted and Discharged at Bandaranaike International Airport

Airline:xx.....

Routes:

Year:

Month:

Frequency: 04 Flights per week


Date	Flight No	Air Craft Type & Seat Capacity	Uplifted At	Discharged At	Pax (No)	Cargo (kg)	Mail (kg)
1-Jun	XX182	A 320 / 20J 150Y	CMB	DXB	XXX	XXX	XX
2-Jun	XX185	A 320 / 20J 150Y	DXB	CMB	XXX	XXX	XX
Summary			CMB	DXB	XXXX	XXXX	XXX
			DXB	CMB	XXXX	XXXX	XXX

Date:

Signature:

Name:

**APPENDIX – O**

AIR OPERATOR CERTIFICATE		
CAA File Reference:	DEMOCRATIC SOCIALIST REPUBLIC OF SRI LANKA	
	CIVIL AVIATION AUTHORITY OF SRI LANKA	
AOC Number:	Operator Name	Operational Point of Contact:
Date of Expiry:	Operator Address	Accountable Manager Name
	Tel :	Tel :
	Fax :	Fax :
	E-mail :	E-mail:
		Contact details, at which operational management can be contacted without undue delay, are listed in, Part A, Chapter 1 Page 7, of Flight Operations Manual.
<p>In pursuance of the power vested in me under Section 73 of Civil Aviation Act No 14 of 2010 as the Director General of Civil Aviation, operator Name, is hereby authorized to perform commercial air transport operations as specified in the attached Operations Specifications, in conformity with the Operations Manual of operator Name, which is approved by this office and in compliance with the applicable requirements of the Ceylon Air Navigation Regulations of 1955 as amended by the Civil Aviation (Interim) Regulations No. 01 of 2002 and any other related operating requirements specified by Director General of Civil Aviation either in terms of Implementing Standards, Directives or Directions, concerning air transport operations.</p> <p>The nature and scope of the commercial (traffic) rights and associated privileges together with the terms and conditions governing the exercise of such rights and privileges shall be as specified in the License to be issued to operator Name under Section 84 of the Civil Aviation Act No. 14 of 2010. This Air Operator Certificate is not transferable.</p>		
Date of Issue:	Name and Signature:	(Name)
	Title:	Director General of Civil Aviation & Chief Executive Officer
		Civil Aviation Authority of Sri Lanka No. 152/1, Minuwangoda Road, Katunayake Sri Lanka.
Date of Original Issue:		



OPERATIONS SPECIFICATIONS					
(Subject to the approved conditions in the Operations Manual)					
	DEMOCRATIC SOCIALIST REPUBLIC OF SRI LANKA CIVIL AVIATION AUTHORITY OF SRI LANKA No. 152/1, Minuwangoda Road, Katunayake, Sri Lanka. Telephone: 94 11 2358800 Fax: 94 11 2253038 E-mail: info@caa.lk Web: www.caa.lk				
AOC No.	Operator Name				
Aircraft	Make	Model	Serial Number	Registration Number	Authorized Maximum Cargo/Passenger Capacity
Types of Operation	Nature		Scope		
			PASSENGER		CARGO
			DOMESTIC	INTERNATIONAL	DOMESTIC
	Charter				INTERNATIONAL
	Regular Public Transport Operations				
Area(s) of Operations					
Special Limitations					
Special Authorizations	YES	NO	Special Approvals		Remarks
Dangerous Goods					
Low visibility Operations Approach and Landing Take-off			CAT: ___ RVR: ___ m DH: ___ ft RVR: ___ m		
Operational Credit(s)					
RVSM					
EDTO			Threshold time ----- minutes Maximum diversion time----- minutes		
AR Navigation Specifications for PBN Operations					
Continuing Airworthiness					
EFB					
Others					
Issued by Signature: _____ (Name) Director General of Civil Aviation & Chief Executive Officer			Accepted by Operator's Signature: _____ Title:		
Revision No. Effective Date:		Page 1		AOC No.	



APPENDIX – P

Form No: CAA/OP/003



APPLICATION FOR AMENDMENTS TO THE OPERATIONS SPECIFICATIONS

Name of the Airline :

Licence Number :

Details of the Amendments:

Index	Part	Item Number	Proposed Amendment

Supporting documents are attached/ not attached.

I have enclosed a copy of official receipt Nodatedfor a sum of Rs.....payable to Civil Aviation Authority as fees for the proposed amendment/amendments of the Operations Specifications attached to the Air Operator Certificate issued by this Authority .

Date:

.....
Signature of Authorized Person

**APPENDIX – Q****FLIGHT SAFETY DOCUMENT SYSTEM CHECKLIST**

Name of the Operator:.....

Information Provided		Sat	Un Sat	Comments/Remarks/Ops Manual Reference
1. Introduction				
1.1	The operator maintains the most current Regulations and guidelines issued by the CAA SL. (IS002 and SLCAP 4100 as primary for the establishment of Flight Safety documents System. The other relevant ASNs and SLCAPs should be maintained as a part of the Flight Safety Document System)			
1.2	The Operator maintains Consistency with the regulatory requirement? The Operator maintain consistency between documents on a. Design b. Formatting c. Typography The Operator maintains consistency between departments/sections when it comes to the above.			
2. Organization				
2.1	The operator ensures the easy access for the Users pertaining to ground and flight ops? The operator ensures that the Flight Safety Document System is Properly Managed by Nominating a Person responsible for the storage, distribution and administration? The operator ensures that the Revisions and Amendments are properly administered.			



Information Provided		Sat	Un Sat	Comments/Remarks/Ops Manual Reference
2.1	<p>The operator ensure that the Information contained in a flight safety documents system be grouped according to the importance and use of the information, as follows:</p> <p>(a) Time critical information, e.g., information that can jeopardise the safety of operation if not immediately available.</p> <p>(b) Time sensitive information, e.g., information that can affect the level of safety or delay the operation if not available in a short time period.</p> <p>(c) Frequently used information (d) Reference information, e.g., information that is required for the operation but does not fall under (b) or (c) above</p> <p>(e) Information that can be grouped based on the phase of operation in which it is used.</p>			
2.2	The operator ensures that the Time critical information should be placed early and prominently in the flight safety documents system.			
2.3	The operator ensures that the Time critical information, time sensitive information, and frequently used information should be placed in cards and quick-reference guides.			
Information Provided		Sat	Un Sat	Comments/Remarks/Ops Manual Reference
3. Validation				
3.1	<p>The operator ensures that the flight safety documents system be validated before deployment, under realistic conditions. The operator ensures that the validation involve the critical aspects of the information use, in order to verify its effectiveness?</p> <p>The operator ensures that the Interactions among all groups that can occur during operations also be included in the validation process.</p>			



4. Design				
4.1	The operator ensures that the flight safety documents system maintain consistency in terminology and in the use of standard terms for common items and actions.			
4.2	The operator ensures that the Operational documents include a glossary of terms, acronyms and their standard definition, updated on a regular basis to ensure access to the most recent terminology The operator ensures that the all significant terms, acronyms and abbreviations included in the flight documents system be defined?			
4.3	The operator ensure that the flight safety documents system ensure standardization across document types, including writing style, terminology, use of graphics and symbols, and formatting across documents. This includes a consistent location of specific types of information, consistent use of units of measurement and consistent use of codes.			
4.4	The operator ensures that the flight safety documents system should include a master index to locate, in a timely manner, information included in more than one operational document? Note: The master index must be placed in the front of each document and consist of no more than three levels of indexing. Pages containing abnormal and emergency information must be tabbed for direct			
4.5	The operator ensures that the flight safety documents system should comply with the requirements of the operator's quality system, if applicable.			
5. Deployment				
5.1	The operator ensures that deployment of the flight safety documents system, to ensure appropriate and realistic use of the documents, based on the characteristics of the operational environment and in a way which is both operationally relevant and beneficial to operational personnel? The operator ensures that the monitoring include a formal feedback system for obtaining input from operational personnel.			



Information Provided		Sat	Un Sat	Comments/Remarks/Ops Manual Reference
6. Amendment				
6.1	The operator ensures an information gathering, review, distribution and revision control system to process information and data obtained from all sources relevant to the type of operation conducted, including, but not limited to, the State of the Operator, State of design, State of Registry, manufacturers and equipment vendors. Note: Manufacturers provide information for the operation of specific aircraft that emphasizes the aircraft systems and procedures under conditions that may not fully match the requirements of operators. Operators should ensure that such information meets their specific needs and those of the local authority.			
6.2	The operator ensures that the information gathering, review and distribution system to process information resulting from changes that originate within the operator, including: <ul style="list-style-type: none"> (a) Changes resulting from the installation of new Equipment. (b) Changes in response to operating experience (c) Changes in an operator’s policies and procedures (d) Changes in an operator certificate (e) Changes for purposes for maintaining cross fleet standardization 			
6.3	The operator ensures that the flight safety documents system reviewed: <ul style="list-style-type: none"> (a) On a regular basis (at least once a year) (b) After major events (mergers, acquisitions, rapid growth, downsizing, etc.) (c) After technology changes (introduction of new equipment) (d) After changes in safety regulations 			



6.4	The operator ensures methods of communicating new information? The specific methods should be responsive to the degree of communication urgency. Note: As frequent changes diminish the importance of new or modified procedures, it is desirable to minimize changes to the flight safety documents system.			
6.5	The operator ensures that the New information be reviewed and validated considering its effects on the entire flight safety documents system.			
6.6	The operator ensures that the method of communicating new information be complemented by a tracking system to ensure currency by operational personnel? The operator ensures that the tracking system should include a procedure to verify that operational personnel have the most recent updates.			

Declaration

I declare that the information given in this application form is true in every respect.

Name & Designation

Signature & Date

For Official Use

Contents checked against Ops manual: *SAT / NOT SAT

Civil Aviation Inspector
Aircraft Flight Operations

Signature & Date

For information:

Director (Aircraft Flight Operations)

Signature & Date



APPENDIX – R

Application for Approval or Exemption to Requirements related to Civil Aviation Act No. 14 of 2010

1. Applicant Details:

- 1.1. Name :
- 1.2. Organization :
- 1.3. Address :
- 1.4. Telephone :
- 1.5. Fax :
- 1.6. Email :

2. Details of relevant authorizations granted to the applicant by DGCA

3. References to the specified requirements by DGCA the exemption (s) sought

- 3.1. Regulations
- 3.2. Rules,
- 3.3. Implementing Standards
- 3.4. Directives

4. Details on persons or parties to be affected by the exemption

- 4.1. Person
- 4.2. Aircraft
- 4.3. Aeronautical Product
- 4.4. Type of Aircraft
- 4.5. Aeronautical Product
- 4.6. Material or kind of material
- 4.7. Services or kind of service

5. Details on the type of operation that would be affected by the exemption

6. Reasons why the exemption is necessary and the implications if such exemption is not granted

7. Specify the details how the applicant will ensure that an acceptable level of safety will be provided when operating in accordance with the exemption through a submission of safety risk assessment, if granted

8. The date on which the applicant requires the exemption to commence the intended operation

9. The duration that the applicant would require the exemption

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Applicants Name:

Signature: Date:

10. Inspector's evaluation and comments:

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

Name and Title of Inspector:

Signature: Date:



Section C. To be completed by air operator applicants		
9. Aircraft data (provide a copy of the lease agreement for all leased aircraft)		10. Geographic area(s) of intended operations and proposed route structure:
a) Number of aircraft by type and model. Aircraft nationality and registration marks where available	b) Number of passengers seats and/or cargo payload capacity.	
Section D. To be completed by all applicants		
11. Additional information that provides a better understanding of the proposed operation or business (attach additional sheets, if necessary):		
12. Proposed training (aircraft and/or flight simulation training device):		
Section E. The signature and the information contained in this form denote an intent to apply for an AOC, as appropriate.		
Type of organization:		
Signature:	Date: (day/month/year)	Name and title:
Section 2. To be completed by the Civil Aviation Authority (CAA)		
Received by (name and office):		Date received: (day/month/year)
Date forwarded to the Director General of Civil Aviation (DGCA) (day/month/year):		For: <input type="checkbox"/> Action <input type="checkbox"/> Information only
Remarks:		



Attachment B

INSTRUCTIONS FOR THE COMPLETION OF THE PROSPECTIVE OPERATOR'S PRE-ASSESSMENT STATEMENT AS SET OUT IN ATTACHMENT A

Section A. To be completed by all applicants.

1. Enter the official name and mailing address, telephone, fax and e-mail address of the company. Include any other name under which business is conducted if different from the official company name.
2. This address should be the physical location where the primary activities are based. It is where the offices of management required by legislation are located. If the address is the same as under item 1, enter "same". Include secondary business addresses and identify the type of operation conducted at such addresses.
3. Enter the estimated date when operations or services are intended to commence.
4. This information will be used to assign a company identification number, known as a designator for aircraft operating agency. You may indicate up to three, three-letter identifiers, such as ABC, XYZ. If all choices have already been allocated to other operators, another identifier will be allocated.
5. Enter the names, titles, telephone numbers and other contact details of management and key staff personnel.

Section B. To be completed by all applicants, as appropriate.

6. Indicate whether the applicant air operator intends to perform maintenance as an AMO or intends to contract out all or part of its maintenance, or perform its maintenance using an equivalent system.
7. The proposed type of air operation will be indicated. Check all applicable boxes.
8. The proposed maintenance organization ratings below will be indicated. Check all applicable boxes.
 - Aircraft maintenance. Large aeroplane, small aeroplane, helicopter.
 - Engine maintenance. Insert categories of engine (such as reciprocating, turbine and electric).
 - Components maintenance. Insert the standard numbering system (SNS) code derived from ASD/ATA S1000D specification for identifying the aircraft system applicable to the rating.
 - Specialized maintenance. Insert the class of approval necessary for the specialized maintenance using the following ratings: composite material maintenance, surface treatment such as peening, plating, painting, non-destructive testing, welding, other – unique processes accepted/approved by the DGCA.

Section C. To be completed by air operator applicants.

9. Data for all aircraft to be used to be provided. Provide a copy of the lease agreement for all leased aircraft.
 - a) Indicate number and types of aircraft by make, model and series, and indicate individual aircraft nationality and registration marks; and
 - b) Number of passenger seats and/or cargo payload capacity.

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10. Indicate geographic area(s) of intended operation and proposed route structure.

Section D. To be completed by all applicants.

11. Provide any information that would assist CAA personnel in understanding the type and scope of the operation or business to be performed by the applicant. If an air operator intends to contract out maintenance and inspection of its aircraft and/or associated equipment, identify the AMO selected and list the maintenance and inspections that the contracting organization will perform. Provide copies of all maintenance contracts where applicable.

12. For air operator applicants, identify the type of aircraft and/or flight simulation training devices, including flight simulators, to be used and the training to be provided.

Section E. To be completed by all applicants.

Signature of the pre-assessment statement by the accountable manager denotes an intent to seek certification as an air operator.

Section 2. The application is to be forwarded by the receiving office to the DGCA with all available information and a recommendation on the action to be taken.

Section 3. The DGCA will authorize the appropriate CAA office or section, where certification or approval action is to be continued, to designate a project manager and a certification team.

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