



Civil Aviation Authority of Sri Lanka

AERONAUTICAL INFORMATION SERVICE PROVIDER LICENSING PROCEDURE AIR NAVIGATION SERVICES SECTION

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AERONAUTICAL INFORMATION SERVICE PROVIDER LICENSING PROCEDURE AIR NAVIGATION SERVICES SECTION

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Section: Cover Page	Page: i	Date: 15-Oct-2025
SLCAP 2320– Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



List of Effective Pages

Page No.	Last Date of Revision	Effective Date	Page No.	Last Date of Revision	Effective Date
Page i	15 Oct 2025	15 Oct 2025	Page 22	15 Oct 2025	15 Oct 2025
Page ii	15 Oct 2025	15 Oct 2025	Page 23	15 Oct 2025	15 Oct 2025
Page iii	15 Oct 2025	15 Oct 2025	Page 24	15 Oct 2025	15 Oct 2025
Page iv	15 Oct 2025	15 Oct 2025	Page 25	15 Oct 2025	15 Oct 2025
Page v	15 Oct 2025	15 Oct 2025	Page 26	15 Oct 2025	15 Oct 2025
Page vi	15 Oct 2025	15 Oct 2025	Page 27	15 Oct 2025	15 Oct 2025
Page vii	15 Oct 2025	15 Oct 2025	Page 28	15 Oct 2025	15 Oct 2025
Page viii	15 Oct 2025	15 Oct 2025	Page 29	15 Oct 2025	15 Oct 2025
Page ix	15 Oct 2025	15 Oct 2025	Page 30	15 Oct 2025	15 Oct 2025
Page x	15 Oct 2025	15 Oct 2025	Page 31	15 Oct 2025	15 Oct 2025
Page 01	15 Oct 2025	15 Oct 2025	Page 32	15 Oct 2025	15 Oct 2025
Page 02	15 Oct 2025	15 Oct 2025	Page 33	15 Oct 2025	15 Oct 2025
Page 03	15 Oct 2025	15 Oct 2025	Page 34	15 Oct 2025	15 Oct 2025
Page 04	15 Oct 2025	15 Oct 2025	Page 35	15 Oct 2025	15 Oct 2025
Page 05	15 Oct 2025	15 Oct 2025	Page 36	15 Oct 2025	15 Oct 2025
Page 06	15 Oct 2025	15 Oct 2025	Page 37	15 Oct 2025	15 Oct 2025
Page 07	15 Oct 2025	15 Oct 2025	Page 38	15 Oct 2025	15 Oct 2025
Page 08	15 Oct 2025	15 Oct 2025	Page 39	15 Oct 2025	15 Oct 2025
Page 09	15 Oct 2025	15 Oct 2025	Page 40	15 Oct 2025	15 Oct 2025
Page 10	15 Oct 2025	15 Oct 2025	Page 41	15 Oct 2025	15 Oct 2025
Page 11	15 Oct 2025	15 Oct 2025	Page 42	15 Oct 2025	15 Oct 2025
Page 12	15 Oct 2025	15 Oct 2025	Page 43	15 Oct 2025	15 Oct 2025
Page 13	15 Oct 2025	15 Oct 2025	Page 44	15 Oct 2025	15 Oct 2025
Page 14	15 Oct 2025	15 Oct 2025	Page 45	15 Oct 2025	15 Oct 2025
Page 15	15 Oct 2025	15 Oct 2025			
Page 16	15 Oct 2025	15 Oct 2025			
Page 17	15 Oct 2025	15 Oct 2025			
Page 18	15 Oct 2025	15 Oct 2025			
Page 19	15 Oct 2025	15 Oct 2025			
Page 20	15 Oct 2025	15 Oct 2025			
Page 21	15 Oct 2025	15 Oct 2025			



Table of Contents

RECORD OF REVISIONS	II
LIST OF EFFECTIVE PAGES	III
HISTORY OF REVISION	IV
TABLE OF CONTENTS	V
LIST OF FIGURES	VII
FOREWORD	VIII
DEFINITIONS & ABBREVIATIONS	IX
DEFINITIONS.....	IX
ABBREVIATIONS.....	IX
PART I – GUIDANCE FOR THE APPLICANT	X
CHAPTER 01- AERONAUTICAL INFORMATION SERVICE PROVIDER LICENSE	1
1.1 REQUIREMENT FOR A LICENSE	1
1.2 APPLICATION FOR A LICENSE	1
1.3 ISSUE OF A LICENSE.....	1
1.4 VALIDITY OF THE LICENSE.....	2
1.5 SUSPENSION OR REVOCATION OF A LICENSE.....	2
1.6 TERMINATION OF SERVICES.....	3
CHAPTER 02- AERONAUTICAL INFORMATION SERVICE PROVIDER	4
COMPETENCY CERTIFICATE	4
2.1 REQUIREMENT FOR A CERTIFICATE OF COMPETENCY	4
2.2 APPLICATION FOR A CERTIFICATE.....	4
2.3 ISSUANCE OF A CERTIFICATE.....	4
2.4 VALIDITY OF A CERTIFICATE	5
2.5 RENEWAL OF CERTIFICATE.....	5
CHAPTER 03- PROCEDURE FOR THE INITIAL ISSUANCE OF AERONAUTICAL INFORMATION SERVICE PROVIDER CERTIFICATE OF COMPETENCY AND LICENSE	7
3.1 PRE-APPLICATION PHASE	7
3.2 FORMAL – APPLICATION PHASE	8
3.3 DOCUMENT EVALUATION PHASE.....	9
3.4 THE LICENSE/ CERTIFICATE ISSUANCE PHASE	12
3.5 RENEWAL OF AIR NAVIGATION SERVICE PROVIDER CERTIFICATE OF COMPETENCY.....	13
APPENDIX A –APPLICATION FORM FOR AIR NAVIGATION SERVICE PROVIDER LICENSE	15
AIR NAVIGATION SERVICE PROVIDER LICENSE APPLICATION FORM	15
APPENDIX B – APPLICATION/ RENEWAL FORM AERONAUTICAL INFORMATION SERVICE PROVIDER CERTIFICATE OF COMPETENCY	17
AERONAUTICAL INFORMATION SERVICE PROVIDER COMPETENCY CERTIFICATE	17
APPLICATION/ RENEWAL FORM	17
APPENDIX C – STATEMENT OF COMPLIANCE	20
CIVIL AVIATION AUTHORITY OF SRI LANKA.....	20
STATEMENT OF COMPLIANCE - AERONAUTICAL INFORMATION SERVICE PROVIDER	20

Section: Foreword	Page: v	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



CIVIL AVIATION AUTHORITY OF SRI LANKA

APPENDIX D – APPLICATION FOR AMENDMENTS TO THE AERONAUTICAL INFORMATION 27

SERVICE PROVIDER CERTIFICATE OF COMPETENCY/ LICENSE27

PART II – GUIDANCE FOR THE AUTHORITY 28

CHAPTER 04- GUIDELINES FOR ISSUING THE LICENSE/ CERTIFICATE OF COMPETENCY 29

(INITIAL/ RENEWAL)..... 29

4.1 RESPONSIBILITY29

4.2 INITIAL ISSUANCE.....29

4.3 RENEWAL OF A CERTIFICATE OF COMPETENCY32

4.4 SUMMARY OF ISSUANCE AND RENEWAL OF A CERTIFICATE OF COMPETENCY.....32

CHAPTER 05- COMPLIANCE WITH SLCA IS 100 REQUIREMENTS 34

5.1 ORGANIZATIONAL REQUIREMENTS34

5.2 PERSONNEL AND TRAINING REQUIREMENTS35

5.3 WRITTEN PROCEDURES.....35

5.4 FACILITIES35

5.5 EQUIPMENT.....36

5.6 SERVICES36

APPENDIX E – EVALUATION FORM: APPLICATION FOR THE AERONAUTICAL INFORMATION SERVICE PROVIDER LICENSE..... 37

APPENDIX F – EVALUATION FORM: APPLICATION FOR THE CERTIFICATE OF COMPETENCY (INITIAL ISSUE/ RENEWAL) 38

APPENDIX G – CHECKLIST FOR THE ISSUANCE OF COMPETENCY CERTIFICATE FOR THE PROVISION OF AERONAUTICAL INFORMATION SERVICES..... 39

APPENDIX H – CHECKLIST FOR EVALUATING MANUALS OF AISP 42

APPENDIX I: TEMPLATE - AERONAUTICAL INFORMATION SERVICE PROVIDER CERTIFICATE OF COMPETENCY AND AERONAUTICAL SERVICE PROVIDER LICENSE 44



Section: Foreword	Page: vi	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



List of Figures

Figure 3-1: The activities involved with the Certification and Licensing process..... 7
Figure 4-1: The activities involved with the Certification and Licensing process.....32



Section: Foreword	Page: vii	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Foreword

Sri Lanka as a Contracting State to the Convention on International Civil Aviation has an obligation to the international community to ensure that civil aviation activities under its jurisdiction are carried out in strict compliance with the Standards & Recommended Practices contained in the Annexes to the Convention on International Civil Aviation in order to maintain the required aviation standards.

In accordance with the Civil Aviation Act No. 14 of 2010, the provision of Aeronautical Information Services shall be subjected to a license issued by the Director General of Civil Aviation. The Service Provider, appointed under Section 6 of the Civil Aviation Act, is eligible to apply for such a license. According to the Civil Aviation Aeronautical Service Provider (Air Navigation and Aviation Security) Licensing Regulation No. 01 of 2023, any person responsible for providing Air Navigation Services related to Aeronautical Information Services must hold a valid Aeronautical Service Provider License (Air Navigation – Aeronautical Information Services) issued by the Director General of Civil Aviation.

In order to issue a License, the Civil Aviation Authority shall conduct an in-depth investigation to assess whether the services can be provided in accordance with the required standards and whether the service provider is competent to provide the organizational, personnel, equipment, facilities, services and written procedures as per regulatory requirements.

The regulatory requirements to be satisfied by the service provider for obtaining a License and the competency certificate are specified in the Civil Aviation Aeronautical Service Provider (Air Navigation and Aviation Security) Licensing Regulation No. 01 of 2023 and the Civil Aviation Implementing Standards 100 respectively. This Manual mainly describes the procedure that should be followed by the Aeronautical Information Service provider when applying for a License (Part I) and procedures used by the Authority to process applications for the issuance of such a License (Part II).

This manual is intended to ensure that the necessary standards are upheld when a License or Certificate is issued, suspended, or revoked. It is anticipated that license applicants will find this manual beneficial, as it outlines the administrative procedures involved, ensuring the process remains independent and transparent. The Authority reserves the right to modify the content of this manual as needed, without prior notice, to align with administrative requirements, and will communicate any changes to the users of the Manual.

Capt. Daminda Rambukwella
Director General of Civil Aviation and Chief Executive Officer,
Civil Aviation Authority of Sri Lanka
15.Oct.2025

Section: Foreword	Page: viii	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Definitions & Abbreviations

Definitions

Aeronautical Information – Information resulting from the assembly, analysis and formatting of aeronautical data.

Aeronautical Information Service (AIS) – A service established within the defined area of coverage responsible for the provision of aeronautical information/data necessary for the safety, regularity and efficiency of air navigation.

Aeronautical Information Service Provider (AISP) – The person who is having the License & competency certificate to provide the aeronautical information service.

Accountable Manager – A designated person who is directly responsible and finally accountable to the Director General of Civil Aviation for the provision of aeronautical services, in conformity with the requirements specified in this Implementing Standards.

Aeronautical Services - The services referred to under section 31 of the Civil aviation Act, No. 14 of 2010.

Certificate of Competency – A certificate issued by the Director-General attesting that the holder is competent to perform the tasks assigned to him with the required capability proficiency, Capacity and persistence for purpose of providing aeronautical services as specified in the Operations Specifications.

Service Provider - a service provider appointed under section 6 of the Civil aviation act, No. 14 of 2010.

Abbreviations

AIS	– Aeronautical Information Service
AIM	– Aeronautical Information Management
ANS	– Air Navigation services
CAASL	– Civil Aviation Authority of Sri Lanka
CEO	- Chief Executive Officer
DGCA	– Director General of Civil Aviation
DOC	– Document
ICAO	– International Civil Aviation Organization
IS	– Implementing Standards
PANS AIM	–Procedures for Air Navigation Services Aeronautical Information Management
PANS IM	– Procedures for Air Navigation Services Information Management
SLCA	-Sri Lanka Civil Aviation



PART I – Guidance for the Applicant

Section: Part I - Guidance for the applicant	Page: x	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Chapter 01- Aeronautical Information Service Provider License

1.1 Requirement for a License

As per the Civil Aviation Aeronautical Service Provider (Air Navigation and Aviation Security) Licensing Regulation No.01 of 2023, (hereinafter referred to as the Licensing Regulation) no person shall provide Aeronautical Information Services, within the territory of Sri Lanka and the oceanic airspace delegated to Sri Lanka without a valid Aeronautical Service Provider License issued by the Director General of Civil Aviation (herein after referred to as the Director General).

1.2 Application for a License

1.2.1 A Service provider who intends to provide Aeronautical Information Services shall apply to the Director General in the form specified in Appendix A, along with other documents specified in section 1.2.3, at least one hundred and twenty (120) days before the commencement of operations.

1.2.2 Separate applications shall be submitted for each licensing category, if a service provider intends to obtain licenses for two or more categories.

1.2.3 An application to obtain a License shall be accompanied by,

- a. Order published in a Gazette, appointing as a Service Provider.
- b. Details of financial resources to fulfill the obligations in the provision of intended services.
- c. Details of valid liability insurance adequately cover the applicant's liability that may arise out of the activities performed under the license.
- d. Written profile of the Accountable Manager with relevant supporting documents
- e. Written profile of the proposed post-holders with relevant supporting documents
- f. Payment receipt for initial fee for processing as per the CAASL Fees and Charges Regulation

1.2.4 The application shall be submitted by post to the below mentioned address:

The Director General of Civil Aviation
No.152/1, Minuwangoda Road,
Katunayake, Sri Lanka.

1.3 Issue of a License

1.3.1 The Director General shall conduct separate assessments to evaluate the competency of applicants for the provision of Aeronautical Information services in accordance with applicable standards and recommended practices.

1.3.2 The Director General may within a period of one hundred and twenty days (120) of the receipt of such an application and on being satisfied with the information provided and the assessments conducted may issue an Aeronautical Service Provider License (Air Navigation – Aeronautical Information Services), hereinafter referred to as a License.

1.3.3 Separate Aeronautical Service Provider Licenses may be issued for different licensing categories.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 1	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



1.3.4 The Director General may refuse to issue a license with reasons assigned.

1.4 Validity of the License

1.4.1 A License issued is valid from the date of issuance until or unless suspended or revoked.

1.4.2 The Director-General may suspend or revoke a License, on the following grounds,

- a. breach of any terms and conditions to which the License was subjected to
- b. non-compliance or refusal to comply with,
 - i. the terms and conditions of the license,
 - ii. any provisions of the Civil Aviation Act or the Licensing Regulation
 - iii. any instructions or directives issued by the Director General,
- c. if safety of services being provided appears to have been seriously compromised,
- d. inadequacy in the maintenance of specified standards with regard to the safety, efficiency or regularity of the Aeronautical Information services required for the validity of competency certificate,
- e. expiry of the period of validity of the Certificate of Competency issued for the provision of Aeronautical Information Services
- f. Failure of payment of the annual fee.
- g. Such other reasons as determined by the Director General, as the case may be, that would affect the smooth operation of the service provided under the license.

1.4.3 The validity of a License issued shall cease with immediate effect, if a change has been made in respect of the following without notifying the Director General and obtaining his approval in writing,

- a. change of ownership of the Licensee
- b. change of business name of the Licensee
- c. change of Memorandum and Articles of Association of the Licensee
- d. substantial changes of equipment, facilities, procedures or services used for the provision of the Aeronautical Information Services,
- e. change of the Accountable Manager of the Licensee; and change of nominated post-holders of the Licensee

1.5 Suspension or revocation of a License

1.5.1 Prior to the suspension or revocation of a license, the Director General may give written notice within a reasonable period of time to show cause in writing as to why the License should not be suspended or revoked.

1.5.2 The Director General shall consider the reasons sent by the licensee prior to making a decision about any suspension or revocation.

1.5.3 A holder of a license whose license is suspended or revoked shall forthwith surrender such License and all other assets and properties that the Civil Aviation Authority of Sri Lanka has made available to the Licensee, to the Authority.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 2	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



1.6 Termination of services

1.6.1 If a Licensee intends to terminate the provision of assigned services under the license issued to him on his own accord, the Licensee shall give a written notice of at least one hundred and eighty (180) days prior to the intended date of termination and surrender the License to the Director General and all properties and other assets issued to the Licensee should be returned to the Authority from the date of surrender of the license or earlier to that date.



Section: Procedure for the Initial Issuance of Certificate and License	Page:- 3	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Chapter 02- Aeronautical Information Service Provider

Competency Certificate

2.1 Requirement for a certificate of competency

2.1.1 An Aeronautical Information Service Provider (hereinafter referred to as the Service Provider) who applies for a license shall possess a Certificate of Competency (hereinafter referred to as certificate) for the provision of Aeronautical Information Services having satisfied the appropriate organization, personnel, equipment, written procedures, facilities and services as is prescribed by the Director General in the Implementing Standards 100.

2.2 Application for a certificate

2.2.1 A Service Provider for the grant of a certificate shall apply to the Director General with a duly completed Application form given in Appendix B, at least one hundred and twenty (120) days before the commencement of operations.

2.2.2 A Service provider who intends to obtain certificates for two or more categories shall make separate applications for each service category.

2.2.3 An application to obtain a certificate shall be accompanied with,

- a. The AIS-AIM Operation Manual
- b. The Quality Manual
- c. Training Manual/ Programme which includes initial and recurrent Training provided to operational personnel.
- d. The Office Administrative Procedures including Duty Roster Arrangements and Leave application & approval process
- e. Written profiles of the key post holders including the Accountable Manager, Chief of each operation/units, Training Manager & Quality Manager
- f. The evaluation fees prescribed by the Authority for initial issuance.
- g. Statement of Compliance

2.2.4 The fees for the initial issue of a certificate shall be as specified in the Civil Aviation Authority Fees and Charges Regulation No.1 of 2014 published in the Gazette Extraordinary No. 1869/32 dated 2nd July 2014 (hereinafter referred to as the "Fees and Charges Regulation").

2.3 Issuance of a Certificate

2.3.1 A Service Provider, for granting a certificate shall comply with the requirements contained in the Licensing Regulation and Civil Aviation Implementing Standards related to Aeronautical Information Services, issued by Director General from time to time in pursuant to section 120 of the Civil Aviation Act, No. 14 of 2010.

2.3.2 Specific requirements to be satisfied for the issuance of the Aeronautical Information Service Provider Competency Certificate shall be as specified in the Implementing Standards 100.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 4	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



CIVIL AVIATION AUTHORITY OF SRI LANKA

2.3.3 The Director General shall conduct separate assessments in accordance with applicable standards to evaluate the competency of the applicant in respect of Aeronautical Information Service that the applicant intends to provide. An applicant who completes such assessments satisfactorily will obtain an Aeronautical Information Service Provider Competency Certificate.

2.3.4 The applicant shall facilitate inspections and audits by the authority or by a qualified entity acting on its behalf and shall cooperate as necessary for the efficient and effective conduct of such inspections and audits.

2.4 Validity of a certificate

2.4.1 A certificate remains in force until it expires or is suspended or revoked.

2.4.2 A certificate shall be valid for a period of two years from the date of issue and subject to such terms and conditions as may be specified in such certificate.

2.4.3 Subject to compliance with the continued adherence to initial conditions of certification, the validity period of certificate may be renewed for a period of two years at a time.

2.4.4 The validity of a certificate shall cease with immediate effect if maintenance of standards with regard to the safety, efficiency or regularity of the respective aeronautical services required for the validity of certificate are inadequate.

2.4.5 The fees for the renewal and amendment of a certificate shall be as specified in the Civil Aviation Authority Fees and Charges Regulation.

2.5 Renewal of certificate

2.5.1 An application for the renewal of a certificate of competency shall be made on the prescribed application form not later than sixty (60) days before the expiry of the certificate.

Note: An application for the renewal of a certificate shall be made on the same form used for the initial issuance, specified in Appendix B.

2.5.2 Application for the renewal shall be accompanied with:

- a. AIS-AIM Operation Manual with significant changes (if any) have been made following the initial issuance of the certificate
- b. Training Manual/ Programme
- c. Quality Management Manual
- d. Office Administrative procedures of the Aeronautical Information Service Provider
- e. Written profiles of the key post holders (if there is any change to the previously submitted documents)
- f. The fee as prescribed by the CAASL Fees and Charges Regulation, for renewal.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 5	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



2.5.3 The application for the renewal of a certificate shall be submitted by post to the below mentioned address:

The Director General of Civil Aviation
No.152/1, Minuwangoda Road,
Katunayake,
Sri Lanka.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 6	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Chapter 03- Procedure for the Initial Issuance of Aeronautical Information Service Provider Certificate of Competency and License

The Flow chart outlines the activities involved with the certification and Licensing process.

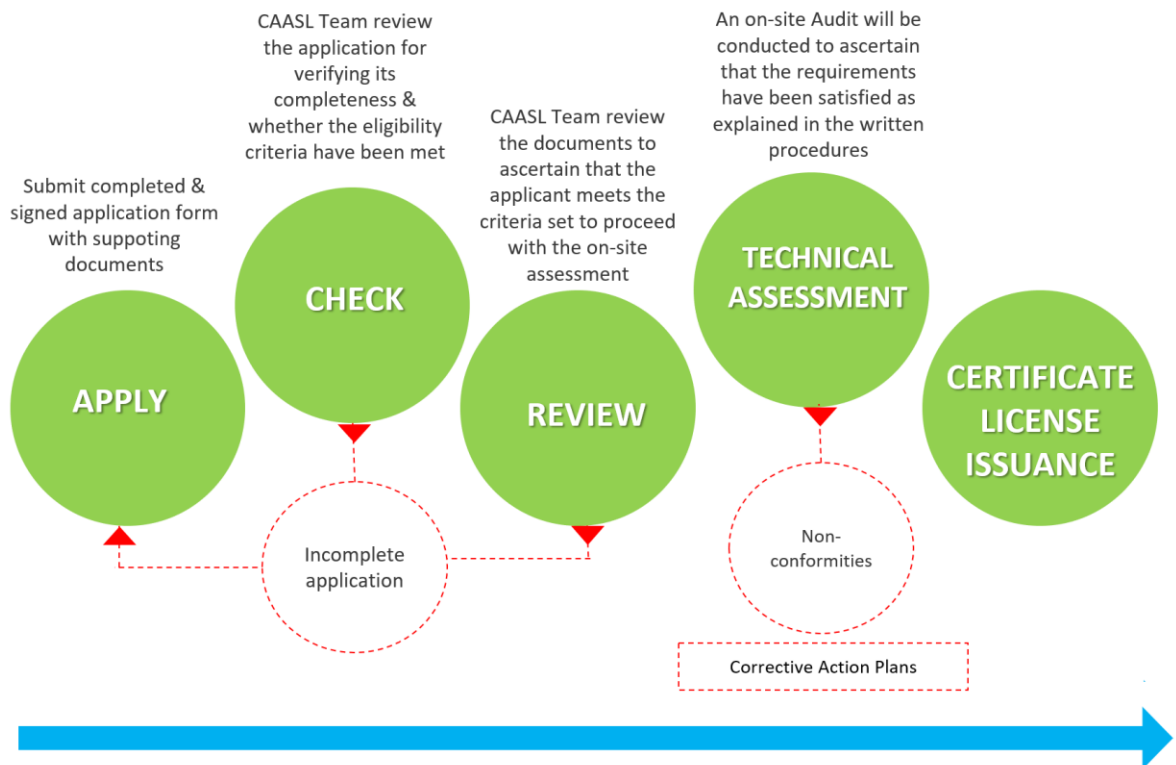


Figure 3-1: The activities involved with the Certification and Licensing process.

Initial issue of the certificate shall be subjected to five phases.

- a. Pre-application phase
- b. Formal Application Phase
- c. Document Evaluation Phase
- d. Operational demonstration and on-site audit phase
- e. The License/ Certificate issuance Phase

3.1 Pre-application phase

3.1.1 The pre-application phase should include a parallel assessment of the financial and legal status of the applicant and the proposed service provision.

3.1.2 A pre-application meeting will be held to ensure that the applicant has a clear understanding of the certification process and to provide a firm basis on which the Authority can prepare a quote for the issue of a certificate.

3.1.3 The following points will be discussed during this meeting:

- a. Applicable Regulations, Implementing Standards and Procedures
- b. The qualifications and experience required for the nominated post-holders.
- c. The certification process – The applicant must closely liaise with the certification team of the Authority

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 7	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



- d. The required form and content of the Formal Application and its attachments
- e. The fee which shall accompany the formal application will not be refunded if certification has not been completed within that period due to either a lapse or a delay on the part of the applicant. The following are examples of situations that can result in delays of certification,
 - i. Not meeting the schedule of events
 - ii. Submission of incomplete or unacceptable documents that must be returned for correction
 - iii. Nomination of unacceptable personnel as Nominated Post Holders, lack/ inadequacy of proficiency shown by the operations personnel
 - iv. Unsatisfactory standards/ procedures as revealed by audits/ inspections and / or demonstrations
 - v. 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 phase
 - vi. Any other situation other than above which is acceptable to Director General

3.1.4 Following the pre-application meeting, and if the applicant has decided to proceed, the formal Application shall be submitted along with the evaluation fees prescribed by the Authority for initial issuance which is non-refundable.

3.2 Formal – application phase

3.2.1 The formal application phase commences when the applicant forwards the application with other supporting documents, together with the evaluation fees. The application should be as per the given templates (Ref. Appendix A – B) and signed by the Chairman/ CEO or all members of the Board of Directors when applying as a company.

3.2.2 When the formal application is received, the Authority will arrange a formal application meeting.

3.2.3 The formal application must be submitted at least a hundred and twenty (120) days before the intended date of commencement of operations.

3.2.4 Manuals to be produced along with the formal application

3.2.4.1 The following Manuals (2 copies of each) shall accompany the application

- a. AIS-AIM Operation Manual
- b. Training Manual/ Programme
- c. Office Procedure/ Administrative Procedures
- d. Quality Management manual

3.2.5. Details of the contents of such various manuals are provided in this chapter under the Document Evaluation Phase.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 8	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



3.2.6 The Statement of Compliance

3.2.6 .1 The Statement of Compliance (Appendix C) shall be in the form of a detailed listing of applicable Regulations, Implementing Standards, and procedures that will be applicable to the proposed operations.

3.2.7 Nominated Post-holders

3.2.7.1 The duties, responsibilities and authorities of nominated post-holders shall be clearly defined. Delineation of functional tasks and lines of reporting shall be established and documented. The Service Provider shall have nominated the following main designated positions responsible for the provision of their respective services.

- a. Accountable Manager
- b. Chief of Operations/unit
- c. Manager Training
- d. Manager Quality Management

3.2.7.2 Some of the above positions may be combined depending on the size and complexity of the operation. Such arrangements should be acceptable to the Authority.

3.2.7.3 Designations mentioned above can vary depending on the scope and complexity of the organization.

3.2.7.4 Written profiles should be provided containing information on the qualifications and expertise, including licenses and ratings of personnel selected, for the above or equivalent positions.

3.3 Document Evaluation Phase

3.3.1 During this phase, the Authority will review the Manuals and documents provided in support of the formal application. The Manuals/ 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 the Manual will be returned to the applicant for corrective actions.

3.3.2 Manual Standards

3.3.2.1 Any Manual prepared by an applicant to be satisfied with the regulatory requirements and for the approval/ acceptance of the Director General 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/Name used to identify the Document:** This number/name shall be printed on each page of the Manual.
- b. **Logo of the applicant's organization:** This shall be printed on each page of the Manual.
- c. **Edition Number & Year of edition:** This shall be included on each page.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 9	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



CIVIL AVIATION AUTHORITY OF SRI LANKA

- d. **Title of the person whose authority the document is printed:** The title of the person who authorized the production of the Manual 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 updating/amending. The preamble of the Manual 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 a section basis.
- l. **Abbreviations:** All abbreviations and acronyms used in the Manual should be clearly explained in full
- m. **Definitions:** All words which require a specific meaning in relation to the matter being explained shall be defined clearly in order to avoid ambiguities
- 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, and it shall contain at least the 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 for ease of reference.

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

3.3.2.3 All Manuals submitted by the applicant to the Authority shall be duplicated 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 Authority attestation shall

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 10	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



be submitted whenever an amendment is forwarded to the Authority for approval/ acceptance.

3.3.2.4 All Manuals which contain information/ instructions which are subject to change shall be compiled in a loose-leaf binder (ring binders).

3.3.2.5 The responsibility designation for updating the Manuals submitted to the Authority from time to time to ensure the information contained therein is complete, accurate, and up to date, shall be clearly defined in the applicant’s documentation.

3.3.3 Use of language in Manuals

3.3.3.1 The applicant shall ensure that all Manuals 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

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

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

3.3.4 AIS-AIM Operations Manual

3.3.4.1 The AIS-AIM Operations Manual is how the applicant intends to write down all the processes of his intended operational functions. 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.

3.3.4.2 The Operations Manual shall contain the applicable procedures relating to the ICAO Docs PANS AIM & PANS IM (guided by ICAO Doc 8126) as minimum and shall be amended from time to time, and compliance with Implementing Standards 028 & 031.

3.3.5 Quality Management Manual

3.3.5.1 An applicant shall develop a Quality Management Manual in conformity with the Implementing Standards 028 & ICAO Doc 9839 & PANS AIM.

3.3.5.2 All processes and procedures of the applicant’s Quality management system shall be clearly documented in the Quality Management Manual and forwarded for the acceptance of the Director General.

3.3.5.3 The following topics as a minimum shall be covered in the applicant’s Quality Management Manual.

1. Quality policy & Objectives
2. Quality management System & its processes
3. Data acceptance as per Aeronautical Data Catalog
4. Data verification & validation
5. Monitoring, evaluation & internal audits
6. Root cause analysis & Corrective actions

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 11	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



3.3.5.4 ICAO Doc 9839 – Manual on the Quality Management System for Aeronautical Information Services may be used as guidance when developing the applicant’s Quality Management Manual.

3.3.6 Training Manuals, Training Programmes and Training Personnel (AIS Instructors)

3.3.6.1 The training manuals/ programmes are subject to approval of Director General and shall address all aspects of training pertaining to the respective operations. All the main AIS course syllabuses developed for operational personnel shall be approved by the Director General. The applicant may include additional materials for guidance and information for their operations personnel over and above the information required by the Authority.

3.3.6.2 The training manuals/ programmes 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/ programmes and shall have the appropriate training plans. If any portion of the training programmes is to be conducted by any other entity external to the service provider, relevant information concerning this shall be included.

3.3.6.3 All training organizations that will conduct training for operations staff shall have the prior approval of the Director General and shall conduct training as per the approved training programmes.

3.3.6.4 The Instructors used by the service provider shall have prior approval of the Director General.

3.3.6.5 All personnel imparting knowledge to operations personnel shall have prior approval of the Director General to conduct such training. The instructors shall have at least three years’ experience in the field & complete applicable training in the subject matter. Instructors approved by the Director General 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 shared is accurate & up to date. Training requirements for Instructors shall be stipulated in the AIS training manual.

3.3.6.6 Aeronautical Information Service Provider’s arrangements for checking the competence of their Operations Persons shall be in conformity with the procedures specified in the ICAO Doc 10066.

3.3.6.7 The Service Provider shall have arrangements to conduct refresher/ recurrent training programmes at regular intervals, transition, (conversion) requalification, upgrade, recency of experience, safety management and other specialized training as applicable in addition to the initial training arrangements for his operational staff.

3.4 The License/ Certificate issuance Phase

3.4.1 Upon successful completion of the document review and on-site Audit, the Authority will review the Compliance Statement to ensure all requirements have been satisfied for the grant of an Aeronautical Information Service Provider Competency Certificate.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 12	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



CIVIL AVIATION AUTHORITY OF SRI LANKA

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

3.4.3 Director General, if satisfied that the certification process has been conducted according to the required standards, may approve the issuance of the Aeronautical Information Service Provider Certificate.

3.4.4 Subject to compliance with the requirements of the Licensing Regulation No.01 of 2023, an Aeronautical Service Provider License for the Aeronautical Information service provision will be issued.

3.4.5 A Service Provider shall hold a valid Aeronautical Information Service Provider Certificate of Competency and valid Aeronautical Service Provider License issued by the Director General to engage in the provision of Aeronautical Information Services.

3.4.6 All activities associated with the certification shall be completed within a hundred and twenty (120) days from the date the fee is paid.

Note: A Template of an Aeronautical Information Service Provider Certificate of Competency and Aeronautical Service Provider License are available in Appendix I.

3.5 Renewal of Air Navigation Service Provider Certificate of Competency

3.5.1 The Application for Renewal

3.5.1.1 An applicant who is a holder of an Aeronautical Information Service Provider Competency Certificate (herein after referred to as certificate) shall comply with the requirements of this section for the renewal of his certificate. The applicant must apply for renewal to the Authority at least a minimum of 60 days prior to the date of expiry of the certificate. The requirements for renewal of the certificate shall be the same as for the initial issue.

3.5.2 A request for renewal of a Certificate shall be forwarded to the Director General in the prescribed form (Ref Appendix B) together with other supporting documents and the applicable fees.

3.5.3 Certificate renewal Audit

3.5.3.1 The purpose of this audit 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.

3.5.3.2 It will be necessary for the Authority to look into any or all aspects of the operation to ensure that the Service Provider 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 operations personnel, regulatory audits and incidents/accidents reports etc.

3.5.3.3 A formal Audit shall be carried out by the Inspectors prior to granting the renewal Certificate.

Section: Procedure for the Initial Issuance of Certificate and License	Page:- 13	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



3.5.4 Lapsed Certificate

3.5.4.1 A certificate after issue requires renewal prior to expiry of the validity to be specified thereon.

3.5.4.2 If the validity of certificate 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 Director General.

3.5.5 Amendment to a certificate/ License

3.5.5.1 Any requests for amendments to a certificate/ License shall be forwarded to the Director General for approval prior to the amendment is made. Appendix D - Amendments to the Air Navigation Service Provider Certificate of Competency/ License shall be used for forwarding such amendments for DGCA approval.



Section: Procedure for the Initial Issuance of Certificate and License	Page:- 14	Date:15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00

**Appendix A –Application Form for Air Navigation Service Provider License****Air Navigation Service Provider License Application Form**

Note - An applicant who intends to obtain a License for two or more categories shall make separate applications for each Licensing category.

A. Type of the Aeronautical Service [please (✓) tick only one]	
(a)	Air Traffic Services
(b)	Aeronautical Information Services
(c)	Aeronautical Communication Services
(d)	Aeronautical Aids for Communication, Navigation or Surveillance
(e)	Aviation Security Services

B. Details of the Applicant				
1	Name of the Organization			
2	Address of the Principle Place of Business			
3	Telephone	4	Fax	
5	Email			

C. Details of the Appointment as an Aeronautical Service Provider		
1	Order Reference	
2	Gazette Published Date	

D. Details of the Accountable Manager				
1	Name (Mr./ Mrs.)			
2	Designation/ Title			
3	Telephone	4	Fax	
5	Email			

E. Details of the Nominated Post-holder				
1	Name (Mr./ Mrs.)			
2	Designation/ Title			
3	Telephone	4	Fax	
5	Email			

FF F. Details of documents to be submitted
The Applicant must submit a Cover Letter with Certified True copies of following documents along with this application to Civil Aviation Authority for evaluation at least one hundred and twenty (120) days before the commencement of operations, [please tick (✓) for submitted documents]



CIVIL AVIATION AUTHORITY OF SRI LANKA

#	Documents	Yes	No
1	Minister Order published in the Gazette		
2	Details of Financial Resources to fulfill both actual and potential obligations in the provision of the intended services		
3	Details of valid liability insurance adequately covering the applicant's liability that may arise out of the activities performed under the license		
4	Written Profile of the Accountable Manager with relevant supporting documents		
5	Written Profile of the Post Holder with relevant supporting documents		
6	If the applicant has been convicted for breach of any aviation safety or security requirements, those details with supporting documents		
7	Payment Receipt for initial fee for Processing as per Fees & Charges Levied by CAASL		

G. Declaration			
I hereby apply the Aeronautical Service Provider License to provide Aeronautical Service referred in Section A, on behalf of the applicant specified in section B of this application and certify that the information given in this application and the supporting documents are true and correct.			
Name			
Designation / Title			
Telephone		Fax	
Email			
Signature		Date	

**Appendix B – Application/ Renewal Form Aeronautical Information Service****Provider Certificate of Competency****Aeronautical Information Service Provider Competency Certificate****Application/ Renewal Form**

Note - An applicant who intends to obtain Competency Certificates for two or more categories shall make separate applications for each service category.

Application type: (Select as appropriate)	
Initial Issuance	<input type="checkbox"/>
Renewal	<input type="checkbox"/>

1 Organizational Details	
1.1	Name of Organization
1.2	Address for Service <i>(Applicant is required to provide a physical address for service in Sri Lanka)</i>
	Tel. <input type="text"/> Fax. <input type="text"/> email <input type="text"/>
1.3	Postal Address <i>(if different from the above Address for Service)</i>
	Tel. <input type="text"/> Fax. <input type="text"/> email <input type="text"/>
1.4	Details of the person who may be contacted for further information:
	Name <input type="text"/>
	Position <input type="text"/>
	Tel. <input type="text"/>
	Fax. <input type="text"/>
	Email <input type="text"/>
2 Operational Details	
2.1	Service(S) to be provided <i>(Mark the appropriate boxes)</i> and Locations
i	Aeronautical Information Service <input type="checkbox"/>
	Aeronautical information products (including distribution services)
<input type="checkbox"/>	Aeronautical information publication (AIP) <input type="checkbox"/> AIP data se
<input type="checkbox"/>	Aeronautical information circular (AIC) <input type="checkbox"/> Obstacle data sets
<input type="checkbox"/>	NOTAM <input type="checkbox"/> Aerodrome mapping data sets
<input type="checkbox"/>	Instrument flight procedure data sets <input type="checkbox"/> Preflight information services
	Comments: <input type="text"/>
ii	Aeronautical Charts Service <input type="checkbox"/>

**CIVIL AVIATION AUTHORITY OF SRI LANKA**

	operational personnel.	
6	Has the organization been convicted for any offence such as breach of any aviation safety or security requirements? YES <input type="checkbox"/> NO <input type="checkbox"/> Note: If "YES", please provide details with the application on separate sheets.	
7	Declaration by Accountable Manager	
	I hereby certify that to the best of my knowledge and belief the statements made, the information and attachments supplied are complete and correct.	
	Name of the Accountable Manager:	
	Contact address	
	Tel No.	
	Fax No.	
	E-mail	
	Signature	
	Date	
Note: Submit the completed application together with the appropriate fee and supporting documentation to The Director General of Civil Aviation, No.152/1, Minuwangoda Road, Katunayake, Sri Lanka.		



Appendix C – Statement of Compliance



**Civil Aviation Authority of Sri Lanka
Statement of Compliance - Aeronautical information Service Provider**

The Statement of Compliance is a formal declaration that the Aeronautical Information Services provided by the applicant meets the minimum compliance requirements for the issue of an Aeronautical Information Service Provider Competency Certificate.

Ref	Item	Key elements	How to assess the evidence	compliance		Evidence/ Remarks	CAASL Comments
				Yes	No		
A. Compliance with the Regulation for the issuance of the competency certificate							
3.1	Organizational Requirements						
3.1.1	Organizational Management Systems	Accountability/ Responsibilities	1.AISP Objectives 2.Operational Procedures 3. JDs & Duty Lists				
		Competencies	1.sufficient number of competent personnel to perform the operation of the service. 2.Training for each position				
		Duties and responsibilities	1. the delegation of duties and responsibilities are consistent with the organizational chart/documentation of organizational structure. 2. Chain of command, within the organization.				



			-Managerial level -supervisory positions - other officers				
		Type of Services	1.Type of aeronautical information services that the provider provides, or propose to provide including purpose of services, location, and operation hours 2. evidence in AIS/AIM Operation Manual				
3.1.2	Quality Management System	Comply with the requirements in ISO28 & Doc 10066	1.Quality Procedures 2.Valid ISO certificate 3.root cause analysis 4.Continuous implementation				
3.1.3	Changes to the functional system	Documentation and records shall be compliant with the requirements	1.The existing procedures for changes. 2.evidence exists in AIS/AIM operation manual				
3.1.4	Facilitation cooperation &	1. The mechanism used to maintain the facilities 2. maintaining facilities - Workspace. - Equipment, hardware and software; and - Supporting services	1. maintain the facilities 2.evidence				
3.1.5	Findings & corrective actions	The mechanism to develop the	1.evidence for root cause analysis 2.CA plans				



		Corrections for the findings	3.implementation of CAP within the timeline				
3.2	Personnel & training Requirements						
3.2.3 3.2.4 3.2.5 3.2.6 3.2.7	Personnel	Accountable manager responsible for DGCA	1.person in charge of the services mentioned in the application form and operational functions				
3.2.8	Training	Adequate technical & operational capacity	1.Recruitment of personnel 2.Implementation of training programs 3.competemncy and performance assessments 4.Retention of trained personnel				
3.3	Written procedures						
3.3.1	Operation Manual	Format	1.Type written 2.signed by the accountable manager & approved by the DGCA				
		Instructions to perform duties	1. process exists to inform the ops staff regarding the operational instructions. 2. evidence of implementation				
		operational staff are familiar with any operational changes	1.procedures to be followed to ensure all operational staff are familiar with any operational changes that have been issued since they last performed operational duties				
		DGCA approval and	evidence				



		copy is attached				
		Documents and Records	1. system of record keeping is established with adequate storage of the record and reliable traceability including protection against damage, alteration, and theft. 2. documentation and records are compliant with requirements			
		The procedures to be followed for revising the operations manual	1. Reviewing frequency 2. procedures exist to update regularly. 3. evidence of implementation.			
		Documentation	1.evidence for the processes, check lists, forms & other supporting docs used to control and update			
		logbook	evidence			
3.3.2	Training Programme, plan and training records	1.training program 2.Training plan 3.training records	1. training requirements that include initial, recurrent, refresher & specialized training 2. compliance with the training plans & requirements			
3.3.3	Quality Management Manual	compliant with SLCA IS 028 requirements	1. evidence exists 2.continuous implementation 3. ISO accredited body's continuous reviews and recommendations 4.records for root cause analysis of noncompliance			
3.3.4	Contingency plans	Availability of contingency plans	1. evidence exists 2.type written plans 3.historical implementation			



3.3.5	Duty rosters	Written procedures in administrative procedure Manual	1.mechanism 2. evidence for each operational function				
3.3.6	Administrative procedures	1. Written procedures 2. requirements in SLCA IS 100 section 3.3.6.2 The AIS provider shall provide in the operations manual	1.requirements in 3.3.6.2 2.an analysis of the number of personnel required to perform the aeronautical information service taking into account the duties and workload required.				
3.3.7	Formal agreement /Arrangements	1. Establish the written formal arrangements between AIS providers and relevant data providers 2. formal agreement is compliant with requirements	1. agreement exists. 2. compliance with the requirements				
3.4	Facility requirements						
3.4	facilities	Same as 3.1.4	1.The AIS provider must have the facilities that are necessary for providing its AIS, including appropriate premises 2. evidence				
3.5	Equipment requirement						
3.5.1	Equipment requirement	Equipment requirement	1.The AIS provider must have the equipment that is necessary for providing				



			its AIS, equipment to allow operational personnel to perform their duties. 2. evidence				
3.6	Service requirement						
3.6	Requirements in SLCA IS 028 & IS 031	Comply with the requirements	1. requirements of the above two ISs which are marked as unsatisfactory during surveillance activities 2.internal audit records 3.corrective action records				
3.7	Other requirements						
3.7.1	Aligning with state regulatory & policy requirements which is issued by DGCA	Comply with the requirements	Evidence				
B. Compliance with SLCA IS 100 requirements for the issuance of the License							
3	Is the applicant will provide from the Listed service	Aeronautical Information Service including Aeronautical Charts	application form				
4.a	Were they appointed by the Minister for the provision of AIS& Charts	Documentation	evidence				
4.b	Have the required financial resources to fulfill both actual and potential obligations in the provision of the AIS & Charts	Documentation	evidence				
4.c	Do they have competency	Competency Certificate	evidence				
Section: Appendix C				Page:25		Date: 15-Oct-2025	
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure				1 st Edition		Rev No: 00	



	certificate for provision of the AIS & charts						
4.d	Any previous records regarding the breach of any aviation safety requirements	Documentation	records				
4.e	Have a valid liability insurance adequately covering his liability that may arise out of the activities performed under the license	Documentation	evidence				
Name of the Applicant							
Title							
Signature							
Date							
Telephone							
Email							
Assessment Conducted by AISP							
Signature /Date							
For Official use							
Accepted/ Rejected							
Applicant Notified							



APPENDIX D – Application for amendments to the Aeronautical Information

Service Provider Certificate of Competency/ License

Type of amendment: (Select as appropriate)	
Amendment to the License	<input type="checkbox"/>
Amendment to the Certificate	<input type="checkbox"/>

Name of the Service Provider		
License/ Certificate Number		
Details of the amendments		
Category to which the amendment is affected: (Select as appropriate)		
Organization	<input type="checkbox"/> Personnel	<input type="checkbox"/> Facilities <input type="checkbox"/> Equipment <input type="checkbox"/> Services <input type="checkbox"/>
No.	Reference Document (if any)	Proposed Amendment

Supporting documents are attached/ not attached.

I have enclosed a copy of official receipt Nodated for a sum of Rs.....payable to Civil Aviation Authority as fees for the proposed amendment/amendments attached to the Aeronautical Service Provider License/ Air Navigation Service Provider Competency Certificate issued by this Authority.

Date:

Signature of Authorized Person:



PART II – Guidance for the Authority

Section: PART II – Guidance for the Authority	Page:28	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Chapter 04- Guidelines for issuing the License/ Certificate of Competency (Initial/ Renewal)

4.1 Responsibility

Director Air Navigation Services and Civil Aviation Inspectors of Air Navigation Services Section (hereafter will be referred as the authority) are responsible for document review, review of written procedures and conducting interviews of nominated post-holders, assessments and on-site audits.

4.2 Initial Issuance

Initial issuing of the License and certificate shall be subjected to five phases.

- a. Pre-application phase
- b. Formal Application Phase
- c. Document Evaluation Phase
- d. Operational demonstration and on-site audit phase
- e. The License/ Certificate issuance Phase

4.2.1 Pre-application Phase

Pre-application phase involves tasks related to calling applications from suitable candidates for obtaining the License. The Authority will conduct a pre-application meeting to ensure that the applicant has a clear understanding of the certification process and to provide a firm basis on which the Authority can prepare a quote for the issue of a certificate.

(For more details on the Pre-application Phase refer Chapter 3.2)

4.2.2 Formal Application Phase

4.2.2.1 Application for obtaining a License

4.2.2.1.1 The Authority shall check for the completeness of the application and ensure the application for a License is accompanied with,

- a. Order published in a Gazette, appointing the applicant as an Aeronautical Information Service Provider.
- b. Details of financial resources to fulfill the obligations in the provision of Aeronautical Information Service.
- c. Details of valid liability insurance adequately covering the applicant's liability that may arise out of the activities performed under the license.
- d. Written profile of the Accountable Manager with relevant supporting documents
- e. Written profile of the Nominated Post-holders with relevant supporting documents
- f. Payment receipt for initial fee for processing as per the CAASL Fees and Charges Regulation

4.2.2.1.2 Incomplete applications and applications with incomplete supporting the documents mentioned above shall be rejected and the applicant will be informed with the reasons for rejection.

Section: Chapter 4	Page:4-29	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



4.2.2.2 Upon verification of meeting the above criteria, the applicant will be directed for obtaining the Certificate of Competency.

4.2.2.2.1 For obtaining the certificate of competency, the authority shall ensure a duly completed application for a certificate has been submitted along with,

- a. The applicant’s Manual of Operations
- b. Quality Management Manual
- c. Training Manual/ Programme
- d. Administrative Procedure Manual

The evaluation fees prescribed by the Authority for initial issuance.

Note: Checklists for Formal Application Phase are available in Appendix E and F

Appendix E – Evaluation form: Application for the Aeronautical Information Service Provider License

Appendix F – Evaluation form: Application for the Competency Certificate (Initial issue/ Renewal)

4.2.2.3 Instructions for the Inspectors

Tasks assigned –

- a. Verify the completeness of the application.
- b. Verify whether all required supporting documents are attached.
- c. Complete the evaluation forms given in Appendix E & F for license and certificate respectively.

4.2.3 Document Evaluation Phase

4.2.3.1 During this phase, the Authority will inspect the documents provided in support of the formal application. If any document or manual is found to be incomplete or deficient, or if noncompliance with regulations or safe operating practices, the document or manual should be returned to the applicant for corrective actions.

4.2.3.2 The Authority shall determine whether the Manuals submitted by the applicant align with the format and include the references specified in Chapter 3, section 3.3 Document Evaluation Phase of this Manual.

4.2.3.3 The Authority shall determine the adequacy and accuracy of information and instructions provided in the Manuals submitted by the applicant.

4.2.3.4 Checklist for the approval/ acceptance of Service Provider’s Manuals available in Appendix H shall be used for the evaluation process.

4.2.4 Operational demonstration and on-site audit phase

4.2.4.1 The authority shall ensure that,

- a. Facilities, services and equipment of the applicant are established in accordance with the Licensing Regulation and Implementing Standards 100 – Requirements to be satisfied for obtaining Aeronautical Information Service Provider Competency Certificate.
- b. The operating procedures make satisfactory provisions for the safety of aircraft.
- c. A Quality management system is in place acceptable to the Director General
- d. The proposed key post holders are adequately qualified.

Section: Chapter 4	Page:4-30	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



- e. The Operations personnel of the applicant are adequate in number and have the necessary competency to provide the respective services.

4.2.4.2 Guidance provided in the SLCAP 2300 – Ans Inspector Handbook may be used for preparation and conducting of the on-site audits.

4.2.4.3 Complete the Checklist available in Appendix G for the issuance of Certificate of Competency in Aeronautical Information Services.

4.2.4.4 The Audit Report shall include as a minimum the following information:

4.2.4.4.1 General information about the oversight conducted, including:

- a. The date(s) of the oversight audit
- b. The names of the audit team members
- c. The names and addresses of all sites audited

4.2.4.4.2 The assessed scope of audit, including reference to the applicable requirements considered.

4.2.4.4.3 Reference to the main documents of the applicant reviewed.

4.2.4.4.4 Details on identified non-conformity, corrective actions determined by the applicant and accepted by the authority as sufficient and their implementation and closure (if applicable)

4.2.4.4.5 Conclusions and recommendations based on the findings of the oversight process, including if applicable proposals for any condition to be attached to the certificate, and the initial plan of continuous surveillance for on-going compliance.

4.2.4.5 On-going compliance

The authority shall monitor the on-going compliance of the Service provider, according to the DGCA approved Annual Surveillance programme for the next period of 2 years and updates of operations Manual.

4.2.5 The License/ Certificate issuance Phase

Upon successful satisfaction of the results of on-site audit and Manual review, the Certificate of Competency and the Aeronautical Service Provider License will be granted by the Director General.

A Template of the Certificate of Competency and the License are available in Appendix I.

4.2.6 Time duration for each phase

- a. Pre-application phase shall take within 10 working days from the date that the authority receives applications for a License.
- b. Formal Application Phase shall be completed within 5 working days of receipt of the formal applications.
- c. Document Evaluation Phase - Manual review and the review of other written procedures shall be completed within 30 days of the receipt of such documents.
- d. Evaluation of Post-holders should be conducted within 15 days after completing the Manual review.
- e. The operational demonstration and inspection phase shall be completed within 30 days after completion of the document Evaluation Phase.

Non-compliance shall be addressed within 15 days after completing the on-site audit phase.

Section: Chapter 4	Page:4-31	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00

The License/ Certificate should be granted within 120 days from the receipt of a duly completed application for obtaining the License and certificate.

4.3 Renewal of a Certificate of Competency

4.3.1 The requirements for renewal of the certificate shall be the same as for the initial issue.

4.3.2 A request for renewal of a Certificate shall be in the prescribed form (Ref Appendix B) together with other supporting documents and the applicable fees.

4.3.3 Inspection for renewal of a certificate shall ensure that the service provider has maintained the initial conditions of certification and is in a position to continue maintaining the applicable certification standards.

4.3.4 A formal Audit covering all aspects shall be carried out by the authority prior to granting the renewal Certificate.

4.3.5 If the validity of certificate lapses, it may be restored as determined by the Director General.

4.4 Summary of Issuance and renewal of a Certificate of Competency

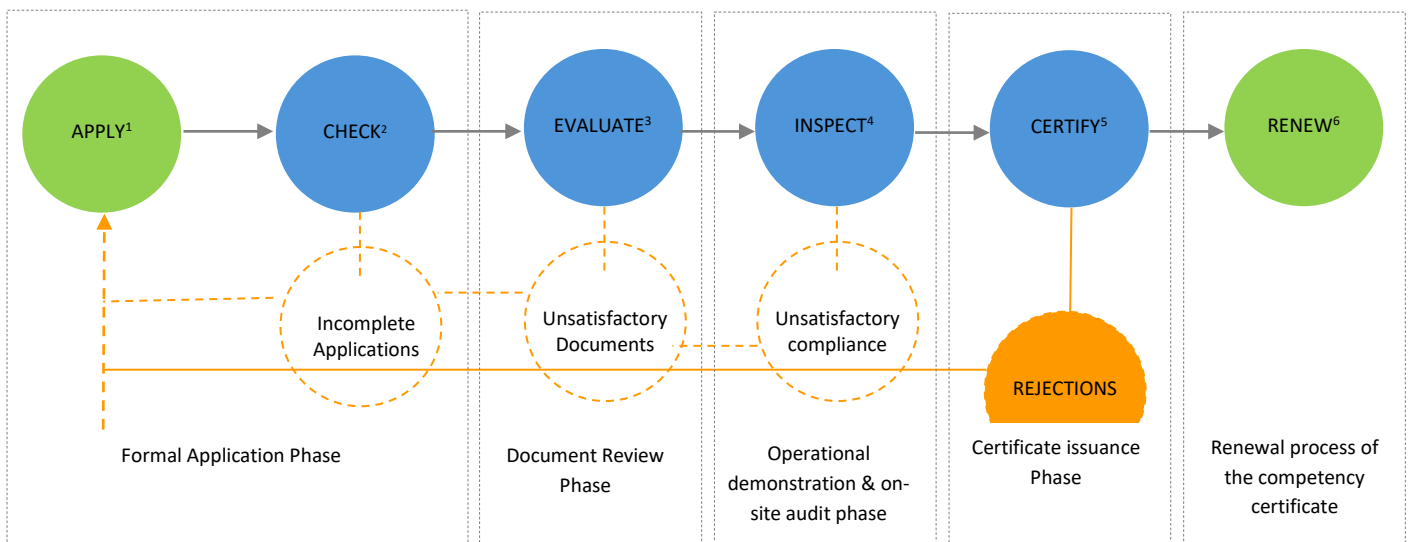


Figure 4-1: The summary of issuance and renewal of a Certificate of Competency.

Step 1 - Applicant who intends to apply for a competency certificate shall apply to the Director General in given forms with other supporting documents.

Step 2 - Completeness of the application and other supporting documents will be checked.

Step 3 - All supporting documents including the written profiles of proposed post-holders will be evaluated for acceptance.

Step 4 - The Authority will ensure that facilities, services and equipment of the applicant are established in accordance with the regulatory requirements.

Step 5 - Director General will issue the Certificate of Competency for the provision of Aeronautical Information Service.



Step 6 - After 2 years the Certificate of Competency shall be renewed.

Section: Chapter 4	Page:4-33	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Chapter 05- Compliance with SLCA IS 100 Requirements

5.1 Organizational Requirements

5.1.1 Management System

5.1.1.1 Aeronautical Information Service provider shall implement and maintain a management system in accordance with section 3.1.1 of Implementing Standards 100.

5.1.1.2 Service provider's management system should have documented the following information as minimum:

- a. The AIS provider's scope of activities
- b. Organizational Structure
- c. the Designations and names of nominated postholders
- d. organizational chart showing the lines of responsibility between the persons
- e. Criteria for the determination of Carder/Staff Requirement & calculation
- f. Job Functions and areas of responsibility
- g. List of duties for the subordinate staff
- h. Enforcement Policy
- i. Internal Audit Policy
- j. Staff Rules
- k. Record Keeping
- l. Document Control Procedure for operational documents
- m. Document control procedure for the AIS provider's management system documentation.
- n. designated positions and their responsibilities.
- o. training and performance assessment of staff and how that information is tracked
- p. Leave application & approval process

5.1.3 Contracted activities

5.1.3.1 Contracted activities include all the activities within the scope of the service provider's operations, in accordance with the terms of the certificate that are performed by other organizations which work under the oversight of the service provider or the Authority.

5.1.3.2 A contract should exist between the service provider and the contracted organization clearly defining the contracted activities and the applicable requirements, including training and competences requirements for technical personnel employed by the contracted organization.

5.1.3.3 A contract could take the form of a written agreement, letter of agreement, service letter agreement, memorandum of understanding, etc. as appropriate.

Section: Chapter 5	Page:5-34	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



5.2 Personnel and Training requirements

5.2.1 Service provider should have appointed an Accountable Manager who is responsible for establishing and maintaining an effective management system.

5.2.2 Service providers should have appointed nominated post-holders (Quality Manager, Manager Training as minimum) who are responsible to the Director General, in addition to the accountable manager in assuring compliance to this Implementing Standards and other Implementing Standards which are related to the provision of respective aeronautical services by a service provider.

5.2.3 The Training records should prove that he/ she has satisfactorily completed the initial training as per the Training Manual and shall obtain recurrent training in the respective subject areas.

5.2.4 The service provider should have defined the duties and responsibilities of the nominated post holders.

5.2.5 Service Provider should define the Designations, Carder requirement for each designated category and the criteria for determining such carder requirement.

5.2.6 Service Provider shall ensure that an adequate number of competent personnel are available at each designated category for the discharge of respective services.

5.2.7 Service providers should have a mechanism to ensure that personnel responsible for the provision of the respective service are adequately trained, competent and authorized for the job they are required to do.

5.2.8 Service Provider should have a mechanism in place to conduct capacity assessments within a defined periodicity and recruitment plans accordingly.

5.3 Written Procedures

5.3.1 Service Provider shall submit his Operations Manual which contains all information and instructions necessary to enable the personnel of the respective service providers to perform their duties, for the approval of Director General.

5.3.2 Any proposed amendment to the Operations Manual shall be submitted for the approval of the Director General, before the Manual is amended. Any change to the Manual shall not be implemented without the approval of the Director General.

5.3.3 Service Provider should have in place an office procedure Manual acceptable to the Director General which describes his operating procedures on Management system.

5.4 Facilities

5.4.1 Service Provider shall mention in his application,

- a. The facilities are available with him for the provision of Aeronautical Information services.
- b. Training Facility is available with him for the training, and assessment of his operational personnel.
- c. In case where the Service provider is unable to provide his own training facility, the arrangement for acquiring such facilities.

Section: Chapter 5	Page:5-35	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



5.5 Equipment

5.5.1 Service Provider shall mention his arrangement for installing equipment required for the provision of Aeronautical Information Services and how it is continuously maintained.

5.6 Services

5.6.1 Service Provider shall mention in his application the services intended to be provided.

5.6.2 Service Provider shall mention in his application, any contracting services intended to be obtained from external organizations and arrangements for obtaining such services.

Section: Chapter 5	Page:5-36	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



Appendix E – Evaluation Form: Application for the Aeronautical Information Service Provider License




Civil Aviation Authority of Sri Lanka Evaluation Form for License Application License Category – Aeronautical Information Services

Reference:			
Name of the Applicant:			
Check whether the following information has been provided in the application and acceptable			
Section/Description	Please tick (√) if duly completed/attached	Acceptable	Remark
A. Type of Air Navigation Service intended to be provided			
B. Details of the applicant			
c. Order reference & Gazette published date			
d. Details of the accountable Manager			
e. Details of the nominated post-holders			
f. Check whether the following documents are attached and acceptable			
f.1 Minister order published in the Gazette			
f.2 Details of the financial resources			
f.3 Details of valid liability insurance			
f.4 Written profile of Accountable Manager			
f.5 written profiles of nominated post-holders			
f.6 payment receipt for initial evaluation fee			
f.7 Has the organization been convicted for any offence such as breach of any aviation safety or security requirements?	Yes		No
Comment –			
Responsible officer/ Designation	Signature	Date	



**Appendix F – Evaluation Form: Application for the Certificate of Competency
(Initial issue/ Renewal)**

 Civil Aviation Authority of Sri Lanka Evaluation Form for the application of a Competency Certificate Aeronautical Information Services – (initial issuance/ renewal)			
Reference:			
Name of the Applicant:			
Check whether the following information has been provided in the application and acceptable			
Section/Description	Please tick (√) if duly completed/attached	Acceptable	Remark
1. AIS – AIM Operations Manual			
2. Quality Management Manual			
3. Training Manual/ Programme			
5. Written profile of the Accountable Manager			
6. Written profile of the Manager of HQ			
7. Written profile of the Manager of NOTAM			
8. Written profile of the Manager of QM			
9. Written Profile of the Manager ARO			
10. Written Profile of the Manager M & C			
11. Written Profile of the Manager Training			
Note: Separate written profiles shall be accompanied with this application for each of the nominated post holders mentioned above. In the renewal process, the names and titles of unchanged positions who continue in CAA accepted nominated posts, must be included in the form and written profiles do not need to be submitted again.			
9. Payment details (Initial issuance/ renewal)			
10. Statement of Compliance			
Has the organization been convicted for any offence such as breach of any aviation safety or security requirements?	Yes		No
Comment –			
Responsible officer/ Designation	Signature	Date	



Appendix G – Checklist for the issuance of Competency Certificate for the provision of Aeronautical Information Services



Civil Aviation Authority of Sri Lanka

Checklist for the issuance of Competency Certificate for the provision of Aeronautical Information Services

Report Reference:	
Name of the Applicant:	
Date of Audit:	
File Reference:	

Use the following abbreviations to indicate your observations and if the space is inadequate for comments use additional page with the reference number of the Area of Inspection. Recommendations are to be raised with the appropriate Ref. No according to the Area of Inspection.

S – Satisfactory; U – Unsatisfactory; N – Not Checked/ Not Applicable; I – Improvements Needed

Ref. No	Audit Area	Observation			
		S	I	U	N
1	Organizational Requirements				
1.1	Does the applicant have an organizational Policy signed by the Accountable Manager reflecting the organizational vision, mission and objectives in relation to administration, human resource, training, communication, etc.				
1.2	Does the applicant’s administrative document include the main key processes of a management system?				
1.2.1	service provider’s scope of activities				
1.2.2	Organizational Structure				
1.2.3	Carder Requirement				
1.2.4	Criteria for the determination of Carder				
1.2.5	Designations and names of nominated postholders				
1.2.6	Job Functions and areas of responsibility				
1.2.7	Details of subordinate staff and list of duties				
1.2.8	Internal Audit Policy & procedure				
1.2.9	Evidence for Internal Audit process				
1.2.10	Staff Rules				
1.2.11	Record Keeping				
1.2.12	Procedures describing the function of how the service provider monitors and ensures compliance with the applicable requirements				
1.2.13	Document control procedure				
1.3	Has the applicant contracted any activities within the scope of his operations to				



CIVIL AVIATION AUTHORITY OF SRI LANKA

	external organizations? (if yes mention such organizations)				
1.4	Are those external organizations approved by the Director General?				
1.5	Has the applicant given access to the Authority to oversight the contracted organizations?				
1.6	Has the applicant established a mechanism for the oversight of such contracted activities?				
1.7	Does a contract exist between the AISP and the contracted organization?				
1.8	Has the applicant established a mechanism for notification of changes?				
2	Personnel and Training requirements	S	I	U	N
2.1	Has the applicant appointed a nominated post holder (chief of each operation/unit) for effective discharge of duties and functions?				
2.2	Has AISP defined the duties and responsibilities of the nominated post-holder (Head of each operational unit)?				
2.3	Has the operational staff satisfactorily completed the training as per the Training Manual?				
2.4	Is each Manager nominated by the applicant adequately qualified to fulfill his responsibilities?				
2.5	Are competent personnel available for the effective management of QMS?				
2.6	Has the applicant determined the number of staff (management, operational and other) required for his service provision?				
2.7	Does the applicant have sufficient number of staff to perform the tasks?				
2.8	Has applicant established policies and procedures to enable recruitment and retention of adequately qualified personnel?				
2.9	Does the applicant have a Training organization approved by the DGCA?				
2.10	If not, what arrangement has been established to train the operational personnel?				
	Has a manager responsible for Training been nominated for conducting Training & assessments of the operations personnel?				
2.11	Have the staff being provided with a Job Description?				
3	Requirements of written Procedures	S	I	U	N
3.1	Has the applicant submitted an Operations Manual which is:				
	a. Type written				
	b. signed by the Accountable Manager				
	c. In the Correct format				
	d. Up to date				
3.2	Are the contents of applicant's operations manual adequate, accurate and complete?				
3.3	Does it include the procedure for amending the contents?				
3.4	Does it mention the frequency of updating the Manual?				
3.5	Does it describe how operational personnel are informed of amendments to the Operations Manual?				
3.6	Has the applicant established procedures for maintaining logbooks?				




CIVIL AVIATION AUTHORITY OF SRI LANKA

3.7	Has the applicant submitted Manuals which are acceptable to DGCA?				
3.8	Is the Training Programme developed by the applicant acceptable?				
3.9	Are there established procedures for developing Duty Rosters of operational personnel?				
3.10	Has the applicant submitted an Office Procedure/ administrative procedure Manual which is acceptable to DGCA?				
3.11	Has the applicant established formal agreements with source data providers related to aeronautical data quality management.				
4	Recording and retention of data for investigative purposes	S	I	U	N
4.1	Has the service provider described a mechanism for keeping records?				
4.2	Does it sufficiently describe the means of recording and the retention period of management and operational data?				
5	Facility requirements	S	I	U	N
5.1	Have all the AIS units been provided with adequate facilities for the provision of their respective services?				
5.2	Have all AIS centers, been provided with adequate rest facilities for staff off watch break periods?				
6	Equipment requirements	S	I	U	N
6.1	Have the AIS units established by the applicant been provided with the following equipment as minimum:				
	a. AFTN, AMHS terminals means of reception and transmission of Information				
	b. NOTAM distribution & receiving				
	c. Alternate method of dissemination/receiving of information				
	d. a power supply				
	e. appropriate and current maps and charts				
	f. telephone communications				
	g. log keeping system				
Comment –					
Responsible officer/ Designation		Signature		Date	



Appendix H – Checklist for evaluating Manuals of AISP

 Civil Aviation Authority of Sri Lanka Checklist for the Evaluation of Manuals					
Report Reference:					
Name of the Applicant:					
Date of Audit:					
File Reference:					
<p>Use the following abbreviations to indicate your observations and if the space is inadequate for comments use additional page with the reference number of the Area of Inspection. Recommendations are to be raised with the appropriate Ref. No according to the Area of Inspection.</p> <p style="text-align: center;">S – Satisfactory; U – Unsatisfactory; N – Not Checked/ Not Applicable; I – Improvements Needed</p>					
Ref. No	Audit Area	Observation			
1	AIS-AIM Operation Manual	S	I	U	N
1.1	General policies & procedures				
1.2	Job functions and services as per the application form provided by the AISP				
1.3	duties & responsibilities of each officer/staff				
1.4	Process and procedure of each service & functions by the AISP				
1.5	Processes & procedures adherence with the regulatory requirements with SLCA IS 028 PANS AIM				
1.6	Record management				
2	Quality Management Manual	S	I	U	N
2.1	Processes & procedures adherence with the regulatory requirements with SLCA IS 028 & PANS AIM				
2.2	Data validation & verification				
2.3	Comply with Data Catalog and its specifications				
2.4	Internal audits, monitoring & corrective actions, management reviews and quality audit trainings				
2.5	Continuous implementation of ISO certifications				
3	Administrative and procedure Manual	S	I	U	N
3.1	Processes & procedures				
3.2	Mechanism				
3.3	Verify the evidence for each operational function				
3.4	Leave & duty rosters				



CIVIL AVIATION AUTHORITY OF SRI LANKA

3.5	Job functions, duties & responsibilities				
	Other				
Comment –					
Responsible officer/ Designation		Signature		Date	



Appendix I: Template - Aeronautical Information Service Provider Certificate of Competency and Aeronautical Service Provider License

FOURTH SCHEDULE
LICENCE
Format of the Aeronautical Service Provider Licence



AERONAUTICAL SERVICE PROVIDER LICENCE(.....)*

Pursuant to the Civil Aviation Aeronautical Service Provider(Air Navigation and Aviation Security) Licensing Regulations No. 01 of 2023, made by the Minister in charge of the subject of Aviation under section 117(2)(p) of the Civil Aviation Act No. 14 of 2010 read with sections 6, 10, 11,26, 31 (d),(e),(f),(g) and (h) of that Act.

This Aeronautical Service Provider Licence is issued to:

"Name of the person to whom the licence is issued"

of

"Address of the principal place of business"

To provide

"Relevant Aeronautical Service"

in conformity with the issued Competency Certificate and subject to in compliance with Terms and Conditions specified in Third Schedule of the Civil Aviation Aeronautical Service Provider(Air Navigation and Aviation Security) Licensing Regulations No. 01 of 2023 and Special Terms and Conditions with Privileges set out overleaf.

License No: XXXX/XX/XX

This licence shall be valid until or unless suspended or revoked.

Date of Issue: XXXXXXXX

Director General of Civil Aviation
Civil Aviation Authority of Sri Lanka

* Air Navigation or Aviation Security (as Applicable)

Section: Appendix I	Page:44	Date: 15-Oct-2025
SLCAP 2320–Aeronautical Information Service Provider Licensing Procedure	1 st Edition	Rev No: 00



<p style="text-align: center;">AERONAUTICAL SERVICE PROVIDER LICENCE</p> <p style="text-align: center;">License No: XXXX/XX/XX</p> <hr/> <p style="text-align: center;">Special Conditions</p> <hr/> <p>1. ----- 2. ----- 3. -----</p> <hr/> <p style="text-align: center;">Privileges</p> <hr/> <p>1. ----- 2. ----- 3. -----</p> <hr/> <p style="text-align: center;">Special Terms and Conditions</p> <hr/> <p>1. ----- 2. ----- 3. -----</p> <p style="text-align: right;">Director General of Civil Aviation Civil Aviation Authority of Sri Lanka</p>
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