



Civil Aviation Authority of Sri Lanka

AIR TRAFFIC SERVICE PROVIDER LICENSING PROCEDURE AIR NAVIGATION SERVICES SECTION

1st Edition - 2025



**AIR TRAFFIC SERVICE PROVIDER
LICENSING PROCEDURE
AIR NAVIGATION SERVICES SECTION**

1st Edition - 2025

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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, provision of Air Traffic 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 Air Traffic Services must hold a valid Aeronautical Service Provider License (Air Navigation – Air Traffic 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 CAASL Implementing Standards 075 respectively. This Manual mainly describes the procedure that should be followed by the Air Traffic 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
03.11.2025

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Abbreviations

AIS	Aeronautical Information Services
ANS	Air Navigation Services
ATS	Air Traffic Services
CAASL	Civil Aviation Authority of Sri Lanka
CNS	Communication Navigation Surveillance
DANS	Director Air Navigation Services
DGCA	Director General of Civil Aviation
ICAO	International Civil Aviation Organization
MET	Meteorology
OJT	On-the-Job Training
OPS	Operations
PANS OPS	Procedures for Air Navigation Services – Aircraft Operations



Definitions

When the following terms/abbreviations are used in this document, they have the following meanings. The meanings of the terms/abbreviations given here are limited to this document only.

Definitions

Accountable Manager – A designated person who is directly responsible and finally accountable to the Director General for the provision of aeronautical services, in conformity with the requirements specified in the Implementing Standards 075.

Aerodrome Control Service – Air traffic control service for aerodrome traffic.

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 Services – Services referred to under section 31 of the Civil Aviation Act No. 14 of 2010.

Aeronautical telecommunication service – A telecommunication service provided for any aeronautical purpose.

Air Navigation Services – Services provided under following services,

- a. Air Traffic Services
- b. Aeronautical Communication Services
- c. Aeronautical Information Services
- d. Aeronautical Aids for Communication, Navigation and Surveillance

Air traffic control service – A service provided for the purpose of:

- a) Preventing collisions:
 1. between aircraft, and
 2. on the manoeuvring area between aircraft and obstructions; and
- b) Expediting and maintaining an orderly flow of air traffic.

Air traffic service – A generic term meaning variously, flight information service, alerting service, air traffic advisory service, air traffic control service (area control service, approach control service or aerodrome control service).

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Approach control service – Air traffic control service for arriving or departing controlled flights.

Area control service – Air traffic control service for controlled flights in control areas.

Certificate of Competency – 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.

Flight information service – A service provided for the purpose of giving advice and information useful for the safe and efficient conduct of flights.

Functional system – a combination of procedures, human resources and equipment, including hardware and software, organized to perform a function within the context of ATM/ANS and other ATM network functions

Instrument flight procedure design service (IFPDS) – A service established for the design, documentation, validation, continuous maintenance and periodic review of instrument flight procedures necessary for the safety, regularity and efficiency of air navigation.

Instrument flight procedure design service provider – A body that provides an IFPDS.

Operations Specifications – The document which specifies the nature and scope of the activities of the service provider and mode and manner of operations.

Post holder – An individual who is responsible to the accountable manager in assuring compliance to Implementing Standards in the provision of aeronautical services by a service provider.

Search and Rescue service – The performance of distress monitoring, communication, coordination and search and rescue functions, initial medical assistance or medical evacuation, through the use of public and private resources, including cooperating aircraft, vessels and other craft and installations.

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Chapter 1 – Air Traffic 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 Air Traffic 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 Air Traffic 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 with,

- 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 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 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

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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 Air Traffic 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 – Air Traffic Services), hereinafter referred to as a License.

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

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 air traffic 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 Air Traffic 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.

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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 change of equipment, facilities, procedures or services used for the provision of the Air Traffic Services,
- e. change of the Accountable Manager of the Licensee; and
- f. 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.

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.

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Chapter 2 – Air Traffic Service Provider Competency Certificate

2.1 Requirement for a certificate of competency

2.1.1 An Air Traffic 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 Air Traffic Services having satisfied the appropriate organization, personnel, equipment, written procedures, facilities and services as is prescribed by the Director General in the Implementing Standards 075.

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 Manual of Operations for Air Traffic Services
- b. Safety Management System Manual
- c. Training Manual/ Programme which includes initial and recurrent Training provided to operational personnel.
- d. ATS Security Programme
- e. Office Procedure/ Administrative Manual of the Air Traffic Service Provider
- f. Written profiles of the key post holders including the Accountable Manager, Head of Air Traffic Service, Safety Manager, Training Manager (as a minimum)
- g. The evaluation fees prescribed by the Authority for initial issuance.
- h. 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").

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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 CAASL Implementing Standards related to Air Traffic 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 Air Traffic Service Provider Competency Certificate shall be as specified in the Implementing Standards 075.

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 each air navigation service that the applicant intends to provide. An applicant who completes such assessments satisfactorily will obtain an Air Traffic 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.

2.3.5 The Director-General may issue a separate certificate for Air Traffic Service Provider, subject to satisfactory completion of the assessments and approval of the Operations Manual.

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.

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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. Manual of Operations with significant changes (if any) have been made following the initial issuance of the certificate
- b. Safety Management System Manual
- c. Training Manual/ Programme
- d. ATS Security Programme
- e. Office Procedure/ Administrative Manual of the Air Traffic Service Provider
- f. Written profiles of the key post holders (if there is any change to the previously submitted documents)
- g. The fee as prescribed by the CAASL Fees and Charges Regulation, for renewal.

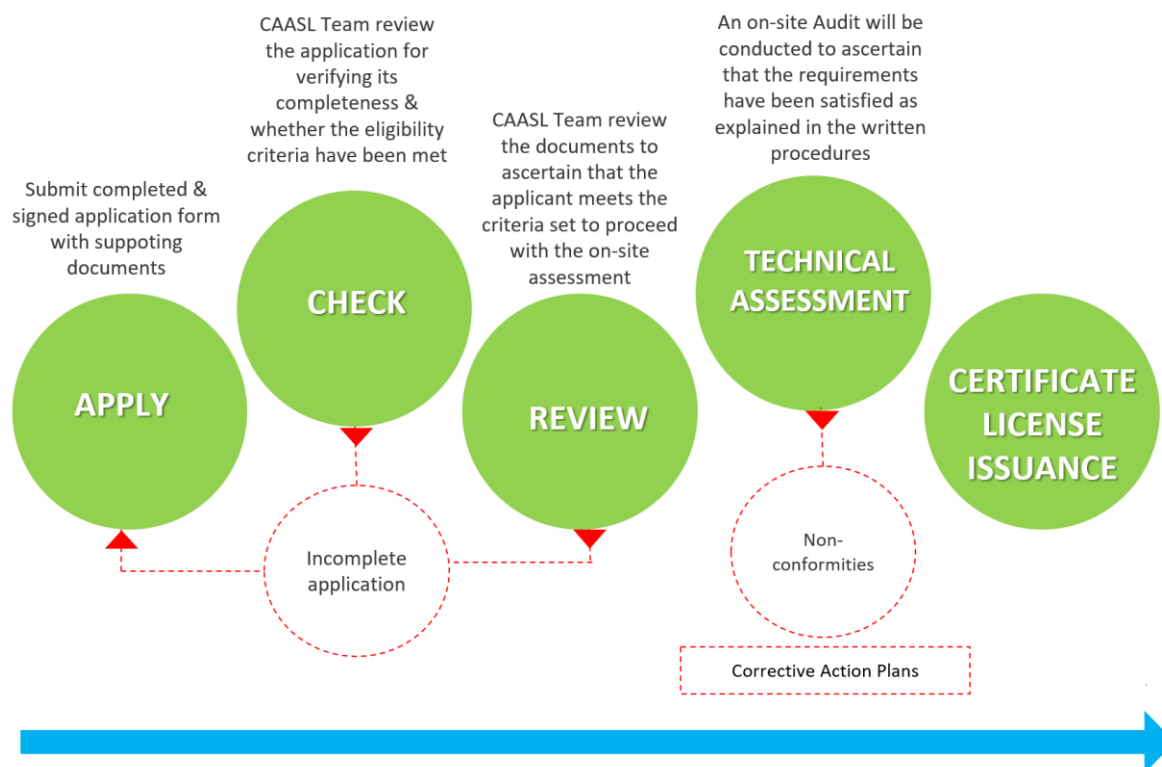
2.5.3 The application for the renewal of a certificate shall be submitted by post to the below mentioned address:

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

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Chapter 3 – Procedure for the Initial Issuance of Air Traffic Service Provider Certificate of Competency and License

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



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

- Pre-application phase
- Formal Application Phase
- Document Evaluation Phase
- Operational demonstration and on-site audit phase
- 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.

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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
- 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.

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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. Manual of operations
- b. Safety Management Systems Manual
- c. Training Manual/ Programme
- d. ATS Security Programme
- e. Office Procedure/ Administrative Manual

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

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 service.

- a. Accountable Manager
- b. Head of Air Traffic Services
- c. Safety Manager
- d. Manager Training

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.

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3.2.7.4 The minimum qualifications of the nominated post holders can be found in the Appendix M – Checklist for evaluating the Nominated Post Holders.

3.2.7.5 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 used to identify the Document:

This number 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. Title of the Manual, Edition Number & Year of edition:

This shall be included on each page.

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:

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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 abbreviation and acronyms used in the Manual should be clearly explained in full

m. Definitions: All words which requires 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.

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

3.3.2.3 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.

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

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

3.3.2.6 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 Operations Manual

3.3.4.1 The Operations Manual is the means by which the applicant intends to control all aspects of his intended operation. Through the Operations Manual the operator shall ensure

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that all operations personnel are properly instructed in their particular duties & responsibilities and the relationship of such duties to the operation as a whole.

3.3.4.1 The Operations Manual shall contain the applicable information/instructions relating to the topics listed in the ICAO Doc. 4444 (PANS – ATM) as minimum and shall be amended from time to time.

3.3.5 Safety Management System Manual

3.3.5.1 An applicant shall develop a Safety Management System in conformity with the CAASL Implementing Standards 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 the safety of operations and to mitigate such risks and errors.

3.3.5.2 All processes and procedures of the applicant’s safety management system shall be clearly documented in the Safety 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 Safety Management System Manual.

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

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3.3.5.4 SLCAP 2250 – Safety Management Guide for Air Traffic Service Providers may be used as guidance when developing the applicant’s Safety Management Manual.

3.3.6 Training Manuals, Training Programmes and Training Personnel (Safety 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 ATC course syllabuses developed for operations 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 and Simulator facilities 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 one year’s experience in the field & applicable knowledge of 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 training manual.

3.3.6.6 ATS Provider’s arrangements for checking the competence of their Operations Persons shall be in conformity with the procedures specified in the SLCAP 3060 issued by the Director General.

3.3.6.7 The Service Provider shall have arrangements to conduct refresher/ recurrent training programmes at regular intervals, transition, (conversion) requalification, upgrade,

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recency of experience, safety management and other specialized training as applicable in addition to the initial training arrangements for his operational staff.

3.3.7 ATS Provider Security Programme

3.3.7.1 Applicant shall ensure that an ATS Security programme is developed in conformance with the National Civil Aviation Security Programme. The applicant's Security Programme shall explain as to how effective security requirements would be implemented at the proposed facilities/ equipment.

3.4 Operational demonstration and on-site Inspection phase

3.4.1 Detailed requirements for Organization, Personnel, Facilities, Equipment and Services are set out in Licensing Regulations, Implementing Standards and this Guidance Manual. The purpose of this on-site inspection is to ensure that the requirements have been satisfied as explained in the written procedures of the applicant for details.

3.4.2 The 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 have been provided to allow staff to carry out their duties in compliance with regulations and instructions of the organization.

3.4.3 Some of the work involved in the conduct of operations may be contracted out. The sub-contracting of services can be accomplished only from other organization(s) acceptable to the Director General. Facilities, services, and equipment of any nature that are provided under contract shall normally be subjected to routine inspections conducted by the Service Provider.

3.5 The License/ Certificate issuance Phase

3.5.1 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 Air Traffic Service Provider Competency Certificate.

3.5.2 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.

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

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

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

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

3.5.7 Accordingly, the License/ Certificate issuance Phase includes the following tasks:

- a. Evaluation of audit Results
- b. Compliance Verification
- c. Preparation of Certification Report
- d. Senior Management Approval / Endorsement
- e. Notification to the Service Provider
- f. Issuance of Certificate
- g. Recording all documentation

Note. A Template of an Air Traffic Service Provider Certificate of Competency and Aeronautical Service Provider License are available in Appendix N.

3.6 Renewal of Air Navigation Service Provider Certificate of Competency

3.6.1 The Application for Renewal

3.6.1 An applicant who is a holder of an Air Traffic 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.

3.6.2 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.

3.6.3 Certificate renewal Audit

3.6.3.1 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.

3.6.3.2 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

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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.

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

3.6.4 Lapsed Certificate

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

3.6.4.2 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.

3.6.5 Amendment to a certificate/ License

3.6.5.1 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.

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Appendix A – Application Form for Air Navigation Service Provider License

Form: CAA/AS/041



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]

1.	Air Traffic Services	<input type="checkbox"/>
2.	Aeronautical Information Services	<input type="checkbox"/>
3.	Aeronautical Communication Services	<input type="checkbox"/>
4.	Aeronautical Aids for Communication, Navigation or Surveillance	<input type="checkbox"/>
5.	Aviation Security Services	<input type="checkbox"/>

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				

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]

	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 Air Navigation Service Provider Certificate of Competency

Form: CAA/AS/042



Air Navigation 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

Renewal

1 Organizational Details

1.1 Name of Organization

1.2 Address for Service
(Applicant is required to provide a physical address for service in Sri Lanka)

Tel.		Fax.		email	
------	--	------	--	-------	--

1.3 Postal Address
(if different from the above Address for Service)

Tel.		Fax.		email	
------	--	------	--	-------	--

1.4 Details of the person who may be contacted for further information:

Name	
Position	
Tel.	
Fax.	
Email	

2 Operational Details

2.1 Service(S) to be provided *(Mark the appropriate boxes)* and Locations

i	Air Traffic Services	<input type="checkbox"/>	
	Aerodrome Control Service	<input type="checkbox"/>	Location (Aerodrome) <input style="width: 100%;" type="text"/>
	Approach Control Service	<input type="checkbox"/>	Location (Aerodrome) <input style="width: 100%;" type="text"/>
	Area Control Service	<input type="checkbox"/>	Location (Airspace) <input style="width: 100%;" type="text"/>
	PANS – OPS Service	<input type="checkbox"/>	Location (Aerodrome/Airspace) <input style="width: 100%;" type="text"/>

	Aeronautical SAR Service	<input type="checkbox"/>	Location	
Comments:				
ii	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:				
iii	Aeronautical Communication Service	<input type="checkbox"/>		
<input type="checkbox"/>		<input type="checkbox"/>		
<input type="checkbox"/>				
Comments:				
iv	Aeronautical Aids for Communication Navigation or Surveillance	<input type="checkbox"/>		
Communications		<input type="checkbox"/>		
<input type="checkbox"/>	Aeronautical Mobile Service (air-ground communication)	<input type="checkbox"/>	Aeronautical Fixed Service (ground-ground communications)	
<input type="checkbox"/>	Aeronautical Mobile Satellite Service (AMSS)			
Comments:				
Navigation		<input type="checkbox"/>		
<input type="checkbox"/>	Provision of VOR	<input type="checkbox"/>	Provision of DME	
<input type="checkbox"/>	Provision of ILS	<input type="checkbox"/>	Provision of GNSS	
Comments:				
Surveillance		<input type="checkbox"/>		
<input type="checkbox"/>	Provision of Primary Surveillance Radar (PSR)	<input type="checkbox"/>	Provision of Secondary Surveillance Radar (SSR)	
<input type="checkbox"/>	Provision of ADS – B	<input type="checkbox"/>	Provision of ADS -C	
<input type="checkbox"/>	MLAT	<input type="checkbox"/>		

	Comments:	
2.2	Proposed Commencement Date:	
2.3	Daily Hours of Service:	
3	List of documentation to be provided with the application	
3.1	Manual Title	Amendment no. and date
<input type="checkbox"/>	Manual of Operations	
<input type="checkbox"/>	SMS Manual	
<input type="checkbox"/>	Quality Manual	
<input type="checkbox"/>	Training Manual	
4	Details of Human Resources	
4.1	Total number of staff intended to be deployed	
	Number of Management staff	
	Number of operations staff	
	Subordinate Staff	
	No of contracted staff (if any)	
4.2	Details of the key post-holders	
	Nominated Post	Name & Organizational Title
	Accountable Manager	
	Head of the Service Provision	
	Safety Manager	
	Quality Manager	
	Training Manager	
<p>Separate written profiles shall be accompanied with this application for each of the nominated post holders mentioned above. Note: In the renewal process, the names and titles of unchanged positions who continue in CAA accepted senior roles, must be included in the form and need <u>not</u> to submit written profiles.</p>		
5	Training Details (<i>Indicate type of Training to be undertaken within the organization for operational personnel</i>)	
	Aerodrome Control Training	<input type="checkbox"/>
	Approach Control (Procedural) Training	<input type="checkbox"/>
	Approach Control (Surveillance) Training	<input type="checkbox"/>
	Area Control (Procedural) Training	<input type="checkbox"/>
	Area Control (Surveillance) Training	<input type="checkbox"/>
	PANS – OPS Training	<input type="checkbox"/>
	Search and Rescue Training	<input type="checkbox"/>
	Aeronautical Information Services Training	<input type="checkbox"/>
	Aeronautical Communication Services Training	<input type="checkbox"/>
	Training on Aeronautical aids for Communication, Navigation or Surveillance	<input type="checkbox"/>

	If training will not be provided within the service provider's organization, details of arrangements how training will be provided to operational personnel.	
6	<p>Has the organization been convicted for any offence such as breach of any aviation safety or security requirements?</p> <p>YES <input type="checkbox"/></p> <p>NO <input type="checkbox"/></p> <p>Note: If "YES", please provide details with the application on separate sheets.</p>	
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	
<p>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.</p>		

Appendix C – Statement of Compliance

Form No: CAA/AS/043



Civil Aviation Authority of Sri Lanka Air Traffic Service Provider Competency Certificate Statement of Compliance

The Statement of Compliance is a formal declaration that the Air Traffic Services, provided by the applicant meets the minimum compliance requirements outlined in the CAASL Implementing Standards 075 for the issue of an Air Traffic Service provider Competency Certificate. This Compliance Matrix demonstrates to the Authority that the applicant understands the requirements of the CAASL Implementing Standards 075, and that the applicant has put in place the appropriate instructions, procedures, and practices as the minimum compliance requirements for the issue or renewal of an Air Traffic Service Provider Competency Certificate.

Regulatory Reference	Regulatory Requirement	Applicant's Comments/ Manual Reference	CAASL Comments (for CAASL use only)	Remark
3.1.1 Management System				
3.1.1.1	The Management System			Organizational Chart
	(a) clearly defines lines of responsibility and accountability			
	(b) describes the overall objectives of safety (Policy signed by the Accountable Manager)			Objectives, SPIs, SPTs
	(c) includes a process to review the management system			
	(d) includes policy for recruitment & retention of operations personnel			Policy Document
	(e) includes a formal means of communication (internally/externally)			Ex. Memorandums
3.1.1.2	Key Roles are identified			Key Management Roles
3.1.1.3	All key processes of a Management System are documented			Administrative Manual
3.1.1.4	Established a mechanism to monitor the compliance with regulatory requirements			Inspection Follow-up process

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3.1.1.5	Established a mechanism to monitor the functional system			How progress is reviewed
3.1.1.6	Management system is proportionate to size and risk of operations			
3.1.2 Safety Management System				
3.1.2.1	SMS in place in accordance with IS 070			SMM
3.1.2.2	(a) Appointed Safety Manager is adequately trained & qualified			Written profile of the Safety Manager
	(b) Adequately trained & qualified SMS Team available			Details of the Safety Team & qualifications
3.1.2.3	Established procedures for conducting Safety Assessments			SMM reference
3.1.3 Other Organizational Requirements				
3.1.3.1	(a) Any contracted services/ activities to external organizations			
	(b) If YES, are those organizations certified by the DGCA			certification
3.1.3.2	If NO, have DGCA approval been sought			Request to seek DGCA approval
3.1.3.3	Established procedures for oversight process of such contracted activities			Administrative Manual Ref.
3.1.3.4	Availability of written agreements with contracted organizations			Contract details (MoU, LoA)
3.1.4 Changes to the functional system				
3.1.4.1	Established procedures for change management			change Management process
3.1.5 Facilitation and cooperation				
3.1.5.1	Availability of audit counter-part (Senior Management) aware of the regulatory oversight mechanism			
3.1.6 Facilitation and cooperation				
3.1.6.1	Availability of audit follow-up process			Audit follow up process
3.1.7 Immediate reaction to a safety problem				
3.1.7.1	Established procedures on resolving safety concerns			Progress review process
3.1.8 Occurrence Reporting				
3.1.8.1	Established an occurrence Reporting			
3.1.9 Provision of aeronautical data				
3.1.9.1	Availability of written procedures for the provision of aeronautical data			
3.2 Personnel and Training requirements				
3.2.1	Appointed an Accountable Manager			
3.2.2, 3.2.3	Appointed a suitable-qualified Head of Air Traffic Services			
3.2.4	Appointed Senior Management positions (Safety, Training as min.)			

3.2.5	Defined the required number of operational personnel for each ATC unit			
3.2.6	Established recruitment & retention policies			
3.2.7.a	Developed Training Programmes			
3.2.7.b	Developed procedures to ensure how competency is maintained			Rating Renewal process
3.2.7.c	Issued Job Descriptions for the Operational personnel			
3.3 Written Procedures				
3.3.1	Developed a Manual of Operations			
3.3.2	Developed Training Programmes			
3.3.3	Developed ATS Safety Management Manual			
3.3.4	Developed ATS Security Programmes			
3.3.5	Developed Contingency Plans for each ATS Unit			
3.3.6	Written procedures are available for the development of ATC Rosters			
3.3.7	Developed an administrative Manual (Office Procedure Manual)			
3.3.8	Established Service Level Agreements with other service providers (as applicable)			
3.4 Facility Requirements				
3.4.1	Established Control Centers for the provision of Aerodrome, Approach, Area Control services			
3.4.2	Established Aeronautical Rescue Coordination Centre			
3.4.3	Established Rest Facilities for operational personnel			
3.4.6	Established Training Facilities			
3.5 Equipment Requirement				
3.5	Each ATS Centre is provided with at least the minimum equipment required for Communication, Navigation and Surveillance			
3.6 Service Requirements				
3.6	Working methods & operating procedures are compliant with Regulatory requirements established in Implementing Standards related to Air Traffic Services			
3.7 Other Requirements				
3.7	Ensure the Policies related to Search and Rescue, Infrastructure development, safety, security align with National Plans			
3.7.1	Established procedures to notify the users of relevant operational information/ any changes to operational status of services and facility			NOTAM
3.8 Specific Human Factor Requirements				

3.8.1	Developed policies to ensure problematic use of psychoactive substances does not affect the provision of ATC services.			
3.8.2	Developed policies for Stress Management of the operations personnel			
3.8.3	Developed policies for the management of Fatigue of the operations personnel			
3.8.4	Ensure the ATC rostering system manage the risks of occupational fatigue of the operational personnel			
Name of the Applicant				
Designation				
Signature				
Date				
Telephone				
Email				
Assessment Conducted by ANSI				
Signature /Date				
Accepted/ Rejected				
Applicant Notified				

APPENDIX D – Application for amendments to the Air Navigation Service Provider Certificate of Competency/ License

Form: CAA/AS/044



Application for amendments to the Air Navigation Service Provider Certificate of Competency/ License

Type of amendment: (Select as appropriate)

Amendment to the License

Amendment to the Certificate

Name of the Service Provider

License/ Certificate Number

Details of the amendments

Category to which the amendment is affected: (Select as appropriate)

Organization

Personnel

Facilities

Equipment

Services

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:

intentionally left blank

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Chapter 4 – 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 Division (hereafter will be referred as the authority) are responsible for document review, review of written procedures and conducting interviews (as necessary) 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 a Service Provider.
- b. Details of financial resources to fulfill the obligations in the provision of intended services.

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- 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.

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

3.2.2.2.1 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. Safety Management System Manual
- c. Training Manual/ Programme
- d. ATS Security Programme
- e. Written profiles of all the proposed key post holders including the Accountable Manager, Head of Air Traffic Services, Safety Manager, Training Manager (as minimum)
- f. The evaluation fees prescribed by the Authority for initial issuance.

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

Appendix E – Evaluation form: Application for the Air Traffic 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

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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 – N, 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 CAASL Implementing Standards 75 – Requirements to be satisfied for obtaining Air Traffic Service Provider Competency Certificate.
- b. The operating procedures make satisfactory provisions for the safety of aircraft.
- c. A safety management system is in place acceptable to the Director General
- d. Security arrangements are made as per the ATS Security Programme acceptable to the Director General
- e. the proposed key post holders are adequately qualified.
- f. 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 Air Traffic Services.

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

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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 and Safety Management System 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 N.

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.

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- d. Evaluations 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.
- f. Non-compliances shall be addressed within 15 days after completing the on-site audit phase.
- g. 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.

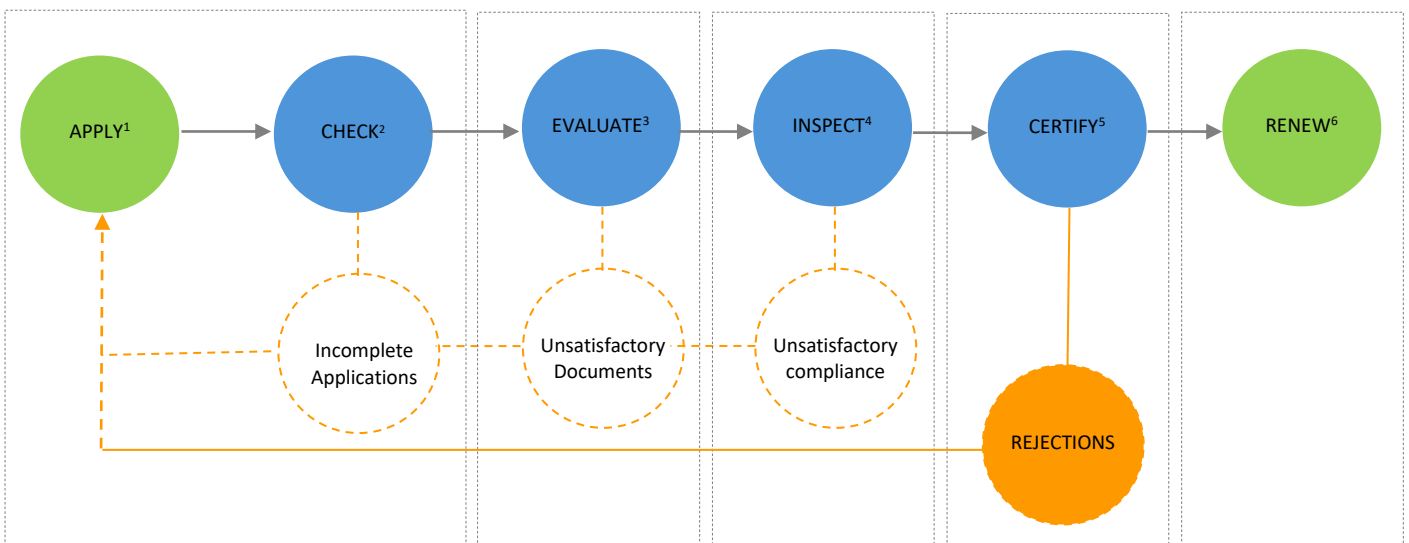
4.3.2 A request for renewal of a Certificate shall be in the prescribed form (Ref Appendix B) together with other supporting documents and the applicable fees.

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



Formal Application Phase

Document Review
Phase

Operational
demonstration & on-
site audit phase

Certificate issuance
Phase

Renewal process of
the competency
certificate

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 the 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 respective Air Navigation Service

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

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Chapter 5 – Responding to the Change Management of Service Provider

5.1 A service Provider who intends to introduce a change to his functional system shall conduct a safety assessment and show that the change will be safe and compliant with Regulatory requirements.

5.2 A service Provider who intends to introduce a change to his functional system shall notify the Authority and explain the change will not affect the safety of operations.

5.3 Upon receiving such notification from the Service Provider, that requires prior approval, the Authority shall:

- a. verify the service provider's compliance with the applicable requirements before issuing the change approval
- b. Take immediate appropriate action when the service provider implements changes that require prior approval, without having received approval from the Authority.
- c. Changes which do not affect the Service Provider's functional system may be introduced without prior approval from the Authority.
- d. The Authority may identify the scope of the change and shall decide on whether to review the change or not for approval. The authority shall request any additional information needed from the service provider to support this decision.
- e. During the continuous oversight process, the Inspectors shall assess the information provided in the notification to verify whether the actions taken comply with applicable requirements.
- f. In case of any non-compliance, the Authority shall:
 - i. notify the service provider of the non-compliance and request further information
 - ii. in case of level 1 and level 2 findings, request corrective actions, and take enforcement measures as applicable

5.4 Upon receipt of a notification for a proposed change that requires prior approval, the respective Inspectors of the authority should:

- a. formally acknowledge the receipt of the notification in writing within 5 working days
- b. assess the proposed change in relation to the applicable requirements within 30 working days after the receipt of all the evidence supporting the proposed change
- c. assess the actions proposed by the service provider to show compliance; and
- d. Notify the service provider of its approval/rejection.

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Note: The notification of a change should not be considered complete until the following information is provided:

- a. Name of the organization notifying the change
- b. Title of the change
- c. Purpose of the change
- d. Reason for the change
- e. Place of implementation
- f. Planned date of Implementation
- g. Details of the change and its consequences (Hazard analysis)
- h. The list of the service providers and other stakeholders that are affected by the change
- i. Identity of a point of contact for communications with the Authority.

5.5 Change to the name of the Service Provider

A name change alone does not require the authority to audit the organisation unless there is evidence that other aspects of the organisation have changed. Upon receipt of the notification and the relevant documentation of the service provider, the authority may reissue the certificate. Action by the authority may include suspension, limitation or revocation of the service provider's certificate.

5.6 Changes to nominated post holders

When the service provider submits a change to any of his nominated post holders, the authority should re-evaluate the qualifications of the newly proposed post-holder.

5.7 Approval of change management procedures for functional systems

The process of granting approval for the service provider's change management requests should be in accordance with procedure established in SLCAP 2050 – Manual for the oversight of ATSP's Safety Management system.

Note: Notification for a change that does not require prior approval by the authority, should be acknowledged (receipt of the notification) in writing within 5 working days from receipt.

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Chapter 6 – Compliance with IS 75 Requirements

6.1 Organizational Requirements

6.1.1 Management System

6.1.1.1 Service provider shall implement and maintain a management system in accordance with section 3.1.1 of CAASL Implementing Standards 75.

6.1.1.2 Service provider’s management system should have documented the following information as minimum:

- a. Organizational Policy signed by the accountable manager to confirm that the service provider will continuously work in accordance with the applicable requirements
- b. the service provider’s scope of activities
- c. Organizational Structure showing the lines of responsibility and accountability between the persons
- d. Carder Requirement
- e. Criteria for the determination of Carder
- f. the Designations and names of nominated postholders
- g. Job Functions and areas of responsibility
- h. List of duties for the subordinate staff
- i. Enforcement Policy
- j. Internal Audit Policy
- k. Staff Rules
- l. Record Keeping
- m. procedures describing the function and specifying how the service provider monitors and ensures compliance with the applicable requirements
- n. Document control procedure for the service provider’s management system documentation.

6.1.2 Safety Management System

6.1.2.1 The ATS Provider should have applied to the Director General for the acceptance of his SMS, with a printed copy of the Safety Management Manual (SMM).

6.1.2.1 The Service Provider’s Safety Management System shall be in accordance with the requirements specified in CAASL Implementing Standards 075.

6.1.2.2 Initial acceptance process of the ATS Provider’s Safety Management System shall be in accordance with Chapter 4, 4.1 of SLCAP 2050 – Manual for the Oversight of SMS of the ATS Provider.

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6.1.3 Contracted activities

6.1.3.1 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 works under the oversight of the service provider or the Authority.

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

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

6.1.4 Service Provider's Change Management procedure and notification of changes

6.1.4.1 Upon receipt of a notification of change, the Authority shall decide whether to review the change or not. The Authority may request any additional information needed from the service provider to support this decision.

Any change to the Service Provider's functional system shall be subject to a safety assessment conducted to show that the change will be safe and compliant with the regulations. The authority shall assess such safety studies conducted by the Service Provider and approve before implementing the change.

6.1.4.2 Service provider should have in place written procedures for managing, assessing and, if necessary, mitigating the impact of changes to its service provision.

6.1.4.3 The procedures should include the requirements of submitting, for approval, by the service provider to the Authority and not been used until approved by the Authority.

6.1.4.4 Service provider shall record all change management processes.

6.2 Personnel and Training requirements

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

6.2.2 Service provider should have appointed *nominated post-holders* (Head of Air Traffic Services, Safety Manager, Manager Training as minimum) who are responsible to the Director General, in addition to the accountable manger 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.

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6.2.3 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.

6.2.4 Service provider should have defined the duties and responsibilities of the nominated post holders.

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

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

6.2.7 Service provider 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.

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

6.3 Written Procedures

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

6.3.2 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.

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

6.4 Facilities

6.4.1 Service Provider shall mention in his application,

- a. the facilities available with him for the provision of the Air Traffic services.
- b. Training Facility available with him for the training, and assessment of his operational personnel.

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- c. In case where the Service provider is unable to provide his own training facility, the arrangement for acquiring such facilities.

6.5 Equipment

6.5.1 Service Provider shall mention his arrangement for installing equipment required for the provision of Air Traffic Services and how it is continuously maintained.

6.6 Services

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

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

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Appendix E – Evaluation Form: Application for the Air Traffic Service Provider License

Form:CAA/AS/045



Civil Aviation Authority of Sri Lanka

Evaluation Form – Application for an Aeronautical Service Provider License License Category – Air Traffic 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)

Form: CAA/AS/046



Civil Aviation Authority of Sri Lanka Evaluation Form for the application of a Competency Certificate Air Traffic 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. Operations Manual			
2. Safety Management Manual			
3. Training Manual/ Programme			
4. ATS Security Programme			
5. Written profile of the Accountable Manager			
6. Written profile of the Head of ATS			
7. Written Profile of the Safety Manager			
8. 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 need <u>not</u> to be submitted.			
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 Air Traffic Services

Form: CAA/AS/047



Civil Aviation Authority of Sri Lanka

Checklist for issuance of Competency Certificate for the provision of Air Traffic 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 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	Enforcement Policy				
1.2.9	Internal Audit Policy				
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	Does the applicant have an SMS acceptable to DGCA? (Ref. SMS checklists)				
1.3.1	Has the ATS provider's change management process been included in the requirement of conducting safety assessments for significant airspace reorganization, introduction of new ATS procedures, equipment etc.?				
1.4	Has the applicant contracted any activities within the scope of his operations to external organizations? (if yes mention such organizations)				
1.5	Are those external organizations approved by the Director General?				
1.6	Has the applicant given access to the Authority to oversight the contracted organizations?				
1.7	Has the applicant established a mechanism for the oversight of such contracted activities?				
1.8	Does a contract exist between the ATSP and the contracted organisation?				
1.8	Has the applicant established a mechanism for notification of changes?				
1.9	Has the applicant established an occurrence reporting system including mandatory & voluntary reporting?				
1.10	Have procedures been established to ensure that safety-related reports received via the occurrence reporting system, including air traffic incident reports, failures and degradations of ATM facilities, equipment and systems are Systematically reviewed?				
2	Personnel and Training requirements	S	I	U	N
2.1	Has the applicant appointed a nominated post holder (Head of ATS) for effective discharge of duties and functions?				
2.2	Has the ATSP defined the duties and responsibilities of the nominated post-holder (Head of ATS)?				
2.3	Has the nominated post-holder satisfactorily completed the training as per the Training Manual?				
2.4	Has a Safety Manager been nominated for the implementation and effective maintenance of the SMS?				
2.5	Is the Safety Manager nominated by the applicant adequately qualified to fulfill his responsibilities?				
2.6	Are competent personnel available for the effective management of SMS?				
2.7	Is there any method established to determine the staffing need of each ATC Centre/ sector?				
2.7.1	Has the applicant determined the number of staff (management, operational and other) required for his service provision?				
2.8	Does the applicant have sufficient number of staff to perform the tasks?				
2.9	Has applicant established policies and procedures to enable recruitment and retention of adequately qualified personnel?				
2.10	Does the applicant have a Training organization approved by the DGCA?				
2.10.1	<u>If not</u> , what arrangement has been established to train the operational personnel?				

2.11	Has a manager responsible for Training been nominated for conducting Training & assessments of the operations personnel?				
2.12	Have the staff being provided with a Job Description?				
2.13	Do the JDs adequately state the duties, responsibilities and qualification requirements of the particular job role?				
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? (Ref. Operations Manual evaluation checklist)				
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?				
3.7	Has the applicant submitted an SMS Manual which is acceptable to DGCA? (Ref. SMM evaluation checklist)				
3.8	Has the applicant developed a training programme that is considered acceptable? (Ref. Training Program evaluation)				
3.9	Is the ATS Security Programme developed by the applicant acceptable? (Ref. ATS Security Manual evaluation checklist)				
3.10	Are there established procedures for developing Duty Rosters of operational personnel?				
3.11	Has the applicant submitted an Office Procedure/ administrative procedure Manual which is acceptable to DGCA?				
3.12	Has the applicant established formal agreements with the AIS provider related to aeronautical data quality management.				
3.13	Have procedures been established for:				
	(a) Obtaining ATC License				
	(b) Conducting assessments for ATC Ratings				
	(c) conducting proficiency assessments for ATC Rating renewals?				
3.14	Is there an acceptable procedure developed for determining the capacity of each ATS unit/ sector?				
3.15	Does the procedure developed for determining the ATC unit/ sector capacity identify a periodicity, requirements for conducting such capacity assessments?				

3.16	Is there an established process for collection of movement data during last 5 years?				
3.17	Has an analysis been done on the current traffic demand and expected growth for the next 5 years (rolling)?				
3.18	Has any programme been implemented to assess capacity and demand balance at airport/ airspace?				
3.19	Have procedures been established to control the movement of persons and vehicles on the maneuvering area of the aerodrome?				
	(a) Need for prior authorization by the tower for entry to the maneuvering area				
	(b) Need for specific authorizations for entry to a runway or runway strip				
	(c) Priority on the maneuvering Area				
	(d) Handling the movement of persons and vehicles during low visibility operations				
	(e) Requirement of Two-way communications				
3.20	Have procedures been established and arrangements been made for the coordination,				
	(a) Between ATS provider and air operator				
	(b) Between ATS provider and military authorities				
	(c) Between ATS provider & meteorological services				
	(d) Between ATS provider & Aeronautical information services				
	(e) of activities potentially hazardous to civil aircraft				
3.21	Has an agreement been developed between the meteorological and ATS authorities regarding the supply of MET information?				
3.22	If YES, does the letter of agreement cover the following areas?				
	(a) Responsibilities and services to be provided				
	(b) Types of meteorological information that should be supplied to different ATS units				
	(c) provision of weather information displays related to integrated automatic systems				
	(d) calibration & maintenance of displays/instrument				
3.23	Have procedures been established to ensure that information on aerodrome conditions and associated facilities is provided to the aerodrome control tower/ approach control center?				
3.24	Have arrangements been made for the receipt of operationally significant conditions of the movement area or any associated facilities (ex. presence of temporary hazards etc.) by aerodrome control tower/ approach control center?				
3.25	Have procedures been established to ensure that information on the operational status of navigation aids is promptly forwarded to aerodrome control tower/ approach control center?				
3.26	Have procedures been developed in the following events of aircraft emergency?				
	(a) Unlawful interference and aircraft bomb threat				
	(b) Emergency Descent				

	(c) In-flight contingencies in oceanic airspace (non-weather)				
	(d) Weather deviation procedure				
3.27	Have procedures been developed to provide assistance in the following events of in-flight contingencies?				
	(a) Strayed or unidentified aircraft				
	(b) Interception of civil aircraft				
3.28	Have contingency plans relevant to the ATC center been developed and published to follow in an event of disruption or potential disruption of ATS or related supporting services?				
3.29	Have procedures been established and implemented for air-ground radio communications failure?				
3.30	Have procedures been established and implemented for datalink service failures at area control center?				
	Have contingency procedures been established and implemented for the following events?				
	(a) Air – Ground radio communications failure				
	(b) Aircraft transponder failure				
	(c) Emergency separation				
	(d) Short-term conflict alert (STCA)				
	(e) Minimum safe altitude warning (MSAW)				
	Have procedures been established and implemented on the data link service addressing the following areas?				
	(a) initiation of data link communications (logon)				
	(b) Establishment of CPDLC				
	(c) Exchange of operational CPDLC messages				
	(d) Provision of ADS-C services				
	Has any procedure been established and implemented for verifying that aircraft are approved for operation in RVSM airspace?				
	(a) Has any procedure established for monitoring Large Height Deviations (LHD) for RVSM operations and LLDs?				
	(b) Has any mechanism established for the collection of LHDs, LLDs and subsequent reporting to the RMA?				
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	Recording and retention of data for investigative purposes	S	I	U	N
5.1	Does the applicant have automatic recording and retention (30 days) facility of audio and video data?				
5.2	Does the applicant have automatic recording facility of background communication and aural environment of ATC centers and retention (30 days) facility?				

6		Facility requirements	S	I	U	N
6.1	Are the Aerodrome Control Tower(s) established by the applicant:					
	(a)	Have a 360-degree view with the maximum practicable visibility of aerodrome traffic?				
	(b)	protected from glare and reflection?				
	(c)	protected from glare?				
6.2	Have all ATC centers, been provided with adequate facilities for the provision of respective services?					
6.3	Have all ATC centers, been provided with adequate rest facilities for staff off watch break periods?					
7		Equipment requirements	S	I	U	N
7.1	Have the aerodrome control tower(s) established by the applicant been provided with the following equipment as minimum:					
	(a)	two-way voice communication with any aircraft, in or adjacent to airspace for which the ATS provider has responsibility				
	(b)	two-way voice communication with any aircraft, vehicle, and person, on, or adjacent to, the maneuvering area				
	(c)	two-way voice communication with adjacent ATC units and other applicable organizations				
	(d)	a power supply				
	(e)	appropriate and current maps and charts				
	(f)	binoculars				
	(g)	clocks indicating the time in hours, minutes and seconds				
	(h)	log keeping system				
	(i)	outside temperature indicator				
	(j)	Aldis lamp with green, red, and white functions				
	(k)	telephone communications				
	(l)	Status monitors for approach and landing aids (if applicable)				
	(m)	voice and data recording equipment				
	(n)	wind direction and wind speed display				
(o)	an audible emergency alerting system					
(p)	AFTN, AMHS terminals or, any alternative means of reception and transmission of Information normally conveyed by AFTN or AMHS					
(q)	airfield lighting controls panel (if applicable)					
(r)	2 independent sources of current altimeter setting, at least 1 of which must be an aneroid barometer or barometric altimeter situated in the visual control room.					

7.2	Have the approach control centers established by the applicant been provided with the following minimum equipment?				
7.2.1	two-way voice communication				
7.2.2	a display system designed to show the disposition of current and pending flights together with ancillary information for individual aircraft				
7.2.3	a power supply				
7.2.4	Appropriate and current maps & charts				
7.2.5	Clocks				
7.2.6	Log keeping system				
7.2.7	Status monitors as appropriate for navigation, approach, and landing aids				
7.2.8	Telephone communications				
7.2.9	Voice and data recording equipment				
7.2.10	AFTN/ AMHS terminals				
7.2.11	an ILS status monitor for the aerodrome concerned				
7.2.12	wind direction and wind speed display fed from the same source as the corresponding equipment in the aerodrome control tower				
7.3	Have the area control center established by the applicant been provided with the following minimum equipment?				
7.3.1	two-way voice communication – VHF (Air – Ground)				
7.3.2	Datalink Communication (Air – Ground)				
7.3.3	HF Communication (Air – Ground)				
7.3.4	a display system designed to show the disposition of current and pending flights together with ancillary information for individual aircraft				
7.3.5	a power supply				
7.3.6	Appropriate and current maps & charts				
7.3.7	Clocks				
7.3.8	Log keeping system				
7.3.9	Log keeping system				
7.3.10	Telephone communications				
7.3.11	Voice and data recording equipment				
7.3.12	AFTN/ AMHS terminals				

8	Service requirements	S	I	U	N
8.1	Has the applicant ensured services are safe, efficient, continuous, and meet forecast demand for defined airspace?				
8.2	Are working methods and procedures compliant with Civil Aviation Aeronautical Service Provider Licensing Regulation No.01 of 2023?				
8.3	Are working methods and procedures compliant with all applicable ATS Implementing Standards issued to date?				
8.4	Are SAR coordination procedures aligned with the latest version of IS 029?				
8.5	Are PANS-OPS Flight Procedures developed and maintained in accordance with IS 099?				
8.6	If services (AIS, COM, CNS, MET) are not provided by ATS provider, are contracts in place with clearly defined activities and requirements?				
8.7	Is meteorological information provided in a form requiring minimal interpretation and remains unchanged during transmission?				
8.8	Are operational coordination agreements established with ATS units responsible for adjoining airspace?				
		Comment –			
		Responsible officer/ Designation	Signature	Date	

Appendix H – Checklist for evaluating the Operations Manual

Form: CAA/AS/048



Civil Aviation Authority of Sri Lanka CHECKLIST FOR EVALUATING THE OPERATIONS MANUAL

Use the following abbreviations to indicate the 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; I – Improvements Needed; U – Unsatisfactory; N – Not Checked

1	General Information	S	I	U	N	Remark
1.1	Manual is titled appropriately					
1.2	Edition number, date of issue/revision are clearly indicated					
1.3	Document control procedures are described (version history, distribution list)					
1.4	Signed by the Accountable Manager					
2	Regulatory Compliance					
2.1	Manual aligns with ICAO Annexes/ Docs					
2.2	National regulatory references and requirements are clearly cited					
3	Scope and Purpose					
3.1	The scope of services provided is clearly defined					
3.2	Types of airspace and ATS units covered are specified					
3.3	Purpose of the manual is clearly stated					
4	Organizational Structure					
4.1	Organizational chart of the ATS provider is included					
4.2	Lines of responsibility and communication are defined					
4.3	Key personnel roles and contact information provided					
5	Airspace and ATS Unit Information					
5.1	Description of controlled airspace and classification					
5.2	List and description of ATS units operated					
5.3	Operating hours of ATS units					
5.4	Coordination arrangements with adjacent FIRs/units					
6	Operational Procedures					
6.1	Unit Operations Instructions (UOIs) for each ATS unit					
6.2	Emergency and contingency procedures					
6.3	Coordination procedures					
6.4	Procedures for handling special flights					
6.5	Flight planning procedures					

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6.6	Use of communication, navigation, and surveillance systems (CNS)					
7	Staffing and Competency					
7.1	Minimum staffing levels for each unit defined					
7.2	Controller duty rosters and shift structure					
7.3	Training and competency requirements referenced					
7.4	Licensing and medical requirements for operational staff					
7.5	Fatigue management provisions					
8	Safety Management					
8.1	Safety Management System (SMS) framework described or referenced					
8.2	Risk assessment and mitigation procedures					
8.3	Reporting and investigation of incidents/occurrences					
8.4	Human factors considerations					
9	Quality Assurance & Oversight					
9.1	Internal audit and compliance monitoring procedures					
9.2	Records management and document retention policy					
9.3	Procedures for continuous improvement and corrective actions					
10	Amendment and Review Procedures					
10.1	Frequency and responsibility for manual review/update defined					
10.2	Change control process (who can amend, how changes are communicated)					
10.3	Record of amendments included					
11	Annexes/Appendices (if applicable)					
11.1	List of abbreviations and definitions					
11.2	Relevant maps, charts, and diagrams					
11.3	Sample forms or checklists used operationally					
11.4	Letters of Agreement (LOAs) or MOUs with adjacent units/FIRs					
11.5	Any regulatory approvals or exemptions referenced					
12	Final Review					
12.1	Manual is complete, consistent, and clear					
12.2	No conflicting procedures or information					
12.3	Ready for approval / acceptance by the regulatory authority					
Comments/ Notes:						
Inspectors (Name & Signature):				Date:		


Appendix I – Checklist for evaluating the Safety Management Manual

Ref. Appendix A - Checklist for evaluating the ATS providers SMS Manual
SLCAP 20250 - Manual for the Oversight of SMS of the ATS Provider

Appendix J– Checklist for evaluating the Safety Management System

Ref. Appendix B.2: Checklist for the Initial Acceptance & Renewal of ATS Provider SMS
SLCAP 20250 - Manual for the Oversight of SMS of the ATS Provider

Appendix K– Checklist for evaluating the Training Manual

Form: CAA/AS/049						
 <p>Civil Aviation Authority of Sri Lanka CHECKLIST FOR EVALUATING THE ATC TRAINING MANUAL</p>						
<p>Use the following abbreviations to indicate the 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>S – Satisfactory; I – Improvements Needed; U – Unsatisfactory; N – Not Checked</p>						
1	General Information	S	I	U	N	Remark
1.1	Manual is titled appropriately					
1.2	Edition number, date of issue/revision are clearly indicated					
1.3	Document control procedures are described (version history, distribution list)					
1.4	Signed by the Accountable Manager					
2	Regulatory Compliance					
2.1	Manual aligns with ICAO Annexes/ Docs					
2.2	National regulatory references and requirements are clearly cited					
3	Scope and Objective					
3.1	The scope of training programs defined					
3.2	Does the training programme cover the following areas?					
	a. Initial/ Basic Training					

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	b. OJT					
	c. Advanced/ specialized Training					
	d. Refresher Training					
3.3	Training objectives clearly stated for each course/module					
4	Training Structure					
4.1	Curriculum structure provided (modules, phases, duration)					
4.2	Clear breakdown of theoretical, simulator, and OJT components available					
4.3	Entry requirements and prerequisites defined					
5	Competency Framework					
5.1	Defined competencies and performance criteria for ATCOs					
5.2	Methods of competency-based assessment explained					
6	Instructor and Assessor Requirements					
6.1	Qualifications and certification requirements for instructors/assessors included					
6.2	Roles and responsibilities of instructors clearly defined					
7	Assessment and Evaluation					
7.1	Assessment methods for each phase/module described					
7.2	Criteria for successful completion & failure procedures outlined					
7.3	Procedures for re-assessment/remedial training included					
8	Training Records and Documentation					
8.1	Procedures for maintaining trainee records					
8.2	Templates/forms for evaluations, progress tracking, and reports included					
9	Quality Assurance & Oversight					
9.1	Internal review and quality monitoring process described					
9.2	Procedures for curriculum updates & continuous improvement					
10	Annexes/Appendices (if applicable)					
10.1	Reference to applicable SOPs or regulatory documents					
10.2	Glossary of terms and abbreviations					
11	Final Review					
11.1	Manual is complete, well-structured, consistent, clear					
11.2	No conflicting procedures or information					
11.3	Ready for approval / acceptance by the regulatory authority					
Comments/ Notes:						
Inspectors (Name & Signature):				Date:		

Appendix L– Checklist for evaluating the ATS Provider’s Security Programme

Form: CAA/AS/050



Civil Aviation Authority of Sri Lanka CHECKLIST FOR EVALUATING THE ATS PROVIDER’S SECURITY PROGRAMME

Use the following abbreviations to indicate the 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; I – Improvements Needed; U – Unsatisfactory; N – Not Checked

1	General Information	S	I	U	N	Remark
1.1	Manual is titled appropriately					
1.2	Edition number, date of issue/revision are clearly indicated					
1.3	Document control procedures are described (version history, distribution list)					
1.4	Signed by the Accountable Manager					
2	Regulatory Compliance					
2.1	Manual aligns with ICAO Annexes/ Docs					
2.2	National regulatory references and requirements are clearly cited					
3	Final Review					
3.1	Manual is complete, well-structured, consistent, clear					
3.2	No conflicting procedures or information					
3.3	Ready for approval / acceptance by the regulatory authority					

Comments/ Notes:

Inspectors (Name & Signature):

Date:

Appendix M– Checklist for evaluating the Nominated Post-holder *(to be developed)*

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Appendix N – Template of Air Navigation Service Provider Certificate



CIVIL AVIATION AUTHORITY OF SRI LANKA

[service category] **SERVICE PROVIDER CERTIFICATE**

[CERTIFICATE NUMBER/ISSUE No]

Pursuant to the Civil Aviation Aeronautical Service Provider Licensing Regulation No. 01 of 2023 and subject to the conditions specified below, the Civil Aviation Authority of Sri Lanka hereby certifies,

[NAME OF THE SERVICE PROVIDER]

[ADDRESS OF THE SERVICE PROVIDER]

as the [service category] Service Provider with the privileges, as listed in the attached service provision conditions.

Conditions:

This certificate is issued subject to the conditions and the scope of providing services and functions as listed in the attached service provision conditions.

This certificate is valid whilst the certified service provider remains in compliance with Civil Aviation Aeronautical Service Provide Licensing Regulation No. 01 of 2023, other applicable regulations and, when relevant, with the procedures in the service provider's documentation.

Subject to compliance with the foregoing conditions, this certificate shall remain valid until [Date of expiry] unless the certificate has been suspended or revoked.

Date of issue:

Signature:

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

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[service category] **SERVICE PROVIDER CERTIFICATE**
SERVICE PROVISION CONDITIONS

Attachment to service provider's certificate:

[CERTIFICATE NUMBER/ISSUE No]

[NAME OF THE SERVICE PROVIDER]

has obtained the privileges to provide the following scope of services/functions:
 (Delete lines as appropriate)

Air Traffic Services: Applicable / Not applicable			
Services	Type of service/ function	Scope of service/function	Limitations (if any)
Air Traffic Services (ATS)	Air Traffic Control (ATC) Services	Area Control service	
		Approach Control service	
		Aerodrome Control service	
	Flight Information service (FIS)	Aerodrome flight information service	
		En-route flight information service	
	Advisory service	N/A	
	Search & Rescue Service (SAR)	Aeronautical SAR	
	Flight procedure design (FPD)	Design, documentation and validation of flight procedures	
	Meteorological services (MET)	Area and Route Forecasts	
		Aerodrome Meteorological Offices	
		Aeronautical Meteorological Stations	
	Training	Training for ATC	
		Training for SAR	
Training for PANS-OPS			

Conditions where necessary:

Aeronautical information services (AIS): Applicable / Not applicable			
Services	Type of service/ function	Scope of service/function	Limitations (if any)
Aeronautical Information Services (AIS)	Aeronautical information products (including distribution services)	Aeronautical information publication (AIP)	
		Aeronautical information circular (AIC)	
		NOTAM	
		AIP data set	
		Obstacle data set	
		Aerodrome mapping data set	
		Instrument flight procedure data sets	
	Preflight Information service	Preflight Information service at Intl. Aerodromes	
	Training	Training for AIS technical staff	

Aeronautical Communication Services (ACS): Applicable / Not applicable

Services	Type of service/ function	Scope of service/function	Limitations (if any)
Aeronautical Communication Services (ACS)	Air/Ground Communication	Facilitates voice exchange between aircraft and ground stations. Primarily relaying ATC instructions and information between air traffic controllers and pilots	
	Aeronautical Fixed Service (AFS)	Facilitating telecommunication services between specified fixed points	

Conditions where necessary:

Communication, Navigation or Surveillance services (CNS): Applicable / Not applicable

Services	Type of service/ function	Scope of service/function	Limitations (if any)
Communication, Navigation or surveillance services (CNS)	Communications (C)	Aeronautical Mobile Service (Air-ground communication)	
		Aeronautical Fixed Service (Ground-ground communications)	
		CPDLC	
	Navigation (N)	Provision of VOR	
		Provision of DME	
		Provision of ILS	
	Surveillance (S)	Provision of data from secondary surveillance Radar (SSR)	
		Provision of Automatic Dependent Surveillance (ADS) Data	

Conditions where necessary:

Date of issue:

Signature:

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

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