

ICAO Universal Safety Oversight Audit Programme

**SUMMARY REPORT
ON THE SAFETY OVERSIGHT
AUDIT FOLLOW-UP
OF THE
CIVIL AVIATION AUTHORITY
OF
SRI LANKA**

(Colombo, 30 November to 2 December 2004)



International Civil Aviation Organization



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Summary Report on the Safety Oversight Audit Follow-up of the of the Civil Aviation Authority of Sri Lanka

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1. INTRODUCTION

1.1 Background

1.1.1 The former Department of Civil Aviation (DCA) of Sri Lanka was initially assessed under the voluntary ICAO Safety Oversight Assessment Programme from 10 to 14 February 1997 by an ICAO assessment team. Subsequently, an audit was carried out from 13 to 20 March 2000 pursuant to Assembly Resolution A32-11 and in accordance with the updated Memorandum of Understanding (MOU) agreed to on 13 January 2000 between Sri Lanka and ICAO. The objective of the audit was twofold. Primarily, its objective was to fulfil the mandate given to ICAO pursuant to the above-mentioned Assembly Resolution. Secondly, the audit was conducted with the objective of ascertaining the progress made in the implementation of the recommendations forwarded during the voluntary assessment conducted in 1997 and to re-ascertain the safety oversight capability of the DCA of Sri Lanka. The audit also aimed at ensuring that Sri Lanka was in conformity with ICAO Standards and Recommended Practices (SARPs), as contained in Annexes 1, 6 and 8 to the *Convention on International Civil Aviation* (Chicago Convention) and related provisions in other Annexes, guidance material and relevant safety-related practices in general use in the aviation industry.

1.1.2 On 22 May 2000, Sri Lanka submitted its corrective action plan addressing all the findings and recommendations contained in the audit interim report. The action proposed was carefully reviewed by the Safety Oversight Audit (SOA) Section and found to be satisfactory. The action plan and comments provided were taken into consideration in the preparation of the final and summary reports. The summary report was distributed to all Contracting States by State letter AN 19/1-00/95 in October 2000.

1.2 Objectives and activities of the audit follow-up mission

The audit follow-up mission was conducted in accordance with Article 18 of the MOU and the ICAO *Safety Oversight Audit Manual* (Doc 9735). The objective of this mission was to validate the implementation of the corrective action plan and to ascertain the status of the progress made, which enables ICAO to update the information contained in the audit findings and differences database (AFDD) and also to inform other Contracting States on the status of the safety oversight system of Sri Lanka through a non-confidential summary report. It is important to appreciate in this respect that audit follow-up missions are **not** audits and are not designed to evaluate all aspects of a State's aviation framework or safety oversight system.

2. CIVIL AVIATION ACTIVITIES IN SRI LANKA

At the time of the audit follow-up mission, civil aviation activities in Sri Lanka included:

a)	number of technical staff employed by the organization at Headquarters	125
b)	number of regional offices	2
c)	number of technical staff employed at regional offices	4
d)	number of active pilot licences	332
e)	number of active flight crew licences other than pilot licences (flight engineer and flight navigator)	0
f)	number of aviation training establishments	4
g)	number of active licences other than flight crew licences	835
h)	number of commercial air transport operators	6
i)	number of air operator certificates (AOCs) issued	5
j)	number of aircraft operations inspectors	7
k)	number of aircraft registered in Sri Lanka	28
l)	number of currently valid certificates of airworthiness issued	28
m)	number of approved maintenance organizations (AMOs)	4
n)	number of non-approved aircraft maintenance organizations	1
o)	number of design organizations	0
p)	number of aircraft manufacturing organizations	0
q)	number of aircraft parts or equipment manufacturing organizations	0
r)	number of aircraft type certificates issued	0
s)	number of type certificates other than aircraft issued	0
t)	number of aircraft airworthiness inspectors	5

3. EXECUTIVE SUMMARY

3.1 At the time of the ICAO audit in March 2000, the authority of Sri Lanka was known as the DCA. Since then, the DCA was abolished, and on 27 December 2002, the CAASL was established under the *Civil Aviation Authority of Sri Lanka Act No. 34 of 2002*. Act No. 34 effectively delegates the responsibilities of the Government of Sri Lanka to the Director General of Civil Aviation to develop, issue and revise aviation safety-related regulations and rules. The Government also promulgated the *Civil Aviation (Interim) Regulations of 2002* which make provisions for the Director General of Civil Aviation to adopt all ICAO Standards and implement aviation safety notices (ASNs). The current *Air Navigation Act No. 15 of 1950* will soon be replaced by the new Civil Aviation Act, which is expected to be enacted by Parliament in 2005. The CAASL has notified ICAO of the differences between its national regulations and the SARPs of Annex 1, Annex 6, Part I and Annex 8. However, significant differences have not been published in the Aeronautical Information Publication (AIP).

3.2 Since the audit of 2000, the area of civil aviation organization in Sri Lanka has changed significantly. The CAASL *Annual Report 2003* shows that substantial profits were made and taxes have been levied. Ninety per cent of the current income is generated from the Prepaid Travel Advice (PTA), which was observed to have been declining significantly over the past few years, due to changes in ticketing arrangements, leaving only approvals, issues and renewals of licences as the primary sources of income, which are approximately five per cent of the required budget. The CAASL is a self-financing organization and does not receive any additional Government funds to meet its operational costs. The CAASL has a total of 125 staff positions in its approved cadre, but it is functioning with only 102 employees. The flight operations inspectors have been employed on contract, and there are seven posts vacant in the Flight Safety Division. The CAASL does not have full control of its expenditures, and training courses overseas have to be sanctioned by the Government. Salaries were until very recently linked to the Government sector; however, although recent changes will allow for annual salary increases, the diminishing income of the CAASL will be a limiting factor.

3.3 The progress made by the CAASL in the area of personnel licensing and training is mainly related to the establishment of a new organizational structure, the issuance of ASNs in compliance with ICAO Annex 1 SARPs, and the development of personnel licensing procedures and guidance material for the Personnel Licensing Section of the CAASL. In addition, the CAASL has recruited new staff in recent months. The procedures developed and implemented by the CAASL include those related to the validation and conversion of foreign licences and ratings, written examinations and the recognition of military experience for the issuance of an aircraft maintenance engineer (AME) licence. However, the CAASL still needs to develop and implement a formal personnel licensing training programme for its staff and complete the certification process of the only aviation training centre available in Sri Lanka. Furthermore, although several documents containing procedures and guidance material have yet to be approved, some procedures are already in practice. Satisfactory procedures for the recognition of military flight experience have not yet been sufficiently developed.

3.4 Since the ICAO audit of March 2000, the progress made by the CAASL with respect to aircraft operations, certification and supervision, consist mainly in the empowerment of the Director General to issue ASNs, which contain requirements and procedures to be complied with for the purpose of implementing the ICAO Annex SARPs. Annex 6 SARPs, up to Amendment 28, have been incorporated into the regulatory system of Sri Lanka through the publication of related ASNs as primary civil aviation regulations. In addition, the Joint Aviation Requirements — Operations (JAR-OPS) have also been

incorporated as complementary regulations to the Annexes. Published ASNs include, among others, requirements relating to: the contents of the operator's operations manual in conformance with Annex 6, Appendix 2; flight time, flight duty time and rest periods for cabin crew; minimum equipment list (MEL); accident prevention and flight safety programme; instructions for mass and balance control; instructions for the conduct and control of ground de-icing and anti-icing; and hand baggage to be carried on board to be securely stowed. However, the CAASL has not yet verified full implementation by its air transport operators of all the published ASNs, as the major operator in Sri Lanka does not comply with several of these requirements. Furthermore, there is still a need for the CAASL to review and update its published guidance material and procedures as several of the handbooks are not up to date.

3.5 Good progress has been made by Sri Lanka in the area of airworthiness of aircraft. A number of ASNs have been published or are awaiting implementation. The ASNs are based upon the wording within Annex 8 SARPs and also include requirements from JAR. An ASN requires the States of Design and their authorities to be advised on significant matters of continuing airworthiness. ASNs for approving modifications, non-destructive testing (NDT) and welding are in place, but in some cases require minor amendments. Through a very recent amendment to another ASN, the Director General is empowered to establish an air accident investigation board. However, there is still a need for the CAASL to implement a procedural amendment to detail the method of approval for modifications and enhance the technical knowledge and experience of airworthiness inspectors with respect to NDT.

4. RESULTS OF THE AUDIT FOLLOW-UP MISSION

4.1 Primary aviation legislation and civil aviation regulations

- 4.1.1 a) **Action proposed by State.** With respect to the need for Sri Lanka to review its regulations with the view of ensuring the implementation of all the SARPs contained in Annexes 1, 6 and 8, the DCA indicated that, by 31 July 2000, action would be taken to go through all the Annexes and identify those provisions which were not implemented in Sri Lanka. ICAO would be notified of any difference that might exist at that time. Sri Lanka also provided detailed information on the steps to be taken until 31 July 2000 relating to the review and amendment of its regulations and the notification to ICAO, as necessary
- b) **Validation of action proposed.** Copies of compliance checklists were shown to the ICAO audit follow-up team, which have been completed in accordance with Office Procedure No. FS-0001-A, listing the differences between ICAO Annex 1, Annex 6, Part I and Annex 8 and the corresponding Sri Lankan regulations. ICAO has been notified of the differences in accordance with the Chicago Convention. However, the compliance checklist does not include existing differences with respect to Annex 6, Parts II and III, and significant differences have not yet been published in the AIP. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that international general aviation — aeroplanes and international operations — helicopters are non-existent in Sri Lanka and hence there is no need to develop rules for such operations immediately. Nevertheless,

enabling regulations are being developed in conformity with ICAO Annex 6, Parts II and III for future use. In addition, the CAASL indicated that existing differences to Annex 1, Annex 6, Part I and Annex 8 are included in the draft AIP amendment being processed for promulgation.

- 4.1.2 a) **Action proposed by State.** Concerning the need for Sri Lanka to amend its Air Navigation Act to enable the delegation of the necessary authority and the assignment of corresponding responsibility to the Director General of Civil Aviation to develop, issue and revise aviation-safety related regulations and rules, Sri Lanka indicated that it had established a plan for the revision of the Act and regulations in three parts and several steps expected to be completed by 31 July 2000. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that this would be undertaken during the drafting of new regulations with an estimated implementation date of 30 July 2001.
- b) **Validation of action proposed.** On 27 December 2002, the CAASL was established under Act No. 34 to replace the DCA. In addition, the new *Civil Aviation Act 2005* is expected to supersede the *Air Navigation Act No.15 of 1950* in early 2005. The Government of Sri Lanka has also promulgated *Civil Aviation (Interim) Regulation No. 01 of 2002*, which makes provision for the delegation of the necessary authority and the assignment of corresponding responsibility to the Director General of Civil Aviation to develop, issue and revise aviation safety-related regulations and rules (paragraph 3 refers). Act No. 34 makes provision for the DGCA to implement Standards to secure compliance with the applicable ICAO Standards. The ICAO recommendation has been complied with.
- 4.1.3 a) **Action proposed by State.** With regard to the recommendation on the need to amend the regulations in order to provide for the adoption of JAR as applicable in Sri Lanka, the DCA indicated that Sri Lanka would not limit itself to the possibility of adopting the JAR but also foresaw the need to adopt by reference the regulatory provisions and acceptable means of compliance specified in similar codes. To this end, interim measures with regard to the amendment of the Act and regulations would take into consideration the recommendation forwarded in its expanded form. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that this recommendation would be addressed in detail by 30 July 2001.
- b) **Validation of action proposed.** The CAASL has elected not to proceed with the ICAO audit recommendation to revise the relevant air navigation regulation in order to provide for the adoption of the JAR by Sri Lanka. The CAASL has also advised that it does not wish to limit itself solely to the JAR and will use the contents of the ICAO Annexes as primary State regulations through the issuance of ASNs. The Annexes are therefore considered to be primary information, and the JAR are considered to be complementary. These regulations have been published in ASN No. 36. The ICAO recommendation has been complied with.

4.2 **Organization of civil aviation**

- 4.2.1 a) **Action proposed by State.** With respect to the recommendation requiring the Government of Sri Lanka to allocate adequate funds to the DCA to enable it to build on the progress made and continue to undertake its duties and responsibilities in the most efficient and effective manner, the DCA indicated that it would continue to be a member of the Cooperative Development of Operational Safety and Continuing Airworthiness Project — South Asia (COSCAP/SA) and thereby be assured of continued assistance from the regional project, take steps to ensure the speedy implementation of the European Union (EU) project, South Asia to take advantage of the Financial Assistance Agreement forwarded by the EU and push the Government to expedite the establishment of the Civil Aviation Authority of Sri Lanka. Until such time that a civil aviation authority is established, the Minister, upon being satisfied with the justification submitted by the DGCA, would approve the recruitment of additional staff by the DGCA within the proposed cadre and the salary scales recommended by the ICAO Technical Co-operation Bureau (TCB) organizational expert. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that the estimated implementation date was 30 June 2001.
- b) **Validation of action proposed.** With effect from 27 December 2002, the CAASL was established under the *Civil Aviation Authority of Sri Lanka Act No. 34 of 2002* to replace the DCA. The CAASL became an autonomous body with eight board members, five from the CAASL and three from the Ministry. Whereas the CAASL is currently adequately funded, its principal source of income is generated through surcharges placed on airline ticket sales. Ticketing surcharge arrangements have changed and the net income which the CAASL currently receives will be decimated next year. The treasury also controls the remuneration scales of CAASL personnel, and any demands for overseas training has to be sanctioned by the Ministry. Recently, the Government has denied several overseas training requests and a number of important overseas conferences and proceedings. The Director General of Civil Aviation cannot fill all posts within the CAASL due to financial restrictions imposed by the treasury. Currently, the CAASL operates with twenty-three vacant posts. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that it has five members appointed by the Minister and three ex-officio members including the Director General of Civil Aviation. The CAASL can fill the vacant posts in the approved cadre with personnel holding the required qualifications and remunerate them as per the treasury approved salary scale. The CAASL also indicates that there are twenty-three vacancies in the approved cadre and action is in progress to fill them shortly.

4.3 **Personnel licensing and training**

- 4.3.1 a) **Action proposed by State.** With respect to the recommendation requiring the DCA to continue to consolidate the personnel licensing functions, develop a guidance and procedures manual for licensing officers and clearly establish the organizational structure of the licensing functions, the DCA indicated that action had already been taken to centralize the licensing functions (date and details of the implementation

were not forwarded). In addition, the DCA indicated that a personnel licensing handbook containing detailed procedures for all licensing functions would be produced within three months after finalizing the new regulations and rules (approximately 31 October 2000), an office procedures manual containing the organizational structure of the Personnel Licensing Unit would be developed by 31 July 2000, and a training plan would be developed and incorporated in the office procedures manual by 31 July 2000. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that the estimated implementation date for the personnel licensing handbook was 30 September 2001 (within two months after finalizing the regulations and implementing Standards) and for the office procedures manual, implementation by 30 November 2001. Concerning the training plan, available staff were already trained and once the new Authority was established and the procedures developed, staff would be re-trained.

- b) **Validation of action proposed.** A separate section has been established within the CAASL to handle all personnel licensing functions. In addition to the *Staff Rules and Administrative Manual* approved by the CAASL on 30 March 2000, which describes the general functions and responsibilities of the CAASL personnel, the CAASL has also published the *Office Procedures Manual (OPM)*, which contains the organizational structure and detailed functions, job descriptions and responsibility of each staff member of the Personnel Licensing Section. The OPM also incorporates training requirements for the Personnel Licensing Section. However, no formal training programme has yet been established and provided to personnel licensing personnel. In addition to the OPM, the CAASL has developed the *Personnel Licensing Procedures Manual (PLPM)*, which describes the procedures and practices required for the handling of all licensing activities. Both manuals are comprehensive in describing functions and responsibilities as well as the procedures in place since 2003. However, the formal approval of the OPM and PLPM manuals is still pending, being expected by 31 December 2004. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that a formal training programme for the licensing personnel has been established. In addition, the OPM and the PLPM have been approved.

- 4.3.2 a) **Action proposed by State.** Concerning the need for the Director General of Civil Aviation to formalize the foreign licence validation process and publish it in the AIP, the DCA indicated in its action plan that, as an interim measure, all applicants for endorsement would be required to submit details of the licensing criteria and training programmes of the State where the original licence was issued. In the meantime, formal procedures would be developed in the personnel licensing handbook, as stated above. An aeronautical information circular (AIC) setting out the applicable procedures would be issued by 15 July 2000. A revision of the corrective action plan from the DCA, dated 3 January 2001, also stated that the estimated implementation date of the AIC procedures was 30 September 2001.

- b) **Validation of action proposed.** The CAASL has developed and promulgated requirements and procedures to ensure that foreign licences to be validated or converted into national licences are issued in full compliance with Annex 1 through ASN No. 36 dated 12 September 2003. Chapters 10 and 11 of the PLPM contain the procedures for the purpose of validating and converting licences, respectively. A checklist is included in the OPM, page 18. Established procedures have been published in the AIP by AIC A02/04 dated 23 November 2004. The ICAO audit follow-up team reviewed several files containing samples of validation of licences issued and confirmed that established procedures and requirements have been followed. The ICAO recommendation has been complied with.

4.3.3

- a) **Action proposed by State.** With respect to the need for the DCA to implement its own requirements regarding flying training schools, the DCA indicated that inspections would be done by the flight operations inspectors and that the programme for regular inspection and continuing surveillance of the training schools was included in the Operations Inspection Programme. Although implementation was indicated as completed, no indication of what action was done or evidence to that effect was presented.
- b) **Validation of action proposed.** Requirements for the certification of aviation training organizations were reviewed and amended by means of ASN No. 028 dated 10 March 2003, Requirements to be satisfied in the Establishment, Operation and Maintenance of a Flying School in Sri Lanka and its Appendix issued on 12 March 2003. There is only one flight training school in Sri Lanka with an on-going certification process since the time of the initial ICAO audit. The CAASL has not yet determined a final date for the certification process of this flight training school to be finalized, and although its licence to operate has been suspended due to lack of compliance, it continues to operate. A letter has been sent to the flight school requiring it to cease operations by March 2005. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that the flight training school has submitted the required documents, which have been reviewed by the CAASL. In addition, facilities have been inspected and the flying school licence has been restored on a probationary period for three months.

4.3.4

- a) **Action proposed by State.** Concerning the need to develop requirements concerning qualification of examiners who author test papers, the DCA indicated that COSCAP/SA was developing a question bank for the use of its Member States and that Sri Lanka would take advantage of the question bank as soon as it was ready and eliminate the problem identified. Nevertheless, by 31 July 2000, the DCA would specify the requirements for examiners and also appoint examiner panels which would include persons holding current licences and ratings relevant to the examination. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that the requirements for examiners had been specified and approved by the DGCA to be incorporated in the personnel licensing handbook and that a

personnel licensing policy file had been opened. The estimated implementation date was 30 September 2001.

- b) **Validation of action proposed.** A new system for the conduct and preparation of written examinations has been established by the CAASL, as described in Chapter 7 of the OPM. An Examination Board, consisting of five members, has been appointed mainly for the evaluation and setting up of written question papers for the knowledge examinations conducted by the CAASL. A bank of questions has been developed, out of which fifty are selected by the Board for each specific area to be examined. Functions and procedures of the Board are clearly established in the OPM. In addition, the CAASL has signed an agreement with the Civil Aviation Authority of the United Kingdom (UKCAA) on 28 July 2004, for the provision of written examinations concerning the commercial pilot licence (CPL) and airline transport pilot licence (ATPL). Examination packages are sent by the UKCAA for evaluation and returned to the UKCAA after completion of the test by applicants. Final results are notified to the CAASL by the UKCAA. The system has been used for one applicant. The ICAO recommendation has been complied with.

- 4.3.5 a) **Action proposed by State.** On the issue of developing policies and procedures for the issuance of civilian licences and ratings on the basis of military qualifications and experience, the DCA indicated that with regard to military qualifications and experience, a similar assessment as that made to civilian applicants would be implemented. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that the security situation in Sri Lanka did not permit specifying a time frame, and until such time, pilot licences would not be issued based upon military training and experience.
- b) **Validation of action proposed.** The CAASL has issued ASN No. 06, Personnel Licensing and Training Requirements and Standards respecting Aircraft Maintenance Engineer Licences and Ratings, dated 2 October 2000, which establishes provisions for the recognition of military aviation mechanical experience for the issuance of a civil AME licence. Additional procedures and guidance material for the Personnel Licensing Section have been incorporated in Chapter 9.6 of the PLPM. However, the PLPM is still to be approved by the Director General. In addition, no ASN has been issued to specify the conditions and possible exemptions given in recognition of military flight experience for the issuance of a civil CPL or ATPL licence. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that the issuance of licences on the basis of military experience has been temporarily withheld until properly developed procedures are in place and that on 1 March 2005, it published ASN No. 062, Issuance of Civil Pilots Licences to Military Pilots with this respect. The CAASL also indicates that the establishment of new regulations is expected to be completed by 31 May 2005.

- 4.3.6 a) **Action proposed by State.** On the issue of conditions for the renewal of lapsed licences, the DCA indicated that policies and procedures for the renewal of lapsed

licences and appropriate rules would be incorporated in the personnel licensing handbook. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that procedures had been completed with respect to AME licences and would be incorporated in the regulations. For other licences, the detailed procedures would be published in the personnel licensing handbook.

- b) **Validation of action proposed.** Procedures for the renewal of lapsed licences are still in draft form and have not been incorporated in the PLPM, which is expected to be approved by 31 December 2004. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that procedures for the renewal of lapsed licences have been finalized and incorporated in the PLPM, which was approved in January 2005.

4.4 **Aircraft operations certification and supervision**

- 4.4.1 a) **Action proposed by State.** With respect to requiring air operators to develop an operations manual conforming to the requirements of Annex 6, Part I, and submit it to the DCA for acceptance/approval, as applicable, the DCA indicated that an interim regulation would be submitted to require air operators to include the particular items missing in their current operations manuals to ensure full conformity with the Annex requirements and present them for re-approval/acceptance, as applicable. Permanent legislation would be established as part of the amendment of the aviation legal system of Sri Lanka. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that this recommendation would be implemented with the promulgation of the new regulations, by 30 July 2001.
- b) **Validation of action proposed.** A requirement for the operator to develop an operations manual in compliance with ICAO Annex 6, Part I, Appendix 2 to be approved or accepted, as applicable, by the CAASL has been established through the promulgation of ASN No. 42 and its Appendix 1, Organization and Contents of an Operations Manual. However, the ICAO audit follow-up team reviewed some operators' operations manual and observed that one major operator has not complied with the development of an accident prevention and flight safety programme and procedures for the conduct of ground de-icing and anti-icing, in conformance with established practices. In addition, the CAASL has published SLCAP 4215, Master Minimum Equipment List/Minimum Equipment List Policies and Procedures Manual and ASN No. 053, Requirements for Aircraft Instruments, Equipment and Flight Documents for Commercial Air Transport Operations. However, the CAASL has not established the required coordination for the approval of the minimum equipment list (MEL) between the areas of aircraft operations and airworthiness, maintenance procedures for the MEL are not being approved, and no requirement has been published for the preparation of the MEL to be no less restrictive than the MMEL. In addition, domestic operators are not required to prepare an MEL. Requirements for the development of standard operating procedures are still in the process of being updated. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that Directive OP/15/1/1 dated 14 March 2005 has been issued to the major operator requesting it to comply with ASN No.039, ASN No. 042 and ASN No. 050, concerning, respectively, the establishment of an accident prevention and flight safety programme, the conduct of ground de-icing and anti-icing procedures and their incorporation in the Flight Operations Manual. The revised manual shall be submitted to the CAASL for approval by 15 April 2005. The CAASL also indicates that it has published ASN No. 064 dated 11 March 2005 establishing that SLCAP 4215, Master Minimum Equipment List/Minimum Equipment List Policy and Procedures Manual, which was approved on 14 March 2005, is the guidance for CAASL inspectors and industry personnel for the preparation of the MEL on the basis of the MMEL.

- 4.4.2 a) **Action proposed by State.** Concerning the need for the DCA to develop a tracking system for the monitoring and scheduling of all activities relating to the training of operations inspectors, the DCA indicated in its action plan that it had already established a tracking system for the monitoring and scheduling of all activities relating to the training of operations inspectors but did not submit evidence of action taken or when it was implemented.
- b) **Validation of action proposed.** An adequate tracking system for the monitoring and scheduling of all activities relating to the training of operations inspectors has been established by the CAASL. The inspectors' files reviewed by the ICAO audit follow-up team confirmed that they contain written results of training received, recency of experience, training and competency checks performed as well as course certificates. The ICAO recommendation has been complied with.
- 4.4.3 a) **Action proposed by State.** Concerning the need for the DCA to amend the *Flight Operations Inspector Handbook* to reflect the actual minimum qualification requirements for inspectors, the DCA indicated that it had already approved the minimum required qualifications and that the handbook would be amended to include these requirements by 31 July 2000.
- b) **Validation of action proposed.** The *Flight Operations Inspector Handbook* (Revision No. 2) was last amended by the CAASL on 1 November 2004. Experience qualifications for flight operations inspectors, ground operations inspectors, dangerous goods and cabin safety inspectors established in the Scheme of Recruitment were found to be in accordance with the inspector handbook. The ICAO recommendation has been complied with.
- 4.4.4 a) **Action proposed by State.** Concerning the need for the Director General to review and amend the *Flight Operations Inspector Handbook* to include enforcement policies and procedures to be followed by an operations inspector once a violation of an air navigation regulation had been discovered, the DCA indicated in its action plan that the handbook would be amended to include the newly developed policies and procedures for enforcement by 31 July 2000.

- b) **Validation of action proposed.** Although the level of enforcement actions authorized to an inspector is included in the *Flight Operations Inspector Handbook*, which was last amended on 1 November 2004, it does not contain policies and procedures to be followed by an operations inspector once a violation has been observed. The CAASL has developed SLCAP 5200, Guidance for Resolution of Safety Issues, dated 1 November 2004, but it has not yet been implemented. In addition, inspector's credentials do not contain the detailed reference to the provisions of Regulation 40 of the *Air Navigation Act*, which empowers inspectors to detain an aircraft or person for safety reasons. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that procedures for enforcement actions (SLCAP 5200) have been developed. However, official promulgation has been deferred pending the enactment of the Civil Aviation Bill, as the existing Air Navigation Act does not contain provisions for the enforcement of some actions stipulated in the new procedures. The Cabinet of Ministers has already granted approval for the Bill to be presented in Parliament. The Director General of Civil Aviation and Chief Executive Officer have delegated adequate authority to all CAASL officials by virtue of Regulation 5 of the Air Navigation Act through the issuance of delegation of authority documents with detailed reference to the provisions of Regulation 40 of the Air Navigation Act, which empowers inspectors to detain an aircraft or person for safety reasons.

- 4.4.5 a) **Action proposed by State.** With regard to the recommendation requiring the Minister of Tourism and Civil Aviation to amend the Air Navigation Regulations to ensure that baggage carried into the passenger cabin is adequately secured and stowed, the DCA indicated that this item would be addressed as part of the action taken to amend and update the aviation legal framework of Sri Lanka. In the interim, temporary requirements would be published by 30 June 2000. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that an ASN had been already published to address this issue until the regulations were promulgated by 30 July 2001.
- b) **Validation of action proposed.** Requirements for the baggage carried into an aeroplane and taken into the passenger cabin to be securely stowed have been established in ASN No. 42, Chapter 8. Additional procedures have been also incorporated in the *Passenger Service Manual*. The operators' operations manuals reviewed by the ICAO audit follow-up team confirmed that these requirements have been implemented. The ICAO recommendation has been complied with.
- 4.4.6 a) **Action proposed by State.** With regard to the recommendation requiring the Minister of Tourism and Civil Aviation to amend the Air Navigation Regulations to prohibit an air operator from assigning flight crew to operate an aircraft unless they have made three take-offs and landings in the previous ninety days, the DCA indicated that this would be addressed as part of the action taken to amend and update the aviation legal framework of Sri Lanka. In the interim, temporary

requirements would be published by 30 June 2000, making the requirements applicable in Sri Lanka. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that this recommendation would be addressed with the promulgation of the new regulations by 30 July 2001.

- b) **Validation of action proposed.** Recency of experience requirements for pilots and first officers have been established in ASN No. 47, paragraphs 4.1 and 4.2, respectively. The operators' operations manuals reviewed by the ICAO audit follow-up team confirmed the implementation of established requirements. The ICAO recommendation has been complied with.

4.4.7

- a) **Action proposed by State.** With regard to the recommendation requiring the Minister of Tourism and Civil Aviation to amend the Air Navigation Regulations to establish limitations applicable to flight time, flight duty period and rest period for cabin crew members, the DCA indicated in its action plan that this item would be addressed as part of the action taken to amend and update the aviation legal framework of Sri Lanka. In the interim, temporary requirements would be published by 30 June 2000. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that for the interim period an ASN to the industry had been issued, and the recommendation would be addressed with the promulgation of the new regulations by 30 July 2001.

- b) **Validation of action proposed.** Cabin crew flight time, flight duty periods and rest periods limitations have been established in ASN No. 023 dated 15 May 2002. In addition, SLCAP 12211 has been promulgated based upon UKCAA CAP 371. The ICAO audit follow-up team verified that these requirements have been implemented. The ICAO recommendation has been complied with.

4.4.8

- a) **Action proposed by State.** With respect to the recommendation requiring the DCA, as a priority, to re-certify the three airline licence holders under the newly approved certification process, the DCA indicated that the two cargo operators audited by COSCAP/SA had been suspended pending a certification process. The third operator had been issued with an AOC after ensuring that it had met the new certification requirements.

- b) **Validation of action proposed.** Although the *Flight Operations Inspector Handbook* was last amended on 1 November 2004, and guidance material has been published by the CAASL for the certification and surveillance of Sri Lankan air transport operators, these documents do not include Amendments 25, 26, 27 and 28 to ICAO Annex 6. Checklists in use by the operations inspectors have also not been amended accordingly. SLCAP 16052 dated 1 November 2000 was in the process of being amended and republished as SLCAP 4100, entitled *How to obtain an Airline Licence*. Although two of the three air operators have been issued AOCs and operations specifications in compliance with the draft SLCAP 4100, one remains only in compliance of SLCAP 16052, and its operations manual does not include an accident prevention and flight safety programme and de-icing and anti-icing procedures. In addition, MEL maintenance procedures have not been approved. A

target date for SLCAP 4100 to be formally implemented, checklists amended and AOCs and operations specifications reissued has not been established by the CAASL. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that SLCAP 16052 entitled How to obtain an Airline Licence, dated 1 November 2000, was reissued as SLCAP 4100, merely as guidance material for the AOC applicants explaining the CAASL procedures and process involved in the certification of an airline. It was not meant for the use of the CAASL inspectors as procedures for certification of the air operators. Detailed certification procedures are explained in SLCAP 4200, Flight Operations Inspector Handbook and SLCAP 6200, Airworthiness Inspector Handbook, which are supplemented by thirty-six checklists. The inspectors follow the Air Navigation Regulations and the ASNs in ascertaining whether an AOC applicant complies with the applicable requirements. The CAASL also indicates that it has published ASN No. 064 dated 11 March 2005 establishing that SLCAP 4215, Master Minimum Equipment List/Minimum Equipment List Policy and Procedures Manual, which was approved on 14 March 2005, is the guidance for CAASL inspectors and industry personnel for the preparation of the MEL on the basis of the MMEL.

4.5 **Airworthiness of aircraft**

- 4.5.1 a) **Action proposed by State.** With respect to the recommendation requiring the DCA to establish a system by which information on faults, malfunctions or defects that might cause adverse effects on the continuing airworthiness of aircraft over 5 700 kg maximum certificated take-off mass is transmitted to the organization in charge of the design of aircraft as well as the civil aviation authority in charge of the supervision and design organization, the DCA indicated that the information was conveyed to the regulatory authority of the State of Manufacture through the manufacturer by the local operator with a copy to the DCA. However, a procedure would be developed, by 31 July 2000, to convey the information to the design organization and the responsible authority, as recommended. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that the process was already in place to address this issue, and it would be included in the office procedures manual during the compilation of same, by 30 November 2001.
- b) **Validation of action proposed.** The CAASL has published ASN No. 014, Service Difficulty Reports (SDRs), dated 18 February 2002, and ASN No. 061, Procedures for Certification and continuing Airworthiness. These documents provide information on faults, malfunctions or defects that may cause adverse effects on the continuing airworthiness of aircraft, which must be reported to design organizations and the relevant State authority. ASN No. 014, paragraphs 1.2 and 4.3.5 contain requirements for operators to advise the design organization and the State authority of that organization. Furthermore, copies of SDRs and fleet reliability summaries are being provided to different manufacturers. The ICAO recommendation had been complied with.

- 4.5.2 a) **Action proposed by State.** With respect to the need for the Director General of Civil Aviation to develop and adopt procedures for the approval of aircraft modifications and repairs, the DCA stated in its action plan that according to ANR 38(2), approval was necessary to undertake modifications and that an ASN was in draft stage at the time of the audit. The changes suggested by the ICAO audit team had since been incorporated into the ASN (AWS/2000/004) which had been issued. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that for the interim period the ASN was issued. Estimated implementation date was 30 July 2001.
- b) **Validation of action proposed.** ASN No. 017, Approval Procedures — Modification/Repairs and SLCAP 6200, *Airworthiness Inspectors Handbook*, Chapter 8, Modifications and Repairs have been published to address the lack of procedures for the approval of modifications. Although the procedures have now been published, which were sampled by the ICAO audit follow-up team and considered to contain detailed information to assess and investigate minor and major modifications, neither the ASN nor the *Airworthiness Inspectors Handbook* include any information showing the required paperwork which the CAASL would issue to provide a record of approval of a modification to the applicant. One major operator's maintenance organization has been granted a design approval restricted to the approval of minor modifications. The approval is being used to internally track the modifications made in accordance with a service bulletin. Very few modifications have been approved by the CAASL. There is a need for both ASN No. 017 and SLCAP 6200 to be amended to detail the format of an approval for minor and major modifications (i.e. letter, form, summary sheet, etc). To date, a system of allocating unique tracking numbers to control modifications within the CAASL has not been implemented. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that ASN No. 17, Approval Procedures — Modifications/Repairs dated 10 March 2005 and Chapter 8 of the SLCAP 6200, Airworthiness Inspector Handbook have been amended to meet the above-mentioned requirements.

- 4.5.3 a) **Action proposed by State.** Concerning the recommendation requiring the Minister of Tourism and Civil Aviation to amend the regulations to include a requirement for aircraft registered in Sri Lanka to comply with the noise certification Standards of Annex 16 and to carry on board the aircraft a document attesting compliance, the DCA indicated that action to implement this recommendation would be taken as part of the overall action on the legal framework mentioned in previous parts of the proposed actions. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that this issue would be addressed with the promulgation of new regulations by 30 July 2001 and that DCA inspectors had been provided with training on Annex 16 requirements under the COSCAP-SA.
- b) **Validation of action proposed.** The CAASL has published ASN No. 060, Aircraft Noise Certification, Issue 1 dated 18 November 2004 and also Chapter 19 of the

Airworthiness Inspectors Handbook, which include noise certification requirements for all aircraft in compliance with ICAO Annex 16. The CAASL had been issuing noise certificates; however it had not published a formal procedure. The CAASL now issues noise certificates in compliance with ASN No. 060 and the handbook, providing that the applicant submits suitable copies of the following documentation: original and subsequent noise certificates, details of the current flight manual noise declarations and verification from the applicant attesting that no modifications have been made to the aircraft or engines since the issue of previous certificates, which may affect noise or performance. ASN No. 060, paragraph 3.2 requires the certificate to be carried on board the aircraft. The noise certificate issued to A320 on 31 March 2004 on form AW/11/1/13 was sampled by the ICAO audit follow-up team and considered to be satisfactory. The ICAO recommendation has been complied with.

- 4.5.4 a) **Action proposed by State.** With regard to the recommendation requiring the DCA to develop guidelines or procedures for the surveillance of specialized maintenance activities such as welding of aeronautical products and NDT, the DCA indicated that an ASN addressing the issue was in draft stage and that guidelines would be published and issued to the industry by 30 August 2000. A revision of the corrective action plan from the DCA, dated 3 January 2001, stated that for the interim an ASN would deal with the recommendation and that the recommendation would be addressed with the promulgation of new regulations by 30 July 2001.
- b) **Validation of action proposed.** Progress has been made by the CAASL to publish procedures for the surveillance of NDT and welding. However, its airworthiness inspectors have not received the depth of training required to conduct audits of these specialized tasks. ASN No. 021, Personal Certification for NDT, Issue 1 has been published on 25 March 2002, detailing the CAASL requirements for the qualification of NDT personnel, which shall be in accordance with European Standards EN473 or EN4179. ASN No. 022, Certification of Aircraft Welders, Issue 1, was published on 2 April 2002, by which the testing of welders test pieces from two Sri Lankan AMOs was accepted. The *Engineering Procedures Manual* of one major maintenance department was sampled by the ICAO audit follow-up team to verify compliance and found to be satisfactory. However, the CAASL inspectors have not had sufficient training on either NDT or welding in order to conduct appropriate surveillance of specialized maintenance activities. The ICAO recommendation remains open.

Note.— Subsequent to the audit follow-up mission, the CAASL submitted an update on 14 March 2005 indicating that the training of inspectors on NDT and welding is being planned under the EU-SA Training Project. The first training programme is scheduled to be held in April 2005. In addition, outsourcing of expertise from COSCAP-SA has been requested until such time necessary in-house expertise is developed.

- 4.5.5 a) **Action proposed by State.** With respect to the need for the DCA to establish an organization and develop procedures for aircraft accident and incident investigation,

the DCA indicated that the development of procedures would be completed by 31 July 2000 and that it would establish a separate board to set up the Civil Aviation Authority of Sri Lanka. A revision of the corrective action plan, dated 3 January 2001, stated that the accident investigation procedures were being drafted by an aeronautical inspector who had received training on accident investigations. With the introduction of new regulations and the establishment of the Civil Aviation Authority, the task would be completed by 30 July 2001.

- b) **Validation of action proposed.** Progress has been made by CAASL to establish an organization and publish procedures for the investigation of aircraft accidents and incidents. SLCAP 9999, *Aircraft Accidents and Investigation Procedures Manual* has been published on 16 November 2004 in compliance to ICAO Annex 13 and Docs 9756 and 6920. The SLCAP requires the CAASL to appoint an Aircraft Accident Investigation Board (AAIB). Persons from industry may also be called to be members of the Board. The Director General of Civil Aviation advised the ICAO audit follow-up team that they have prepared an “aircraft accident investigation kit”, should the need arise. Training has already been provided to sufficient staff, and additional training has been scheduled during 2005. The ICAO recommendation has been complied with.

5. UPDATE ON DEPARTURES FROM ICAO SARPs

During the audit follow-up mission, an updated list on the status of implementation and differences existing between the national regulations and Annex 1, Annex 6, Part I and Annex 8 SARPs and/or SARPs not implemented was provided to the audit follow-up team. However, an updated list on the differences existing between the national regulations and Annex 6, Parts II and III has not been provided. As such, Sri Lanka is urged to conduct a thorough review of its national legislation and regulations and to notify ICAO of any differences as required under Article 38 of the Chicago Convention. The differences provided regarding Annex 1, Annex 6, Part I and Annex 8 will be included in the relevant Annex supplement in line with Article 17 of the MOU signed between Sri Lanka and ICAO and in accordance with Article 38 of the Chicago Convention.

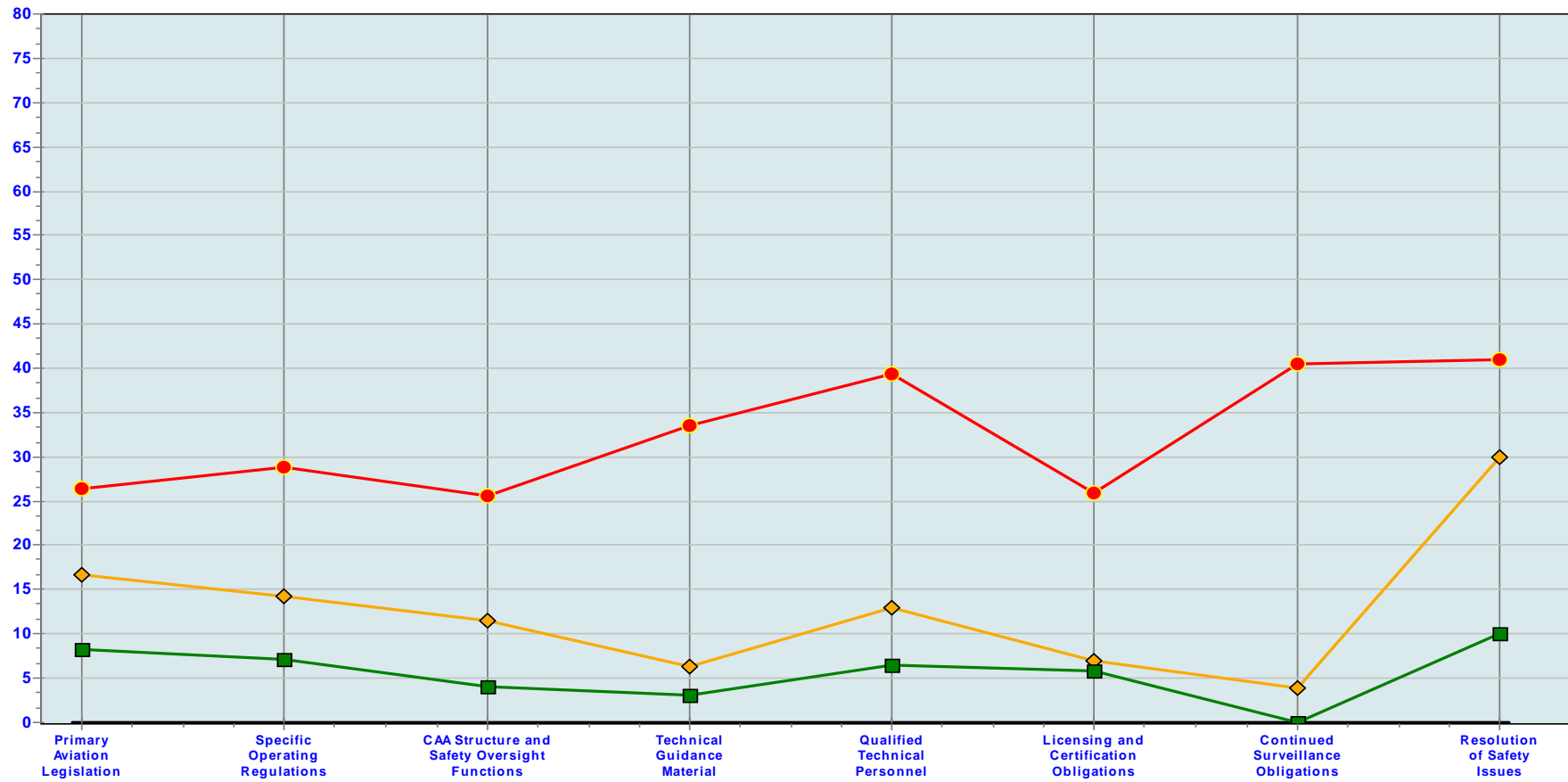
6. AUDIT FINDINGS AND DIFFERENCES DATABASE (AFDD)

6.1 The general objective of the AFDD is to assist States in identifying the elements that need attention in the implementation of the proposed corrective action plan. The information is also intended to assist States in establishing a priority of actions to be taken to resolve safety concerns identified by the audits. The appendix to this report contains a graphic representation of the lack of effective implementation of the critical elements of safety oversight (ICAO Doc 9734 refers) in Sri Lanka and at a global level. The graphic representation of the State level depicts the situation during the initial audit and the situation at the time of the audit follow-up mission. The graphic representation will enable Sri Lanka to prioritize the necessary corrective actions and to identify assistance requirements based on its personnel, technical and financial capabilities in consideration of its safety oversight obligations.

6.2 As indicated in paragraph 1.2 above, the scope of the audit follow-up mission was limited to validating the progress made in the implementation of the State's corrective action plan and did not constitute an audit as described in ICAO Doc 9735. The graphic representation of the situation in the State at the time of the audit follow-up mission, as contained in the appendix to this report, is similarly limited to reflecting the progress made in implementing the ICAO recommendations made during the initial audit and does not purport to depict a current comprehensive evaluation of all aspects of a State's safety oversight system. Considering the mandate for ICAO audit follow-up missions and the time available to conduct such missions, it is possible that some safety concerns may exist in the State which are not covered in this report or reflected in the appendix.

**CRITICAL ELEMENTS OF A SAFETY OVERSIGHT SYSTEM (Doc 9734 refers)
LACK OF EFFECTIVE IMPLEMENTATION (%) — SRI LANKA**

● **GLOBAL: 181 (32.62%)**
 ◆ **Audit: (12.81%)**
 ■ **Follow-Up: (5.62%)**



Note.- The above graphic representation of the situation in the State at the time of the audit follow-up mission is limited to reflecting the progress made in implementing the ICAO recommendations made during the initial audit.