

ICAO Universal Safety Oversight Audit Programme

**FINAL REPORT
ON THE SAFETY OVERSIGHT AUDIT
OF THE
CIVIL AVIATION SYSTEM
OF
SRI LANKA**

(25 October to 4 November 2010)



International Civil Aviation Organization

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ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME



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(25 October to 4 November 2010)

1. INTRODUCTION

1.1 Background

1.1.1 The 32nd Session of the ICAO Assembly (Assembly Resolution A32-11 refers) resolved the establishment of the ICAO Universal Safety Oversight Audit Programme (USOAP), comprising regular, mandatory, systematic and harmonized safety audits of all Contracting States. The mandate for regular audits foresaw the continuation of the Programme, and the term “safety audits” suggested that all safety-related areas should be audited. The expansion of the Programme “at the appropriate time”, as recommended by the 1997 Directors General of Civil Aviation Conference on a Global Strategy for Safety Oversight, had thus been accepted as an integral part of the future of the Programme.

1.1.2 The 35th Session of the ICAO Assembly considered a proposal of the Council for the continuation and expansion of the USOAP as of 2005 and resolved that the Programme be expanded to cover all safety-related Annexes to the *Convention on International Civil Aviation*, hereinafter referred to as the “Chicago Convention” (Assembly Resolution A35-6 refers). The Assembly also requested the Secretary General to adopt a comprehensive systems approach for the conduct of safety oversight audits.

1.1.3 Assembly Resolution A35-6 further directed the Secretary General to ensure that the comprehensive systems approach maintain as core elements the safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*; to make all aspects of the auditing process visible to Contracting States; to make the final safety oversight audit reports available to all Contracting States; and also to provide access to all relevant information derived from the Audit Findings and Differences Database (AFDD) through the restricted website of ICAO.

1.1.4 In accordance with Assembly Resolution A35-6, safety oversight audit reports have been restructured to reflect the critical elements of a safety oversight system, as presented in ICAO Doc 9734 — *Safety Oversight Manual*, Part A — *The Establishment and Management of a State’s Safety Oversight System*. ICAO Member States, in their effort to establish and implement an effective safety oversight system, need to consider these critical elements.

1.2 ICAO audit team composition

1.2.1 The safety oversight audit team was composed of: Mr. Richard Kawaguchi, team leader, primary aviation legislation (LEG)/civil aviation organization (ORG)/airworthiness of aircraft (AIR)/aircraft accident and incident investigation (AIG); Mr. Allan Tang, team member, personnel licensing (PEL)/aircraft operations (OPS); Mr. Hiroshi Inoguchi, team member, air navigation services (ANS); and Mr. Gregory Parnell, team member, aerodromes (AGA).

1.3 Acknowledgements

1.3.1 ICAO expresses its sincere appreciation for the assistance provided to the audit team during the preparation and conduct of the audit. The professionalism and enthusiasm of all personnel who interacted with the audit team greatly contributed to the success of the audit mission.

2. OBJECTIVES AND ACTIVITIES OF THE AUDIT MISSION

2.1 The comprehensive systems approach for the conduct of safety oversight audits consists of three phases. In the first phase, the level of implementation of Annex provisions is assessed and differences from ICAO Standards and Recommended Practices (SARPs) are identified for each Contracting State through a review of a duly completed State Aviation Activity Questionnaire (SAAQ) and Compliance Checklists (CCs) for all safety-related Annexes, as well as through a review of documents developed by the State to assist it in implementing SARPs and in maintaining an effective safety oversight system. In the second phase, the State being audited is visited by an ICAO audit team to validate the information provided by the State and to conduct an on-site audit of the State's overall capability for safety oversight. The third phase of the audit process consists of the activities following the completion of the on-site audit.

2.2 The safety oversight audit of Sri Lanka was carried out from 25 October to 4 November 2010 in accordance with the standard auditing procedures provided for in ICAO Doc 9735 — *Safety Oversight Audit Manual* and the revised Memorandum of Understanding (MOU) as approved by the ICAO Council on 29 November 2006 (C-DEC 179/12 refers) and agreed to on 5 August 2008 between Sri Lanka and ICAO. The audit was carried out with the objective of fulfilling the mandate given by the Assembly which requires ICAO to conduct a safety oversight audit of all Contracting States (Assembly Resolutions A32-11 and A35-6 refer), reviewing a State's compliance with ICAO SARPs set out in all safety-related Annexes and their associated guidance material, as well as with related Procedures for Air Navigation Services (PANS). Furthermore, the objective was also to offer advice, as applicable, to Sri Lanka in implementing these provisions.

2.3 The audit team reviewed the SAAQ and the CCs submitted by Sri Lanka prior to the on-site audit in order to have a preliminary understanding of the civil aviation system established in the State, to determine its various functions as well as to assess the status of implementation of relevant Annex provisions. Information provided and assessed prior to the conduct of the audit was validated during the on-site audit phase. In this regard, particular attention was given to the presence of an adequate organization, processes, procedures and programmes established and maintained by Sri Lanka to assist it in fulfilling its safety oversight obligations.

2.4 The audit results, including the findings and recommendations contained in this report, reflect the capabilities and limitations of the civil aviation system of Sri Lanka as assessed by the audit team. They are thus based on evidence gathered during interviews by the audit team with Sri Lanka's technical experts and background information provided by such personnel, review and analysis of civil aviation legislation, specific regulations, related documentation and file records. Considering the time that was available to conduct the audit and the fact that the safety oversight audit team members could only review and analyse information and documentation made available by the State, it is possible that some safety concerns may not have been identified during the audit. The findings and recommendations related to each audit area are found in Appendix 1 to this report.

3. AUDIT RESULTS

3.1 Critical element 1 — Primary aviation legislation

“The provision of a comprehensive and effective aviation law consistent with the environment and complexity of the State’s aviation activity, and compliant with the requirements contained in the *Convention on International Civil Aviation*.”

3.1.1 The aviation legislative framework in the Democratic Socialist Republic of Sri Lanka (hereinafter referred to as “Sri Lanka”) is comprised of the *Civil Aviation Act, No. 14 of 2010* (hereinafter referred to as the “Act”) and the *Civil Aviation Authority Act No. 34 of 2002*. The Act was drafted by the Ministry of Ports and Aviation (hereinafter referred to as the “Ministry”) and approved by Parliament on 19 October 2010. This Act makes provisions for the regulation and control of matters related to civil aviation. It consists of 128 sections which are grouped under the following 11 chapters:

- 1) Chapter I, Preliminary (Sections 2 to 5);
- 2) Chapter II, Appointment of Service Providers (Sections 6 to 31);
- 3) Chapter III, Regulation of Civil Aviation (Sections 32 to 38);
- 4) Chapter IV, Registration and Marking of Aircraft (Sections 39 to 47);
- 5) Chapter V, Airworthiness and Equipment of Aircraft (Sections 48 to 52);
- 6) Chapter VI, Search and Rescue Operations and Investigation into Accidents and Incidents (Sections 53 to 65);
- 7) Chapter VII, Aviation Personnel and Training Institutions (Sections 66 to 69);
- 8) Chapter VIII, Aircraft Operation (Sections 70 to 83);
- 9) Chapter IX, Commercial Air Transportation (Sections 84 to 99);
- 10) Chapter X, Offenses and Penalties (Sections 100 to 108); and
- 11) Chapter XI, General (Sections 109 to 128).

3.1.2 The *Civil Aviation Authority Act No. 34 of 2002*, dated 27 December 2002 establishes the Civil Aviation Authority of Sri Lanka (CAA-SL) and defines the powers and duties for the CAA-SL, the Director General and his staff. It consists of 43 sections which are grouped under the following seven parts:

- 1) Part I, Establishment and Constitution of the CAA-SL (Sections 2 to 6);
- 2) Part II, Powers, Functions and Duties of the Authority (Sections 7 to 10);
- 3) Part III, Appointment and Powers and Duties of the Director General (Section 11);
- 4) Part IV, Finance (Sections 12 to 17);
- 5) Part V, Staff of the Authority (Sections 18 to 20);
- 6) Part VI, Offenses and Penalties (Sections 21 to 28); and
- 7) Part VII, General (Sections 29 to 43).

3.1.3 Amendments to the Act are initiated or drafted by the Minister, who then consults with the related government organizations and industry. The draft amendment is submitted to the Cabinet of Ministers and then eventually to Parliament for promulgation. The amendment is made available to the public in the Gazette and comes into operation upon publication. The process takes a minimum of three to four months to be completed.

3.1.4 Section 4 of the Act establishes that the Minister has the responsibility for the development, regulation and control of civil aviation in Sri Lanka. Section 117 of the Act specifies that the Minister may promulgate regulations for the implementation of the provisions of the Act in compliance with the SARPs of

the Annexes to the Chicago Convention. Section 3 of the *Civil Aviation Authority Act No. 34 of 2002* establishes an eight member Board which manages the CAA-SL and is headed by a chairman. One of the members of the Board is the Director General of the CAA-SL, who is appointed by the Cabinet of Ministers and serves as the chief executive officer of the CAA-SL and is charged with the general administration of its functions. As stipulated under Section 120 of the Act, the Director General has the authority to issue implementing standards in compliance with the Annexes to the Chicago Convention.

3.1.5 The *Air Navigation Act No. 15 of 1950*, dated 18 May 1951, contained provisions for the issuance of exemptions. However, the recently promulgated Act replaces the *Air Navigation Act No. 15 of 1950* and contains no such provisions. Provisions for exemptions are promulgated in subsidiary legislation; however, they are limited to the area of aerodromes only.

3.1.6 According to Section 5 of the Act, the Minister may delegate all or any of his powers, duties or functions to the CAA-SL or to the Director General. Section 30 of the *Civil Aviation Authority Act No. 34 of 2002* allows for the delegation of certain powers, functions and duties to officers or servants of the CAA-SL. More specifically, Sections 36, 37, 38 and 113 of the Act grant the following powers to the Director General or any person duly authorized by the Director General:

- a) to have unrestricted access to any aircraft or aviation facility in Sri Lanka;
- b) to be able to peruse any aviation-related documents;
- c) to direct the operator or crew of an aircraft to not operate the aircraft, if necessary;
- d) to detain an aircraft in case of necessity; and
- e) to suspend, prohibit or impose conditions on operations of aircraft or aerodromes, if necessary.

3.1.7 Delegation of these powers from the Director General to inspectors is handled on a case-by-case basis for each inspector and documented on a written instrument of delegation. Inspectors are provided with credentials issued by the Director General; they include reference to the Act and the instruments of delegation which specify their exact delegated powers.

3.1.8 The CAA-SL has established policies and procedures for enforcement in the *Aviation Enforcement Policy and Procedures Manual*, dated 15 June 2010. Chapter X of the Act addresses liability for violation of the Act or regulations. For those violations that do not constitute grounds for criminal liability, Section 102 of the Act empowers the Director General to collect all penalties. The maximum penalty for non-criminal violations is 10,000 SDR (approximately 15,500 USD), which serves as a sufficient deterrent.

3.1.9 Sri Lanka ratified Article 83 *bis* of the Chicago Convention on 27 December 2000. Section 77 of the Act contains provisions for Article 83 *bis* agreements between Sri Lanka and other States. However, there are no provisions which allow for the recognition of aviation documents issued or renewed by the State of the Operator under an Article 83 *bis* agreement between third-party States. At present, there are no Article 83 *bis* agreements between Sri Lanka and any other States.

3.1.10 In the area of personnel licensing, Section 66 of the Act provides for the issuance of licences, ratings and medical certificates. In addition, approvals of aviation training organizations are provided for in Section 69. Section 66(5) of the Act allows for the validation and conversion of foreign licences. Section 67 empowers the Director General or such other person acting on his behalf to amend, suspend or revoke any licence, rating, certificate of competency or permit, for any reason as may be prescribed under the Act.

3.1.11 With regard to aircraft operations, Chapter VIII of the Act contains the relevant provisions. Section 71 states that aircraft operators shall observe the rules of the air, which will be in compliance with the SARPs contained in the Annexes to the Chicago Convention. Section 73 of the Act provides for the issuance of an air operator certificate (AOC) and surveillance activities on aircraft operations, and Section 78 addresses the safe transport of dangerous goods by air.

3.1.12 With respect to the airworthiness of aircraft, Chapter IV of the Act contains provisions for registration and deregistration of aircraft, including provisions for application and renewal of certificates of registration. Chapter V of the Act contains general provisions for airworthiness, including issuance and suspension of certificates of airworthiness. Section 70 of the Act states that no aircraft registered in Sri Lanka shall fly within its territory unless it carries on board valid certificates of registration and airworthiness. Section 92 states that no person shall provide any repair or maintenance for any airline unless they have an appropriate permit issued by the Director General.

3.1.13 With respect to air navigation services, Section 2 of the Act enables regulations, which comply with Annex 2 — *Rules of the Air*, Annex 3 — *Meteorological Service for International Air Navigation*, Annex 4 — *Aeronautical Charts*, Annex 5 — *Units of Measurement to be Used in Air and Ground Operations*, Annex 10 — *Aeronautical Telecommunications*, Annex 11 to the Chicago Convention, Annex 12 — *Search and Rescue* and Annex 15 — *Aeronautical Information Services*, to govern all activities relating to civil aviation within the territory of Sri Lanka. In addition, Sections 3, 4, 53 and 71 of the Act provide the legal basis for the issuance of rules and regulations which address Articles 12, 25, 28 and 37 of the Chicago Convention. Furthermore, Section 6 of the Act empowers the Minister to appoint by Order a service provider for the provision of ANS. For search and rescue (SAR) operations, Section 53 allows the CAA-SL to establish SAR-related procedures, and Section 54 allows the Minister to requisition aircraft and call out for services to assist in SAR.

3.1.14 In the area of aerodromes, Sections 10 and 32 of the Act allow the Director General to issue licences to aeronautical service providers, including aerodrome operators. Section 13 of the Act establishes that the CAA-SL shall classify aerodromes in accordance with such regulations as made by the Minister. Section 14 addresses the development, certification and expansion of aerodromes. Operating restrictions or sanctions may be imposed on aerodrome operators under the provisions of Section 26 of the Act. These include suspension or revocation of a licence by the CAA-SL or Director General for non-compliance or refusal to comply with established criteria.

3.1.15 With respect to aircraft accident and incident investigation, legislative provisions are contained in Chapter VI of the Act. Section 55 of the Act states that the purpose of accident and incident investigations is to determine the cause and ensure prevention of similar occurrences in the future and not to apportion blame or liability. Section 56 grants power to the Board of the CAA-SL to appoint an Aircraft Accident Investigation Board (AAIB). However, such an arrangement does not necessarily ensure independence in the conduct of investigations of accidents and serious incidents. Section 58 defines some of the powers of the AAIB, including the right of unhampered access to aircraft wreckage and the right to take statements from witnesses. Section 59 of the Act addresses the scenario where an accident occurs outside of Sri Lanka, but involves an aircraft registered in Sri Lanka and results in loss of life or serious injury. Section 61 contains provisions that allow for the protection and custody of all relevant evidence, as required by Annex 13 to the Chicago Convention. Section 63 of the Act states that the AAIB shall reopen an investigation if new and significant evidence becomes available.

3.2 Critical element 2 — Specific operating regulations

“The provision of adequate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation and providing for standardized operational procedures, equipment and infrastructures (including safety management and training systems), in conformance with the Standards and Recommended Practices (SARPs) contained in the Annexes to the Convention on International Civil Aviation.

Note.— The term ‘regulations’ is used in a generic sense to include instructions, rules, edicts, directives, sets of laws, requirements, policies, orders, etc.”

3.2.1 The *Air Navigation Regulations of 1955* are still effective; however, Sri Lanka is in the process of repealing portions of these regulations with new regulations. The *Civil Aviation (Interim) Regulations No. 01 of 2002*, dated 28 November 2002, empower the Director General to issue Aviation Safety Notices (ASNs), which function as subordinate legislation for specific technical areas. With the promulgation of the Act, ASNs will eventually be phased out and replaced with implementing standards.

3.2.2 Procedures for amendments to subordinate legislation are contained in Directive D-002 of the *Office Manual*. The proposed amendment is initiated by the appropriate section within the CAA-SL. The head of the section submits justification through the respective head of the division for approval by the Director General. If the proposed amendment has a direct impact on the industry, sufficient lead time is considered for operators to comply with the new regulatory requirements. The final approval authority depends on whether the subordinate legislation is an implementing standard, rule or regulation. Implementing standards, rules and regulations are approved by the Director General, Board of the CAA-SL and the Minister, respectively. The primary and subordinate legislation are available to the public on the CAA-SL website: <http://www.caa.lk> and in hard copy form, upon request.

3.2.3 The *Office Manual* also addresses the identification and notification of differences between the regulations and the Annexes to the Chicago Convention. The Director of the Corporate Division of the CAA-SL receives the ICAO State letters and distributes them to the relevant technical divisions, for the review of the changes to the Annexes, including an evaluation of the degree of impact. The director of the affected division submits a proposal for course of action to the Director General for his review. At this point, the Director General may consider referring the matter to industry, if the proposed recommendations have a significant impact on industry. After having discussions between the CAA-SL division and industry, the division director drafts a reply to ICAO. It is then the responsibility of the Director of the Corporate Division to ensure a reply to the ICAO State letter is sent out within the time period stipulated by ICAO. Subsequently, significant differences between the State regulations and Annexes are published in the Aeronautical Information Publication (AIP) of Sri Lanka.

3.2.4 In the area of personnel licensing, the *Air Navigation Regulations of 1955*, Chapters IV, V and VI provide the operating regulations for aircraft maintenance engineers, flight crew and the approval of aviation training organizations, respectively. The CAA-SL also issues ASNs which address licensing requirements that complement the *Air Navigation Regulations of 1955* to enable implementation of the provisions of Annex 1 to the Chicago Convention. These include the following:

- a) ASN No. 57, Licensing Requirements for Flight Dispatchers;
- b) ASN No. 59, Medical Provisions for Licensing;
- c) ASN No. 101, Language Proficiency Requirements; and
- d) ASN No. 112, ATC Licence and Ratings.

3.2.5 In the area of aircraft operations, the regulations issued by the CAA-SL are comprised of the *Air Navigation Regulations of 1955*, supplemented by the *Civil Aviation (Interim) Regulations No. 01 of 2002*, which provide for the issuance of ASNs to implement the provisions of Annex 6 to the Chicago Convention and Annex 18 — *The Safe Transport of Dangerous Goods by Air*. Some of the relevant ASNs include the following:

- a) ASN No. 13, Access to Flight Deck;
- b) ASN No. 23, Fatigue Management;
- c) ASN No. 30, Carriage of Enhanced Ground Proximity Warning System;
- d) ASN No. 42, Operational Requirements;
- e) ASN No. 44, Requirements for Operational Limitations;
- f) ASN No. 46, Aircraft Communications and Navigation Equipment; and
- g) ASN No. 53, Requirements for Aircraft Instruments, Equipment and Flight Documents.

3.2.5.1 The latest AIP was updated to reflect differences from Amendment 34 of Annex 6.

3.2.6 With respect to the airworthiness of aircraft, the regulations pertaining to the airworthiness-related provisions of Annex 6 to the Chicago Convention, Annex 7 — *Aircraft Nationality and Registration Marks*, Annex 8 to the Chicago Convention and Annex 16 — *Environmental Protection* include the following ASNs:

- a) ASN No. 02, Airworthiness Certification Requirements;
- b) ASN No. 17, Approval Procedures for Modifications and Repairs;
- c) ASN No. 33, Guidelines for Aircraft Registration;
- d) ASN No. 45, Requirements for Maintenance of Aircraft;
- e) ASN No. 60, Aircraft Noise Certification;
- f) ASN No. 61, Procedure for Continuing Airworthiness;
- g) ASN No. 85, Requirements for the Establishment of Maintenance Facilities; and
- h) ASN No. 94, Requirements for the Establishment of an Approved Maintenance Organization.

3.2.6.1 ASN No. 17 addresses approval procedures for modifications and repairs. However, the CAA-SL accepts, rather than approves, data in support of modifications and repairs; therefore, the related regulations and procedures do not reflect true practices. Sri Lanka has not issued or adopted a detailed national code of airworthiness. Instead, type acceptance for individual aircraft is based on the State of Design.

3.2.7 In the field of air navigation services, 17 ASNs have been promulgated, some of which include the following:

- a) ASN No. 86, Rules of the Air in Sri Lanka Airspace;
- b) ASN No. 90, Requirements to be Satisfied for the Provision of Aeronautical Information Services in Sri Lanka;
- c) ASN No. 91, Requirements to be Satisfied for the Provision of Air Traffic Services in Sri Lanka;
- d) ASN No. 93, Implementation of the Standards of the ICAO Annex 5 “Units of Measurement to be used in Air and Ground Operations”;
- e) ASN No. 100, Standards on Aeronautical Charts to be Satisfied by the Air Navigation Service Providers and Aerodrome Operators in Sri Lanka;

- f) ASN No. 105, Requirements to be Satisfied for the Provision of Meteorological Services in Sri Lanka and Requirements to be Satisfied by Aircraft Registered in Sri Lanka when Providing Aircraft Observations;
- g) ASN No. 108, Requirements to be Satisfied by the Service Provider Responsible for the Provision Air Navigation Services and Organizations Responsible to Establish RCC/RSCs in Sri Lanka;
- h) ASNs No. 113 and 114, Requirements to be Satisfied for the Provision of Aeronautical Telecommunication and Radio Navigational Aids in Sri Lanka; and
- i) ASN No. 124, Standards of Search & Rescue in Sri Lanka.

3.2.7.1 ASN No. 93 addresses possible units of measurement which can be used in air and ground operations. However, ASN No. 93 does not specify which units of measurement (SI or Non-SI) will be used in Sri Lanka in accordance with Annex 5 to the Chicago Convention. The AIP cites certain units for common use, such as nautical miles for distance and knots for horizontal speed. ASN No.108 requires all service providers to establish and implement a runway safety programme.

3.2.8 With respect to aerodromes, the two pertinent ASNs are:

- a) ASN No. 96, Requirements to be Satisfied by Aerodrome Operators for the Certification of Aerodromes; and
- b) ASN No. 99, Aerodrome Standards to be Satisfied by Aerodrome Operators.

3.2.8.1 ASN No. 99 requires that operators of aerodromes intended for international air transport operations be in possession of an aerodrome certificate. The provisions of ASN No. 96 permit authorized personnel to inspect and carry out tests on aerodrome facilities, services and equipment, review aerodrome operator documents/records and verify the aerodrome operator's safety management system (SMS) before an aerodrome certificate is granted or renewed.

3.2.9 With respect to aircraft accident and incident investigation, the Board of the CAA-SL has promulgated the *Aircraft Accident and Incident Investigation Rule (AAIIR) of Sri Lanka*, dated 29 October 2010. The AAIIR of Sri Lanka contains the essential requirements to enable the conduct of investigations and to implement the SARPs contained in Annex 13 to the Chicago Convention. The AAIIR of Sri Lanka also contains provisions for notification and reporting of aircraft accidents and serious incidents.

3.3 **Critical element 3 — State civil aviation system and safety oversight functions**

“The establishment of a civil aviation authority (CAA) and/or other relevant authorities or government agencies, headed by a Chief Executive Officer, supported by the appropriate and adequate technical and non-technical staff and provided with adequate financial resources. The State authority must have stated safety regulatory functions, objectives and safety policies.

Note.— The term ‘State civil aviation system’ is used in a generic sense to include all aviation-related authorities with aviation safety oversight responsibility which may be established by the State as separate entities, such as: CAA, airport authorities, air traffic service authorities, accident investigation authority, meteorological authority, etc.”

3.3.1 The CAA-SL was established on the basis of Section 2 of the *Civil Aviation Authority Act No. 34 of 2002*. The Board of the CAA-SL has the authority to approve its organizational structure, which is

detailed in the *Office Manual*. The CAA-SL headquarters are located in Colombo. Concerning the budget, the Finance Division of the CAA-SL collects inputs from the technical divisions before proposing an annual budget to the Director General, who then submits the proposed budget to the Board of the CAA-SL for approval. Funding is provided by four sources: Overseas service surcharges, fees collected from regulatory services, service charges collected from embarkation levies and, if necessary, the General Treasury. At present, the amount of funding is sufficient for meeting the national and international obligations related to civil aviation safety oversight.

3.3.2 The CAA-SL is comprised of three divisions, as follows:

- 1) Aeronautical Services;
- 2) Flight Safety; and
- 3) Corporate.

3.3.3 The Aeronautical Services and Flight Safety Divisions are responsible for the safety oversight of civil aviation in Sri Lanka, which includes certification/licensing, inspection/audit, enforcement and proposed rulemaking.

3.3.4 The Airport and Aviation Services Ltd. (AASL) is the primary service provider and is distinct from the regulatory entity.

3.3.5 The Aeronautical Services Division is further divided into three functional sections or branches:

- 1) Aviation Security;
- 2) Aerodromes and Navigation Services; and
- 3) Special Projects.

3.3.6 The Flight Safety Division is also further divided into three functional sections:

- 1) Personnel Licensing;
- 2) Operations; and
- 3) Airworthiness.

3.3.7 In addition, there is the Accident Investigation Unit, which performs administrative functions concerning aircraft accidents and incidents and reports directly to the Director General of the CAA-SL. The technical divisions also coordinate with the Corporate Division, which handles financial, legal and human resource-related responsibilities.

3.3.8 For each section within the CAA-SL, job descriptions are established for all positions in the *Office Manual*. Recruitment procedures are carried out in accordance with the *Staff Rules and Administrative Procedures Manual, Revision 13*, dated 26 August 2010 and the *Schemes of Recruitment*, dated 23 July 2010. The Director General submits his recommendations for recruiting decisions to the Board of the CAA-SL for final approval. Overall, the staff of the CAA-SL are experienced and qualified to perform their assigned tasks. The staffing level is sufficient in all areas, the turnover rate is low and currently, the CAA-SL has three vacant positions that are related to safety oversight.

3.3.9 The Personnel Licensing Section of the Flight Safety Division is responsible for safety oversight activities of all licensing functions pertaining to flight crew, flight dispatchers, aircraft maintenance

engineers, air traffic controllers and cabin crew, including the validation and conversion of foreign licences and the approval of training organizations. Job descriptions for the Personnel Licensing Section's management, technical and support staff are defined in the *Personnel Licensing Procedures Manual, Second Edition*, dated 1 December 2009. Some of the flight test functions are delegated to certain instructor pilots from the airlines. Renewals for continued appointment are conducted annually. CAA-SL designated examiners also conduct practical tests for flight dispatcher and aircraft maintenance examiners.

3.3.9.1 The Personnel Licensing Section also oversees activities pertaining to the designation of medical examiners. A medical assessor from within the Personnel Licensing Section evaluates examination reports prior to the issuance of a medical certificate. In addition, the medical assessor oversees the appointment of designated medical examiners. The designated medical examiners are required to undergo aviation medicine training and pass an assessment test prior to their appointment, which is valid for a three-year period. For re-appointment, all designated medical examiners must undergo recurrent training in aviation medicine.

3.3.10 Concerning aircraft operations and the safe transport of dangerous goods by air, the safety oversight functions are under the responsibility of the Operations Section of the Flight Safety Division. Such functions cover the issuance of AOCs, continued surveillance of air operators, the issuance of dangerous goods approvals and cabin safety surveillance activities. Job descriptions for flight operations inspectors, cabin safety and ground operations inspectors are defined in the *Office Manual* and the *Operations Inspector Handbook, First Edition*, dated 1 July 2010. The CAA-SL has also delegated to individuals from airlines the task of performing flight checks. With respect to the transport of dangerous goods by air, the Ground Operations Unit within the Operations Section is assigned responsibility for authorization and oversight of such activities and is staffed with three inspectors. All inspectors are issued credentials to facilitate their activities. However, the CAA-SL issued credentials to one inspector who did not complete his on-the-job training (OJT).

3.3.11 With respect to the airworthiness of aircraft, the Airworthiness Section of the Flight Safety Division is responsible for oversight of continuing airworthiness of aircraft and surveillance of flight operations and maintenance. More specifically, the responsibilities include: issuance of certificates of registration; maintenance of the aircraft registry; acceptance of type certificate; issuance of documents attesting to noise certification; approval of minor modifications and repairs; issuance and renewal of the certificates of airworthiness; handling of special flight permits; approval of air operator maintenance control manuals and maintenance programmes; evaluation of air operator specific operating provisions; approval and surveillance of maintenance organizations; and continuing airworthiness responsibilities as the State of Registry. The Airworthiness Section is headed by a deputy director and is staffed by an airworthiness expert, three airworthiness engineers, four assistant airworthiness engineers, three document clerks and one office aide.

3.3.11.1 According to the *Airworthiness Office Procedures Manual, First Edition, Revision 1*, dated 31 October 2010, the responsibilities of airworthiness engineers include granting of approvals to carry out airworthiness-related activities, conduct of routine surveillance and audits, acceptance of major modifications and repairs and acceptance of type certificates in support of issuance of certificates of airworthiness. At present, there are sufficiently qualified staff to carry out the functions and mandate of the Airworthiness Section.

3.3.12 With respect to air navigation services, the Navigation Services Section is established under the Aerodromes and Navigation Services Branch, which reports to the Aeronautical Services Division of the CAA-SL. The Navigation Services Section serves as the inspectorate for ANS safety oversight. The role of the Navigation Services Section is to monitor and ensure compliance of service providers of air traffic services (ATS), including aviation meteorological services (MET), within the provisions of Sri Lanka's legislative and regulatory framework. Specific roles, including job descriptions relating to the issuance of certificates and

monitoring compliance of ATS service providers, are defined within the *Office Manual*. There are presently six ANS inspectors who cover the areas of ATS; Procedures for Air Navigation Services (PANS)-OPS; aeronautical information services (AIS); aeronautical maps and charts (MAP); communications, navigation and surveillance (CNS); MET; and SAR. The positions in the areas of ATS, AIS, PANS-OPS, MAP and SAR are permanently filled by inspectors who are qualified in terms of minimum requirements set forth by the CAA-SL. The positions in the areas of CNS and MET are filled by individuals on a contract basis.

3.3.12.1 The AASL functions as the service provider and employs approximately 140 ANS-related technical staff at its headquarters and operational facilities at Bandaranaike International Airport (CMB) and at Ratmalana Airport. The AASL provides services of aerodrome control, approach radar control, AIS including international NOTAM office and briefing office at CMB, and services of area and aerodrome control. The AASL is also responsible for CNS, including operations and maintenance of communication systems, ground navigation aids, and surveillance facilities required for ATS. With regard to MAP and PANS-OPS, both services are provided by the AASL headquarters at CMB.

3.3.12.2 The Department of Meteorology (DOM) within the Ministry of Disaster Management is the national designated authority providing MET services for aviation. In order to establish the provision of aeronautical MET services and the conduct of safety oversight by the CAA-SL, the CAA-SL has initiated an agreement with the DOM. However, the CAA-SL and the DOM have not yet finalized this agreement; therefore, the CAA-SL has not yet been enabled to effectively conduct safety oversight of MET activities.

3.3.12.3 Concerning airspace structure, the Colombo Area Control Centre (ACC) covers the entire Colombo flight information region (FIR) adjacent to the Australian Melbourne FIR, the Indian Chennai FIR, the Indonesian Jakarta FIR, and the Maldives' Male FIR. The annual traffic flying over the Colombo FIR counts approximately 15,500 in 2008, 17,400 in 2009 and is expected to exceed 19,000 in 2010. The annual traffic movement at CMB, including military, counts 41,800 in 2008, 37,600 in 2009 and is expected to exceed 40,000 in 2010. A modernization project to upgrade facilities and systems at the Colombo ACC is due to be completed in 2011.

3.3.12.4 The CAA-SL is responsible for ensuring prompt provision of SAR services within the Colombo search and rescue region. The aeronautical rescue coordination centre (RCC) is located within the Colombo ACC, and is staffed with qualified officials on a 24-hour basis. The CAA-SL has initiated legal arrangements with domestic entities as SAR units, including provisions for resources and a workforce appropriate for SAR services. However, the CAA-SL has not yet finalized agreements with these entities. Similarly, Sri Lanka has not established letters of agreements in relation to aeronautical SAR arrangements with all neighbouring States.

3.3.13 Concerning aerodromes, the Aerodromes Section is established under the Aerodromes and Navigation Services Branch of the Aeronautical Services Division, as the inspectorate for aerodrome safety oversight. The role of the Aerodromes Section is to monitor and ensure compliance of aerodrome operators within the provisions of Sri Lanka's legislative and regulatory framework. Specific roles, including job descriptions relating to the issuance of certificates and monitoring compliance of aerodrome operators, are defined in the *Office Manual*. The Aerodromes Section presently consists of an aerodrome inspector, two assistant aerodrome inspectors and an aerodrome engineer responsible for aerodrome design and standards development. The specific role of the aerodrome inspectors is to provide safety oversight of aerodrome operators including surveillance, inspections and audits to ensure compliance with the provisions of the Act and regulations. There are sufficient resources within the Aerodromes Section to manage the aerodrome certification and surveillance programme currently being undertaken.

3.3.14 With respect to aircraft accident and incident investigation, the AAIB is formed on an ad-hoc basis under the direction of the Board of the CAA-SL. The AAIB consists of a number of investigators, as determined by the Board of the CAA-SL, one of whom will act as the Chief Investigator. In addition to the AAIB, there is the Accident Investigation Unit (AIU), which is a permanent entity that reports to the Director General of the CAA-SL. The AIU handles day-to-day activities, including receiving and acting upon notifications of accidents and serious incidents received within Sri Lanka and from other States. The AAIB, including the Chief Investigator, is selected from a pool of CAA-SL technical staff. There is a letter of understanding issued by the Director General which relieves investigators of their CAA-SL duties during an investigation; however, there is no mechanism in place which prevents possible conflicts of interest. There are sufficient human resources available to conduct investigations of most serious incidents and accidents. However, in the event of a major investigation, there is no agreed upon arrangement with other States or regional organizations to obtain additional personnel for such investigations, if necessary. Overhead costs for investigations and the AIU are covered by Sri Lanka, any incidental costs are covered by the owners of the aircraft involved in the accident or serious incident. In the event of a major investigation, Sri Lanka has set up the Accident Investigation Fund as a supplementary source of funding.

3.4 **Critical element 4 — Technical personnel qualification and training**

“The establishment of minimum requirements for knowledge and experience of the technical personnel performing safety oversight functions and the provision of appropriate training to maintain and enhance their competence at the desired level. The training should include initial and recurrent (periodic) training.”

3.4.1 The Director General has issued the *Staff Rules and Administrative Procedures Manual*. According to this document, the CAA-SL training policy states that technical staff will be provided with the opportunities to enhance their personal skills, whilst at the same time ensuring the training provided is consistent with the organization’s objectives. Master Training Plans (MTPs) have been developed for each technical area. However, these MTPs do not ensure that high priority training will be accomplished in a timely manner. Training records are kept up to date by the Human Resources and Office Management Section of the Corporate Division. Additional copies of training records are maintained in each technical section.

3.4.2 In the area of personnel licensing, minimum qualification and experience requirements for staff are defined in the *Personnel Licensing Procedures Manual*. Renewal checks are conducted by the licensing inspectors to ensure all delegated flight test personnel maintain their qualifications and proficiencies for their continued appointments. As for designated medical examiners, their minimum qualification and experience requirements are defined in the *Medical Procedures Manual, First Edition*, dated 30 August 2010. All designated medical examiners are required to undergo recurrent training in aviation medicine every three years. The Personnel Licensing Section has established a formal training programme for its staff. However, this training programme has not been fully implemented.

3.4.3 With respect to aircraft operations, the *Schemes of Recruitment* give detailed qualification requirements for inspectors. The MTP and the *Office Manual* contain the guidance for the development of training programmes and plans for all inspectors within the Operations Section. However, the established training programme has not been fully implemented. The CAA-SL has established minimum flight and work experience requirements for flight operations, cabin safety and ground operations/dangerous goods inspectors. The Operations Section has delegated 18 check pilots from the airlines to perform flight proficiency and competency checks as well as route checks and upgrades. The experience requirements for the designated check pilots are outlined in the *Designated Check Pilot Manual, Third Edition*, dated 22 September 2010. These designated check pilots are adequately trained and qualified for their tasks. The Operations Section’s

training records are properly maintained in accordance with the *Office Manual*.

3.4.4 With respect to the airworthiness of aircraft, the CAA-SL has established minimum qualification and experience requirements for airworthiness engineers in the *Schemes of Recruitment*. To become a fully qualified airworthiness engineer, there is a requirement of at least five years of experience from within the CAA-SL or at least eight years of related outside experience and possession of a Bachelor's degree in science. The training programme is detailed in the *Airworthiness Inspectors Handbook, First Edition*, dated 5 July 2008, which includes provisions for initial, recurrent and specialized training. However, this training programme does not contain detailed provisions for OJT, including standard check forms that document successful completion of OJT.

3.4.5 In the area of air navigation services, the CAA-SL has established the minimum qualification and experience requirements for its inspectors in the *Schemes of Recruitment* and the *Air Navigation Services (ANS) Inspector's Handbook, First Edition*, dated 22 July 2010. The *Office Manual* addresses training programmes, in general, for its ANS staff. However, the training programmes do not include details for OJT, such as performance evaluation and assessment forms. All training records except for OJT records of the ANS inspectors are maintained and available.

3.4.6 In the area of aerodromes, qualifications for the technical staff in the Aerodromes Section are detailed in the *Office Manual*. The present minimum educational requirement for aerodrome inspectorate staff is a tertiary engineering level (or equivalent) along with a minimum level of experience which is defined in the *Schemes of Recruitment*. The Aerodromes Section staff training plan and programme are detailed in the MTP and *Office Manual*, respectively. The programme addresses initial and recurrent training; however, a formal system for OJT for aerodrome inspectorate staff has not been established. SMS training has been identified and completed by the appropriate inspectorate staff. However, some specialist area training, such as rescue and fire-fighting has been identified within the programme but not implemented. Personnel files contain each individual's complete training records.

3.4.7 With respect to aircraft accident and incident investigation, minimum qualification and experience requirements for the recruitment of investigators are contained in the *AIU Policy Manual, First Edition*, dated 7 October 2010. The *AIU Policy Manual* also includes a listing of available CAA-SL staff from which the Board of the CAA-SL may select an investigation team. This manual includes a training programme, which contains provisions for initial, OJT, recurrent, and specialized training. However, this training programme has not yet been fully implemented, especially in the area of specialized training.

3.5 **Critical element 5 — Technical guidance, tools and the provision of safety critical information**

“The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and safety critical information, as applicable, to the technical personnel to enable them to perform their safety oversight functions in accordance with established requirements and in a standardized manner. In addition, this includes the provision of technical guidance by the oversight authority to the aviation industry on the implementation of applicable regulations and instructions.”

3.5.1 The CAA-SL staff have access to reference documentation, including those from ICAO and other relevant organizations, via hard copies that are distributed to each technical section. In addition, the CAA-SL maintains hard copies of certain ICAO documents and technical publications in its central library. These materials are available not only to the technical staff of the CAA-SL, but to the general public as well.

The library also has a document control system in place in accordance with Directive D-003 of the *Office Manual*, which ensures availability and currency of the documents. All areas of the CAA-SL have adequate facilities, tools/equipment and transportation that allow the technical staff to carry out their duties and responsibilities effectively.

3.5.2 With respect to personnel licensing, the *Personnel Licensing Procedures Manual* provides guidance to inspectors in carrying out their licensing duties and functions. It contains procedures for validation and conversion of foreign licences and ratings and the designation of flight examiners. The procedures for the designation of medical examiners are detailed in the *Medical Procedures Manual*. Personal medical reports and records are kept in a confidential and secured manner. In addition, there are the following manuals:

- a) *ATC Assessment Procedures Manual, First Edition*, dated 30 June 2010;
- b) *Aircraft Maintenance Licence Assessment Procedure Manual, First Edition*, dated 1 July 2010;
- c) *Flying School Certification Manual, First Edition*, dated 1 January 2010; and
- d) *Perpetual Licence Assessment Procedures Manual, First Edition*, dated 30 June 2010.

3.5.2.1 The Personnel Licensing Section technical library is administered under the general library, which has a system to ensure receipt and control of all technical documents.

3.5.3 With respect to aircraft operations, the *Air Operator Certification Manual, Third Edition*, dated 1 December 2009, outlines the technical procedures, forms and checklists for performing air operator certification and inspection functions in accordance with the relevant ASNs. The *Operations Inspector Handbook* contains procedures for the approval of aircraft leasing arrangements, as well as special operations such as extended range operations by airplanes with two turbine-power units (ETOPS), reduced vertical separation minima (RVSM), required navigation performance (RNP), and all weather operations. The CAA-SL has also provided guidance material for its inspectors in the *Dangerous Goods Inspector Guidance Manual, First Edition*, dated 15 June 2010. However, the Aviation Security Section has not formalized its certification procedures to ensure air operators comply with all related security provisions in Annex 6 to the Chicago Convention. The Operations Section's technical library is administered by the general technical library, which has a system to ensure receipt and control of all technical documents. Hard copies of all relevant *Airplane Flight Manuals* are available to the technical staff.

3.5.4 With respect to the airworthiness of aircraft, the CAA-SL has developed procedures and checklists that are contained in the *Airworthiness Office Procedures Manual* and the *Airworthiness Inspectors Handbook*. The *Airworthiness Inspectors Handbook* addresses approvals and surveillance associated with AOC holders and approved maintenance organizations (AMOs). However, the procedures for approval of maintenance control manuals and maintenance programmes do not include detailed guidance on the observation of human factors principles. The *Airworthiness Office Procedures Manual* addresses other airworthiness-related approvals, issuance of certificates of registration and maintenance of the aircraft register. However, there are no procedures or checklists for the approval of an SMS. There is a technical library dedicated to the Airworthiness Section which includes information on design organization documentation and continuing airworthiness information for all types of aircraft on the State registry, both in hard copy and in digital format.

3.5.5 Concerning air navigation services, the Navigation Services Section has documented procedures and guidelines in the *Air Navigation Services (ANS) Inspector's Handbook*. Most of the required procedures are included; however, there are no contingency plans for implementation in the event of disruption, or potential disruption, of ATS and related supporting services. The CAA-SL has also issued

guidance material, including ASNs, concerning air navigation regulations, operational procedures and advisories to concerned entities, including the AASL. In addition, the Navigation Services Section maintains its own technical library; most of the materials are also made available to the technical staff in electronic form. The AASL issues safety critical information for air navigation by means of the AIP, MAP and notices to airmen. A comprehensive AIP has been published in three parts in accordance with the provisions of Annex 15 to the Chicago Convention. The AIP is amended on an annual basis and was last amended on 8 October 2010. An electronic version of the AIP is also available to the staff and public.

3.5.6 In the area of aerodromes, guidance material and procedures for inspectorate staff include the following:

- a) *Manual of Aerodrome Certification Procedure, First Edition*, dated 3 March 2008;
- b) *Airside Operation Safety Manual, First Edition*, dated 20 November 2008;
- c) *Aerodrome Inspector Handbook, Second Edition*, dated 1 August 2010; and
- d) *Manual on Exemption Procedures for Non-Compliance at Aerodromes, First Edition*, dated 1 October, 2010.

3.5.6.1 These documents have been developed for use by aerodromes inspectorate staff to carry out safety oversight functions relating to aerodrome certification. Initial application for aerodrome certification is based upon the standard form included in Appendix 1 of ASN No. 96. The *Manual of Aerodrome Certification Procedures* establishes the assessment guidance for use by regulatory staff during the aerodrome manual and aviation facility phases of certification. This supports most of the requirements for aerodrome certification within ASN No. 96. However, there is no procedure for ensuring the accuracy and integrity of aeronautical data provided with the application for an aerodrome certificate. ASN No. 96 allows for operating conditions to be imposed on an aerodrome certificate and includes procedures for enforcement, with further guidance material contained in the Aerodrome Inspector Handbook. Aerodrome certificate transfers are not permitted. ICAO-related documents and other technical and regulatory guidance are kept in the Aerodromes Section technical library and maintained according to an established document control system.

3.5.7 With respect to aircraft accident and incident investigation, the investigators are provided with the necessary investigation equipment, as well as the transportation and communication means to carry out their tasks. The *Aircraft Accident Procedures Manual, Second Edition, Revision 1*, dated 27 October 2010 contains a wide range of procedures which include, but are not limited to, the notification, reporting and conduct of aircraft accident and serious incident investigations. The AIU has ensured that notifications and final investigation reports are systematically distributed to all involved States, and, when necessary, to ICAO. Sri Lanka has promulgated regulations that give priority to the AAIB over other authorities with regard to access to the scene of an accident or serious incident. However, Sri Lanka has not established formal arrangements to facilitate the coordination between the investigators and the judicial authorities throughout the investigation process.

3.6 **Critical element 6 — Licensing, certification, authorization and/or approval obligations**

“The implementation of processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization and/or approval to conduct the relevant aviation activity.”

3.6.1 With respect to personnel licensing, all licences and approvals are issued in accordance with the *Personnel Licensing Procedures Manual*, which comply with the standards for age, knowledge, experience and skills contained in Annex 1 to the Chicago Convention. All licences and ratings including flight instructor ratings are of the expiry type. Competency requirements must be met on a continual basis in order for the licence holders to exercise their privileges. The CAA-SL also issues language proficiency ratings for flight crew and air traffic controllers. Applicants for the designation of flight examiners are required to meet minimum qualifications, undergo a training programme and pass a competency check as examiner. For the issuance of a medical certificate, an applicant is required to be examined by a designated medical examiner at the CAA-SL. The designated examiner submits the medical examination report to the medical assessor of the CAA-SL who then decides if a medical certificate can be issued. Certification of training organizations is carried out by CAA-SL inspectors and includes onsite inspections, review of the training organization's manual, management structure, key personnel qualifications and quality assurance system.

3.6.2 In the area of aircraft operations, the CAA-SL has carried out its certification process for the issuance of an AOC that is mostly in compliance with ASN No. 42. This process includes CAA-SL approval of the air operator training programmes, training facilities and devices, as well as flight time limits, duty periods and rest periods for crew members. The AOC is issued by the Director General along with accompanying operations specifications which contain specific authorizations, approvals, conditions and limitations. However, some of the AOC holders do not fully comply with the regulations pertaining to fatigue management, reporting of volcanic activities and maintaining all responsibilities related to ground handling matters. Furthermore, the CAA-SL does not assess the applicant's flight safety document system prior to issuance of an AOC. The flight operations approval process involves review of operations procedures, crew training and amendments to the operations manual including the minimum equipment list, as applicable. With respect to the safe transport of dangerous goods by air, a one-year authorization is issued by the Director General.

3.6.3 With respect to the airworthiness of aircraft, the Airworthiness Section has issued certificates of airworthiness and documents attesting to noise certification in accordance with the *Airworthiness Office Procedures Manual*. The Airworthiness Section does not approve major modifications and repairs. Instead, it relies upon data approved by the State of Design, which they subsequently accept. However, this acceptance is not accomplished in accordance with any established procedures. The Airworthiness Section coordinates with the Operations Section when evaluating air operator certification, as detailed in the *Airworthiness Inspectors Handbook*. Similarly, specific operating provisions such as ETOPS are reviewed by the Airworthiness Section, and then ultimately approved by the Operations Section. However, there are no procedures for approval of RNP operations. The Airworthiness Section certifies AMOs using a system similar to European Aviation Safety Agency Part 145 requirements, as detailed in the *Airworthiness Inspectors Handbook* and associated checklists. The AMO certificate has a validity period of one year and is issued by the Director General. There are a total of two AMOs in Sri Lanka. Sri Lankan regulations require an SMS to be implemented by AMOs by 30 June 2008. However, to date, none of these AMOs has developed and implemented an SMS.

3.6.4 In the area of air navigation services, the CAA-SL issues air traffic controller (ATC) licence and ratings in accordance with the *Personnel Licensing Procedures Manual*. ATC ratings have been issued for aerodrome control, approach control procedural, approach control surveillance, area control procedural and area control surveillance. In addition, the CAA-SL has implemented the requirements and examination system of language proficiency for ATC and aeronautical station operators.

3.6.4.1 The CAA-SL requires the AASL to implement an SMS which addresses, as a minimum, identification of safety hazards, implementation of remedial action, provision of continuous monitoring, and continuous improvement of the SMS. The AASL has implemented a comprehensive SMS in ATS, including procedures documented in the *Manual of Air Traffic Services* and the *Manual of SMS*. The AASL also ensures

that radio navigational aids meet specifications subject to periodic flight inspections. Accordingly, the AASL arranges flight inspections of radio navigational aids by contracting this function to third party flight inspection entities.

3.6.5 Concerning aerodromes, the AASL, as the aerodrome operator of CMB, was issued an operating certificate in March 2010. To date, this is the only aerodrome to be certified within the territory of Sri Lanka. Under the provisions of ASN No. 96, aerodrome certificates are issued with a validity period of two years. In accordance with the *Manual of Aerodrome Certification Procedures*, the Aerodromes Section's certification process includes the following steps:

- a) formal application is submitted, along with a copy of the aerodrome manual;
- b) the Aerodromes Section assigns an aerodrome inspector for the assessment process;
- c) the assigned aerodrome inspector assesses the aerodrome manual, facilities and SMS;
- d) upon acceptance of the above, the assigned aerodrome inspector refers the application to the head of the Aerodromes Section; and
- e) the head of the Aerodromes Section reviews the application and if satisfied, produces the certificate and recommends the approval of certificate to the Director General for final signature.

3.6.5.1 However, the application for certification of CMB is missing information regarding visual slope indicator guidance systems, a method of determining the runway friction and the determination of when a runway may be slippery when wet. Furthermore, the CAA-SL has not ensured that the aerodrome operator has established a runway safety programme, including assessment of aerodrome visual aids for the prevention of runway incursions. The process established within the *Manual of Aerodrome Certification Procedures* for the re-issuance of an aerodrome certificate requires the same assessments as those conducted during initial certification. The Aerodromes Section keeps a copy of the approved aerodrome manual for CMB.

3.7 **Critical element 7 — Surveillance obligations**

“The implementation of processes, such as inspections and audits, to proactively ensure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State to undertake an aviation-related activity for which they have been licensed, certified, authorized and/or approved to perform. This includes the surveillance of designated personnel who perform safety oversight functions on behalf of the CAA.”

3.7.1 In the area of personnel licensing, the CAA-SL performs safety oversight checks to monitor licensed personnel, designated medical examiners, flight examiners and approved training organizations. However, the appointments of some flight examiners were made without being checked by the CAA-SL inspectors. For surveillance of aircraft maintenance engineer licence holders, CAA-SL inspectors check licences during maintenance inspections. This procedure has been formalized in the *Personnel Licensing Procedures Manual*, which includes provisions for random inspections. However, checklists for surveillance-related inspections have not been developed. The designated medical examiners conduct all medical examinations at the CAA-SL and are supervised by the medical assessor. The surveillance of approved training organizations for 2009 was carried out as planned.

3.7.2 With respect to aircraft operations, the Operations Section has established a surveillance programme which includes random inspections of both national and foreign air operators. The associated surveillance plan, including determination of the frequency of inspections, is based on risk assessments, which

consider the size, scope and number of aircraft types used by a given operator. The surveillance plan for 2009 was fully implemented with respect to completion of inspections and surveillance of designated personnel carrying out checks on behalf of the CAA-SL. However, the Operations Section has not established a surveillance programme to ensure appointed instructors and examiners of cabin crew and flight operations officers maintain their competency with respect to their delegated tasks. Furthermore, the Operations Section has recently conducted only limited dangerous goods inspections without accomplishment of any dangerous goods consignment inspections.

3.7.3 With respect to the airworthiness of aircraft, the Airworthiness Section has established a surveillance programme of AOC holders, foreign air operators and AMOs. This programme includes provisions for ramp inspections. However, there are no guidelines for establishing appropriate frequencies for inspections. Furthermore, for the first half of 2010, there was little or no surveillance conducted by the Airworthiness Section. In the following three months, only half of the planned inspections were accomplished. The lack of implementation of the surveillance programme was attributed to a shortage of manpower. Recent recruiting efforts have led to an increase in qualified airworthiness engineers; however, the Airworthiness Section has yet to demonstrate that it can fully implement its surveillance programme. The Airworthiness Section collects reliability data from the AOC holders on a monthly basis, attends the AOC holders' periodic meetings and routinely performs analysis of the reliability data to check for degraded levels of safety.

3.7.4 In the area of air navigation services, the Navigation Services Section has established a surveillance programme of service providers. This surveillance programme includes inspections, surveys and audits, whose frequencies depend on the nature and scope of activities by service providers. A yearly surveillance plan is determined at the beginning of each year, subject to the approval of the Director General. The surveillance programme has been implemented and documented in most areas, in accordance with the established plan. However, the CAA-SL has not been able to conduct effective safety oversight activities over MET, including assurance that the DOM, as the aeronautical MET service provider, has a quality system in place. Preparatory work to establish a quality system at the DOM is underway, but this system has not yet been implemented. In the area of PANS-OPS, the CAA-SL requires the AASL to develop visual and instrumental flight procedures in Sri Lanka. However, the AASL has not established clearly defined criteria concerning procedure design in the relevant documents.

3.7.4.1 Sri Lanka has been participating in the regional programmes under the ICAO Asia/Pacific Air Navigation Planning and Implementation Regional Group (APANPIRG) with regard to RVSM monitoring and performance-based navigation implementation. Flight inspections for radio navigation aids are conducted and documented on an annual basis using a contractor engaged by the AASL. However, the AASL has not developed inspection procedures for use by these third party service providers. Furthermore, the CAA-SL has not established procedures to validate the results of flight inspections for radio navigation aids conducted by any service providers.

3.7.5 In the area of aerodromes, the current surveillance plan is contained within the document Annual Surveillance Plan-2010-ANS, dated May 2010. The plan lists the inspections and audits of aerodromes within the territory of Sri Lanka scheduled for 2010. In addition, random audits/inspections may be undertaken if surveillance results warrant such checks. The audit process utilizes checklists contained in the *Aerodrome Inspector Handbook*. The surveillance programme consists of monthly scheduled audits covering operating procedures contained in the aerodrome manual and inspections of the aerodrome facilities. Thus far in 2010, all monthly audits have been completed as scheduled.

3.8 Critical element 8 — Resolution of safety concerns

“The implementation of processes and procedures to resolve identified deficiencies impacting aviation safety, which may have been residing in the aviation system and have been detected by the regulatory authority or other appropriate bodies.

Note.— This would include the ability to analyse safety deficiencies, forward recommendations, support the resolution of identified deficiencies as well as take enforcement action, when appropriate.”

3.8.1 The Personnel Licensing Section has established a tracking system to ensure the timely resolution of any identified deficiencies. The Personnel Licensing Section has established in the *Personnel Licensing Procedures Manual* actions to be taken against organizations and delegated personnel who have not performed their duties in accordance with the prescribed procedures and requirements. Examples of actions taken by the CAA-SL include issuance of warning letters and the denial of renewal for a flight school.

3.8.2 In the area of aircraft operations, the Operations Section has carried out enforcement actions to resolve identified safety issues in a timely manner in accordance with the *Enforcement Procedures Manual*. The Operations Section notifies in writing to the operator any reported findings and action to be taken, if applicable. Tracking of these notifications for required follow-up actions until the closure of the findings is compiled in a database. The enforcement actions taken by the CAA-SL include suspension of privileges of dangerous goods approvals and issuance of letters of reprimand that correspond with the severity of the findings. However, the Operations Section does not currently use its database to conduct a trend analysis of any findings associated with each operator.

3.8.3 With respect to the airworthiness of aircraft, general follow-up of deficiencies identified during the inspections of air operators and AMOs is defined in the *Aviation Enforcement Policy and Procedures Manual*. The airworthiness inspector also uses a Notice of Aircraft Condition from the *Airworthiness Inspectors Handbook* which includes timelines for rectification. However, due to the lack of implementation of the surveillance programme, the CAA-SL cannot yet ensure that all deficiencies have been identified. As the State of Registry, the CAA-SL has established requirements for AOC holders and AMOs to report failures, malfunctions, or defects to both the design organization and to the Airworthiness Section of the CAA-SL. Concerning airworthiness directive (AD) compliance, the CAA-SL issues letters to the AOC holders, with the AD from the State of Design attached. The AOC holder is then required to respond with a statement confirming compliance with the AD.

3.8.4 With regard to air navigation services, the safety oversight programme includes provisions to track and mitigate any identified deficiencies, with appropriate timelines. The existing procedures, as documented in the *Enforcement Manual*, allow ANS inspectors to exercise enforcement policies to resolve safety violations or deviations. To date, there are no examples of ANS inspectors needing to exercise this power. Concerning the procedures to review and eliminate deficiencies identified within the framework of ICAO APANPIRG, the CAA-SL has developed procedures to rectify APANPIRG deficiencies, including steps to be undertaken by relevant units of the CAA-SL as well as service providers, though there is no ANS deficiency currently recorded against Sri Lanka.

3.8.5 In the area of aerodromes, there is a system for identifying, tracking and resolving deficiencies during initial aerodrome certification and subsequent surveillance. During the certification of CMB, some deficiencies were identified; these were assessed and processed using the guidance document *Manual on Exemption Procedures for Non-Compliance at Aerodromes*. A demonstration of safety was presented by the

aerodrome operator, along with an action plan to correct the deficiencies, including a date for expected compliance for each of the identified elements. Each issued exemption has been incorporated into the aerodrome manual and published in the AIP. Guidance for enforcement actions is also provided in the *Aerodrome Inspector Handbook*, which includes provisions for certificate suspension and cancellation. The exchange of safety-related information between the CAA-SL and aerodrome operators is undertaken through forums and incident database exchanges.

3.8.6 In the area of aircraft accident and incident investigation, the AIU issues safety recommendations as part of the final report and/or before the publication of the report. In addition, CAA-SL has established procedures for addressing safety recommendations issued by other States within a 90 day time frame. The AIU has established and implemented procedures for the submission of preliminary and data reports to ICAO as required by Annex 13 to the Chicago Convention. The AIU has also set up an electronic database which uses the ICAO accident and incident data reporting taxonomies/European Co-ordination Centre for Aviation Incident Reporting Systems. However, the CAA-SL has not yet carried out thorough analyses of the safety data received through this established occurrence reporting system. Sri Lanka has established mandatory and voluntary occurrence reporting systems. However, the voluntary occurrence reporting system is not yet effective, as very few reports have been submitted to date to the CAA-SL through this scheme.

4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS

4.1 Accompanied by staff members of the State's civil aviation system, the audit teams visit aviation service providers, operations and maintenance departments of operators and maintenance organizations, aeronautical product/equipment manufacturers, aviation training institutes, etc. The objective of the visits is to validate the capability of the State to supervise the activities of these service providers, airlines and organizations.

4.2 In the case of Sri Lanka, the audit team visited the following organizations:

- a) Mihin Lanka Airlines (OPS and AIR);
- b) Sri Lankan Airlines AMO (AIR);
- c) ATC Tower, Approach Control Centre, associated CNS units, AIS briefing office, and international NOTAM office, flight procedure design office of the AASL at Bandaranaike International Airport (CMB) (AGA and ANS);
- d) MET service station of the DOM at CMB (ANS);
- e) Colombo ACC and associated CNS units of the AASL at Ratmalana Airport (ANS);
- f) Rescue coordination centre within the Colombo area control centre (ANS);
- g) DOM Headquarters (ANS);
- h) Civil Aviation Training Centre (ANS); and
- i) CMB, including the Aerodrome Rescue and Fire-Fighting Service (AGA).

5. AUDIT FINDINGS AND DIFFERENCES DATABASE (AFDD)

5.1 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. Appendix 2 to this report contains a graphic representation of the lack of effective implementation of the critical elements of the safety oversight system (ICAO Doc 9734, Part A refers) in Sri Lanka and at a global

level (average results from all States audited). The graphic representation enables the audited State 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. STATE AVIATION ACTIVITY QUESTIONNAIRE (SAAQ)

6.1 The SAAQ is one of the major tools required for conducting a comprehensive systems approach-based safety oversight audit. As such, all Contracting States are required to complete the SAAQ and submit it to ICAO for proper evaluation and recording. The submitted information enables ICAO to maintain an up-to-date database on the State's civil aviation activities. Sri Lanka has submitted its SAAQ to ICAO, which can be found at <http://www.icao.int/soa>.

7. COMPLIANCE CHECKLISTS (CCs)

7.1 The CCs are one of the main tools used in the conduct of safety oversight audits under the comprehensive systems approach. As such, all Contracting States are required to complete the CCs and submit them to ICAO for evaluation and recording. The submitted information enables ICAO to maintain an up-to-date database on the State's level of compliance to the ICAO SARPs and assist in facilitating the conduct of a standardized audit of all Contracting States. As a result, States will be enabled to have a clear picture of the implementation status of the relevant SARPs. Sri Lanka has submitted its CCs to ICAO, which can be found at <http://www.icao.int/soa>.

8. FOLLOW-UP ACTION

8.1 In accordance with the MOU agreed to between Sri Lanka and ICAO, Sri Lanka submitted an action plan on 3 June 2011 and comments on 22 September 2011. The action plan submitted was reviewed by the Continuous Monitoring and Oversight Section and was found to fully address all but one of the findings and recommendations (ORG/01) contained in this report. The proposed action plan, including comments and clarifications provided by the State, is attached as Appendix 3 to this report. Comments by ICAO on each corrective action are found in Appendix 1 to this report.

APPENDIX 1

APPENDIX 1-1-01
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>LEG/01 1.027; 4.107;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 X CE-3 CE-4 CE-5 CE-6 X CE-7 CE-8</p>	
<p>FINDING:</p> <p>Sri Lanka has promulgated legislation which provides for exemptions in the area of aerodromes. However, Sri Lanka has not promulgated legislation which provides for the legal basis for issuance of exemptions in the other technical areas. In addition, with the exception of the area of aerodromes, the Civil Aviation Authority of Sri Lanka (CAA-SL) has not established comprehensive and detailed policies and procedures with respect to the issuance of exemptions, particularly on the following:</p> <ul style="list-style-type: none"> a) the process of application for an exemption; b) the granting of exemptions, including the conduct of risk assessments and aeronautical studies; c) the publication of information associated with such exemption in the relevant documents; and d) the necessary follow-up when exemptions are granted for a limited duration. 	
<p>RECOMMENDATION:</p> <p>Sri Lanka should promulgate and implement legislation which provides for the legal basis for the issuance of exemptions in all areas. In addition, the CAA-SL should establish and implement comprehensive and detailed policies and procedures for all areas with respect to the issuance of exemptions, particularly on the following:</p> <ul style="list-style-type: none"> a) the process of application for an exemption; b) the granting of exemptions, including the conduct of risk assessments and aeronautical studies; c) the publication of information associated with such exemption in the relevant documents; and d) the necessary follow-up when exemptions are granted for a limited duration. 	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-1-1 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/04/2011</p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

APPENDIX 1-1-02
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

SRI LANKA	LEG/02 1.151;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1 X	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING: Sri Lanka has ratified Article 83 <i>bis</i> of the Chicago Convention. However, the legislation of Sri Lanka does not allow for the recognition of the validity of licences and certificates issued by a foreign State of the Operator under an agreement with another State in accordance with Article 83 <i>bis</i> .							
RECOMMENDATION: Sri Lanka should amend its legislation to recognize and accept transfer agreements duly effected under Article 83 <i>bis</i> of the Chicago Convention by third party States, thereby allowing for the recognition of the validity of relevant documents issued or rendered valid by a foreign State of the Operator.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-1-2 of this report. Estimated Implementation Date: 30/04/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-1-03
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

SRI LANKA	LEG/03 1.301;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING: Sri Lanka has established requirements addressing possible units of measurement which can be used in air and ground operations. However, these requirements do not specify which units of measurement will be used in accordance with Annex 5 to the Chicago Convention.							
RECOMMENDATION: Sri Lanka should establish requirements regarding the specific units of measurement to be used in air and ground operations in accordance with Annex 5.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-1-3 of this report. Estimated Implementation Date: 30/04/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-2-01
FINDINGS AND RECOMMENDATIONS RELATED TO
CIVIL AVIATION ORGANIZATION

SRI LANKA	ORG/01 3.115; 3.117; 4.053; 4.055; 5.047; 5.049; 5.053; 6.125; 7.065; 7.067; 7.071; 7.211; 7.213; 7.217; 7.277; 7.279; 7.283; 7.333; 7.335; 7.339; 7.381; 7.383; 7.387; 7.425; 7.427; 7.431; 7.495; 7.497; 7.501; 8.051; 8.053; 8.055;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7	CE-8
FINDING:							
<p>The CAA-SL has established a training policy, as documented in the <i>Staff Rules and Administrative Procedures Manual</i>. Furthermore, the CAA-SL has established training programmes and training plans for its technical staff. However, the following deficiencies were found:</p> <ul style="list-style-type: none"> a) training programmes do not include detailed provisions for on-the-job training (OJT) in all areas, including airworthiness, air navigation services and aerodromes; b) these training programmes have not been implemented in all areas, including personnel licensing, flight operations and aerodromes; and c) training plans do not ensure that high priority training will be accomplished in a timely manner. 							
RECOMMENDATION:							
<p>The CAA-SL should establish and implement:</p> <ul style="list-style-type: none"> a) comprehensive training programmes which contain all necessary details for OJT for all technical staff, including airworthiness, air navigation services and aerodrome staff. These programmes should include standard forms that document completion of OJT for the staff; b) a mechanism to ensure implementation of these comprehensive training programmes for all technical staff; and c) training plans which ensure that high priority training will be accomplished in a timely manner. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-2-1 of this report.							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State did not address the implementation of training programmes.							

**APPENDIX 1-3-01
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING**

SRI LANKA	PEL/01 3.605; 3.607;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4 X	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The Personnel Licensing Section has established a system for the supervision and control of the practical flight test delivery of their designated flight examiners. However, the appointments of some flight examiners were made without being checked by the CAA-SL inspectors.							
RECOMMENDATION:							
The Personnel Licensing Section should establish and implement a mechanism to ensure that all designated flight examiners are systematically checked on their competency to carry out practical flight test delivery prior to their appointment or re-appointment as designated flight examiners.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-1 of this report. Estimated Implementation Date: 25/02/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-3-02
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>PEL/02 3.765;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 X CE-7 CE-8</p>	
<p>FINDING:</p> <p>The approval process for an approved training organization does not require the appointment of the head of training as one of the key personnel, as required by the provisions of Appendix 2 of Annex 1 to the Chicago Convention.</p>	
<p>RECOMMENDATION:</p> <p>The Personnel Licensing Section should include in its process for approved training organizations the appointment of all key personnel, including the head of training.</p>	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-3-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/04/2011</div></p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

APPENDIX 1-3-03
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

SRI LANKA	PEL/03 3.811;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The Personnel Licensing Section has established procedures for the conduct of safety oversight on issuance of licences to aircraft maintenance technicians, engineers and mechanics. However, these procedures do not include formalized checklists.							
RECOMMENDATION:							
The Personnel Licensing Section should establish and implement procedures which include formalized checklists for conducting safety oversight on the issuance of licences to aircraft maintenance technicians, engineers and mechanics.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-3-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 28/02/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>OPS/01 4.035; 4.057;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 CE-3 X CE-4 X CE-5 CE-6 CE-7 CE-8</p>	
<p>FINDING:</p> <p>The CAA-SL has issued credentials to operations inspectors without verifying that they have completed their indoctrination training and OJT.</p>	
<p>RECOMMENDATION:</p> <p>The CAA-SL should establish and implement an effective system to ensure all credentials are issued to operations inspectors only after they have completed all required training, including indoctrination training and OJT.</p>	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-4-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 27/05/2011</div></p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

APPENDIX 1-4-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

SRI LANKA Audit Period: 25/10/2010 - 04/11/2010	OPS/02 4.121;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 X CE-7 CE-8	
FINDING: The Operations Section has not established provisions for the assessment of an applicant's flight safety document system as part of the process for issuing an air operator certificate (AOC).	
RECOMMENDATION: The Operations Section should establish and implement provisions for the assessment of an applicant's flight safety document system as part of the process for issuing an AOC.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/09/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

SRI LANKA	OPS/03 4.147; 4.273; 4.325;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7 X	CE-8
FINDING:							
The Operations Section does not ensure that all AOC holders:							
<ul style="list-style-type: none"> a) update their operations manuals to comply with the regulations pertaining to limitations on flight time, flight duty periods and rest periods for fatigue management; b) establish a policy and procedures for flight crew to record and report on volcanic activities; and c) fully maintain all responsibilities related to ground handling matters. 							
RECOMMENDATION:							
The Operations Section should establish and implement an effective safety oversight system to ensure that all AOC holders:							
<ul style="list-style-type: none"> a) update their operations manuals to comply with the regulations pertaining to limitations on flight time, flight duty periods and rest periods for fatigue management; b) establish a policy and procedures for flight crew to record and report on volcanic activities; and c) fully maintain all responsibilities related to ground handling matters. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-4-3 of this report.							
Estimated Implementation Date: 19/05/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

SRI LANKA Audit Period: 25/10/2010 - 04/11/2010	OPS/04 4.235; 4.247;
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.	
CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 CE-7 X CE-8	
FINDING: The Operations Section has not established a surveillance programme to ensure appointed instructors and examiners of cabin crew and flight operations officers maintain their competency with respect to their delegated tasks.	
RECOMMENDATION: The Operations Section should establish and implement a surveillance programme to ensure appointed instructors and examiners of cabin crew and flight operations officers maintain their competency with respect to their delegated tasks.	
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/05/2011</div>	
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.	

APPENDIX 1-4-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

SRI LANKA	OPS/05 4.359;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING: The Operations Section has conducted only limited dangerous goods inspections and audits in 2009 and 2010. Furthermore, there has been no accomplishment of any dangerous goods consignment inspections in 2010.							
RECOMMENDATION: The Operations Section should establish and implement an effective surveillance system to ensure that the industry complies with dangerous goods regulations.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-5 of this report. Estimated Implementation Date: 16/05/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

SRI LANKA	OPS/06 4.361;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING: The Operations Section has not approved any shippers' initial and recurrent training programmes, as required by Aviation Safety Notice 077.							
RECOMMENDATION: The Operations Section should establish and implement a mechanism to ensure all shippers submit their initial and recurrent training programmes to the CAA-SL for approval, as required by the dangerous goods regulations.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-6 of this report. Estimated Implementation Date: 16/05/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

SRI LANKA	OPS/07 4.401; 4.403; 4.405; 4.407; 4.409;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6 X	CE-7	CE-8
FINDING:							
The Aviation Security Section has not formalized its certification procedures to ensure all air operators comply with all the related security provisions in Annex 6 to the Chicago Convention.							
RECOMMENDATION:							
The Aviation Security Section should establish and implement certification procedures related to aircraft operation security measures. These pertain to, but are not limited to, the following:							
<ul style="list-style-type: none"> a) enabling cabin crew to discreetly communicate to flight crew in the event of suspicious activity or security breaches in the passenger cabin; b) addressing flight crew compartment access and bomb threats or warnings; c) developing a checklist for searching a bomb and/or inspecting an aircraft for concealed weapons, explosives and other dangerous devices; and d) ensuring establishment of a security training programme for flight and cabin crew prior to issuance of an AOC. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-4-7 of this report.							
Estimated Implementation Date: 30/06/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-4-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>OPS/08 4.453;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 CE-7 CE-8 X</p>	
<p>FINDING:</p> <p>The Operations Section has not established an effective system to monitor and provide trend analyses of the findings associated with each air operator.</p>	
<p>RECOMMENDATION:</p> <p>The Operations Section should establish and implement an effective system to provide trend analyses of the findings associated with each air operator.</p>	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-4-8 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div></p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

**APPENDIX 1-5-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT**

SRI LANKA	AIR/01 5.441; 5.443; 5.445; 5.447; 5.449;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7 X	CE-8 X
FINDING:							
The CAA-SL has developed a formal surveillance programme to verify that all AOC holders, foreign air operators and approved maintenance organizations (AMOs) comply on a continuing basis with the applicable requirements. However, this programme does not include guidelines for scheduling inspections. Furthermore, for the first half of 2010, there was little or no surveillance of these entities. In the following three months, only half of the planned inspections were accomplished.							
RECOMMENDATION:							
The CAA-SL should:							
<ul style="list-style-type: none"> a) develop and implement a formal surveillance programme of AOC holders, foreign air operators and AMOs, which includes guidelines for scheduling inspections; and b) establish and implement a mechanism to ensure the full implementation of its surveillance programme, including ramp inspections, which will enable the timely rectification of any identified deficiencies. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-1 of this report. Estimated Implementation Date: 01/01/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

SRI LANKA	AIR/02 5.171; 5.173; 5.175;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5 X	CE-6 X	CE-7	CE-8
FINDING:							
Sri Lanka has promulgated regulations pertaining to the approval of modifications and repairs. Furthermore, the CAA-SL has established procedures for the approval of modifications and repairs. However, in practice, the CAA-SL accepts modifications and repairs and relies upon the State of Design to approve the technical data.							
RECOMMENDATION:							
Sri Lanka should promulgate and implement regulations pertaining to the acceptance of modifications and repairs that reflect existing practices. The CAA-SL should revise and implement the procedures for the acceptance of modifications and repairs to reflect existing practices.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-2 of this report. Estimated Implementation Date: 30/06/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

**APPENDIX 1-5-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT**

SRI LANKA	AIR/03 5.331; 5.333;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6 X	CE-7	CE-8
FINDING:							
Sri Lanka has promulgated regulations which allow for required navigation performance (RNP) approvals. However, the CAA-SL has not established any procedures for issuing such approvals.							
RECOMMENDATION:							
The CAA-SL should establish and implement procedures for issuing RNP approvals.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-3 of this report. Estimated Implementation Date: 30/08/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

SRI LANKA	AIR/04 5.107; 5.373; 5.377;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6 X	CE-7	CE-8
FINDING:							
Sri Lanka has promulgated regulations that require implementation of a safety management system (SMS) at AMOs prior to 30 June 2008. The CAA-SL has also established and implemented procedures for approval of AMOs. However, these procedures do not include guidelines for approval of an SMS, including detailed checklists. Furthermore, no AMO in Sri Lanka has implemented an SMS to date.							
RECOMMENDATION:							
The CAA-SL should establish and implement procedures for approval of an SMS, including detailed checklists. Furthermore, the CAA-SL should establish and implement a mechanism to ensure all AMOs in Sri Lanka have implemented an SMS, in accordance with their regulations.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 15/09/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-5-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

SRI LANKA	AIR/05 5.285; 5.287; 5.305; 5.307;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6 X	CE-7	CE-8
FINDING:							
Sri Lanka has promulgated regulations that require human factors principles to be observed in the design of maintenance control manuals and maintenance programmes. However, the procedures for approval of maintenance control manuals and maintenance programmes do not include detailed guidance on the observation of human factors principles.							
RECOMMENDATION:							
The CAA-SL should establish and implement procedures for approval of maintenance control manuals and maintenance programmes to include detailed guidance on the observation of human factors principles.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-5-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 29/07/2012</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>AIG/01 6.005; 6.135;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 X CE-3 X CE-4 CE-5 CE-6 CE-7 CE-8</p>	
<p>FINDING:</p> <p>The <i>Civil Aviation Act No. 14 of 2010</i> provides for the creation of the Aircraft Accident Investigation Board (AAIB). However, pursuant to this Act, the AAIB is instituted by and reports to the CAA-SL, which does not ensure independence in the conduct of aircraft accident and serious incident investigations. Furthermore, many investigators within the AAIB are employees of the CAA-SL, creating the potential for conflicts of interest when they are conducting their investigative duties.</p>	
<p>RECOMMENDATION:</p> <p>Sri Lanka should establish and implement means, including the necessary legal basis, to ensure independence of its aircraft accident and incident investigation authority in the conduct of investigations. In addition, Sri Lanka should establish measures to avoid possible conflicts of interest when experts from the State's civil aviation authority or any other organization in the State are used for an aircraft accident or serious incident investigation.</p>	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Comments submitted by the State are found at Appendix 3-6-1 of this report.</p>	
<p>COMMENTS BY ICAO:</p> <p>The State has indicated that it will not take any corrective action to address this ICAO finding and recommendation.</p>	

APPENDIX 1-6-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>AIG/02 6.111; 6.113; 6.127;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 CE-3 X CE-4 X CE-5 CE-6 CE-7 CE-8</p>	
<p>FINDING:</p> <p>Some investigators within the AAIB have received basic investigation-related training. However, to date, not all AAIB staff are fully trained and experienced to thoroughly carry out aircraft accident and serious incident investigations falling under Sri Lanka's responsibility. Sri Lanka has drafted an arrangement with other States to request assistance on an ad hoc basis. However, these arrangements have not been finalized and agreed upon by all involved States.</p>	
<p>RECOMMENDATION:</p> <p>Sri Lanka should establish and implement means to ensure that, for all aircraft accident and incident investigations falling under its responsibility:</p> <ul style="list-style-type: none"> a) the appointed investigation team has the required experience and specialized training; and b) there is an agreed upon arrangement with other States or regional organizations to obtain additional personnel for the investigation of accidents and serious incidents, if necessary. 	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-6-2 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 30/12/2011</p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

APPENDIX 1-6-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

SRI LANKA	AIG/03 6.359;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
Sri Lanka has not established formal arrangements to facilitate the coordination between the investigators and the judicial authorities throughout the investigation process.							
RECOMMENDATION:							
Sri Lanka should establish formal arrangements to facilitate the coordination between the investigators and the judicial authorities throughout the investigation process, in order to ensure both the coordination of activities (in particular on the site of the accident or incident) and the required separation between the two types of investigations.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-6-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

SRI LANKA	AIG/04 6.511;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
FINDING: The CAA-SL keeps a record of aircraft accidents and incidents that have occurred in the State and maintains this information in a database. However, the CAA-SL has not yet carried out thorough analyses of the safety data received through the established occurrence reporting system.							
RECOMMENDATION: The CAA-SL should establish and implement means to carry out thorough analyses of the safety data received through the established occurrence reporting system to determine any preventive actions required.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-6-4 of this report. Estimated Implementation Date: 30/06/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-6-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

SRI LANKA	AIG/05 6.503;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8 X
FINDING:							
Sri Lanka has established a voluntary incident and occurrence reporting system. However, it is not yet effective, as very few reports have been submitted to date to the CAA-SL through this scheme.							
RECOMMENDATION:							
Sri Lanka should establish and implement means to ensure the effective implementation of a voluntary occurrence reporting system. These means should include actions to encourage individuals in the aviation community to voluntarily report safety occurrences to the appropriate State authority.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-6-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/11/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

**APPENDIX 1-7-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES**

SRI LANKA	ANS/01 7.153;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
Sri Lanka has not developed contingency plans for implementation in the event of disruption, or potential disruption, of air traffic service (ATS) and related supporting services.							
RECOMMENDATION:							
The CAA-SL should develop contingency plans between Sri Lanka and adjacent States in order to provide a safe and orderly flow of international traffic in the event of disruption, or potential disruption, of ATS and related supporting services.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-1 of this report. Estimated Implementation Date: 31/12/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

SRI LANKA	ANS/02 7.231;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The CAA-SL requires service providers to use the guidance contained in the Procedures for Air Navigation Services - Aircraft Operations (PANS-OPS) in order to develop visual and instrumental flight procedures in Sri Lanka. However, Airport and Aviation Services Ltd. (AASL), the service provider, has not established clearly defined criteria concerning procedure design in its relevant documents.							
RECOMMENDATION:							
The CAA-SL should establish and implement a mechanism, as part of its oversight responsibility, to ensure that all ATS providers establish clearly defined criteria concerning procedure design in accordance with PANS-OPS procedures.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/01/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

SRI LANKA	ANS/03 7.393;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The CAA-SL has established requirements for ATS providers to conduct flight inspections for radio navigation aids. The AASL service provider has contracted this function to third party flight inspection service providers. However, the AASL has not developed inspection procedures for use by these third party service providers. Furthermore, the CAA-SL has not established procedures to validate the results of flight inspections for radio navigation aids conducted by any service providers.							
RECOMMENDATION:							
The CAA-SL should establish and implement:							
<ul style="list-style-type: none"> a) a mechanism to ensure all ATS providers develop flight inspection procedures for radio navigation aids; and b) procedures to validate the results of flight inspections for radio navigation aids conducted by all service providers, including third party service providers. 							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-3 of this report.							
Estimated Implementation Date: 31/08/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

SRI LANKA	ANS/04 7.415; 7.435;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The CAA-SL has initiated an agreement with the Department of Meteorology (DOM) with regard to the provision of aeronautical MET services. However, the DOM and the CAA-SL have not finalized this agreement to date.							
RECOMMENDATION:							
Sri Lanka should establish an agreement between the CAA-SL and the DOM in order to ensure the provision of aeronautical MET services and the conduct of safety oversight by the CAA-SL.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/09/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

**APPENDIX 1-7-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES**

SRI LANKA	ANS/05 7.451;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3	CE-4	CE-5	CE-6	CE-7 X	CE-8
FINDING:							
The DOM has not established a properly organized quality system comprising procedures, processes and resources.							
RECOMMENDATION:							
The CAA-SL should establish and implement a mechanism to ensure that all entities which provide MET services establish and implement a properly organized quality system comprising procedures, processes and resources.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-7-5 of this report. Estimated Implementation Date: 31/12/2011							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

SRI LANKA	ANS/06 7.485;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING: The CAA-SL has not established agreements with relevant authorities or entities as search and rescue (SAR) units in relation to the provision of SAR services.							
RECOMMENDATION: Sri Lanka should establish legal agreements between the CAA-SL and relevant authorities or entities as SAR units in relation to the provision of SAR services within the Colombo search and rescue region. This agreement should include, but not be limited to, the provision of resources and a workforce skilled in coordination and operational functions in SAR services.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-6 of this report. Estimated Implementation Date: 31/12/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-7-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

SRI LANKA	ANS/07 7.517;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING: The CAA-SL has not established agreements in relation to aeronautical SAR arrangement with any neighbouring States.							
RECOMMENDATION: Sri Lanka should ensure that letters of agreement are established in relation to aeronautical SAR arrangements with all neighbouring States in order to strengthen cooperation and coordination and set forth the conditions for entry of each other's SAR units into their respective territories.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-7-7 of this report. Estimated Implementation Date: 31/12/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-8-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>AGA/01 7.189; 8.205;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 X CE-3 CE-4 CE-5 X CE-6 CE-7 CE-8</p>	
<p>FINDING:</p> <p>The CAA-SL has promulgated regulations which require the service providers to establish and implement a runway safety programme. However, the AASL service provider has not developed and implemented a runway safety programme. In addition, the CAA-SL does not have procedures for ensuring an aerodrome operator's plan for lighting, signs and markings is integrated into the aerodrome's runway incursion and collision avoidance strategy, as part of its runway safety programme.</p>	
<p>RECOMMENDATION:</p> <p>The CAA-SL should establish and implement a mechanism to ensure that all service providers establish and implement a runway safety programme. Furthermore, the CAA-SL should develop and implement procedures for ensuring an aerodrome operator's plan for lighting, signs and markings is integrated into the aerodrome's runway incursion and collision avoidance strategy, as part of its runway safety programme.</p>	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-8-1 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/12/2011</p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

APPENDIX 1-8-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

SRI LANKA	AGA/02 8.139;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2 X	CE-3	CE-4	CE-5	CE-6	CE-7	CE-8
FINDING: The CAA-SL has promulgated requirements regarding the use of a pavement when an aircraft classification number (ACN) is higher than the reported pavement classification number (PCN). However, the CAA-SL has not provided any related guidance to aerodrome operators.							
RECOMMENDATION: The CAA-SL should develop and implement guidance and procedures to address the use of a pavement by an aircraft when its ACN is higher than the reported PCN.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-2 of this report. Estimated Implementation Date: 31/08/2011							
COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

APPENDIX 1-8-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

SRI LANKA	AGA/03 8.133; 8.135;						
Audit Period: 25/10/2010 - 04/11/2010							
DOCUMENT REFERENCE:							
Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.							
CE-1	CE-2	CE-3 X	CE-4	CE-5 X	CE-6	CE-7	CE-8
FINDING:							
The CAA-SL does not have a quality system for ensuring the accuracy, integrity and protection requirements for the aeronautical data throughout the data transfer process, in accordance with Annex 14 to the Chicago Convention.							
RECOMMENDATION:							
The CAA-SL should develop and implement a quality system for ensuring the accuracy, integrity and protection requirements for the aeronautical data throughout the data transfer process. This quality system should include provisions for coordination between aerodrome operators, the CAA-SL and the aeronautical information service.							
CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:							
Corrective action plan and comments submitted by the State are found at Appendix 3-8-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div>							
COMMENTS BY ICAO:							
The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.							

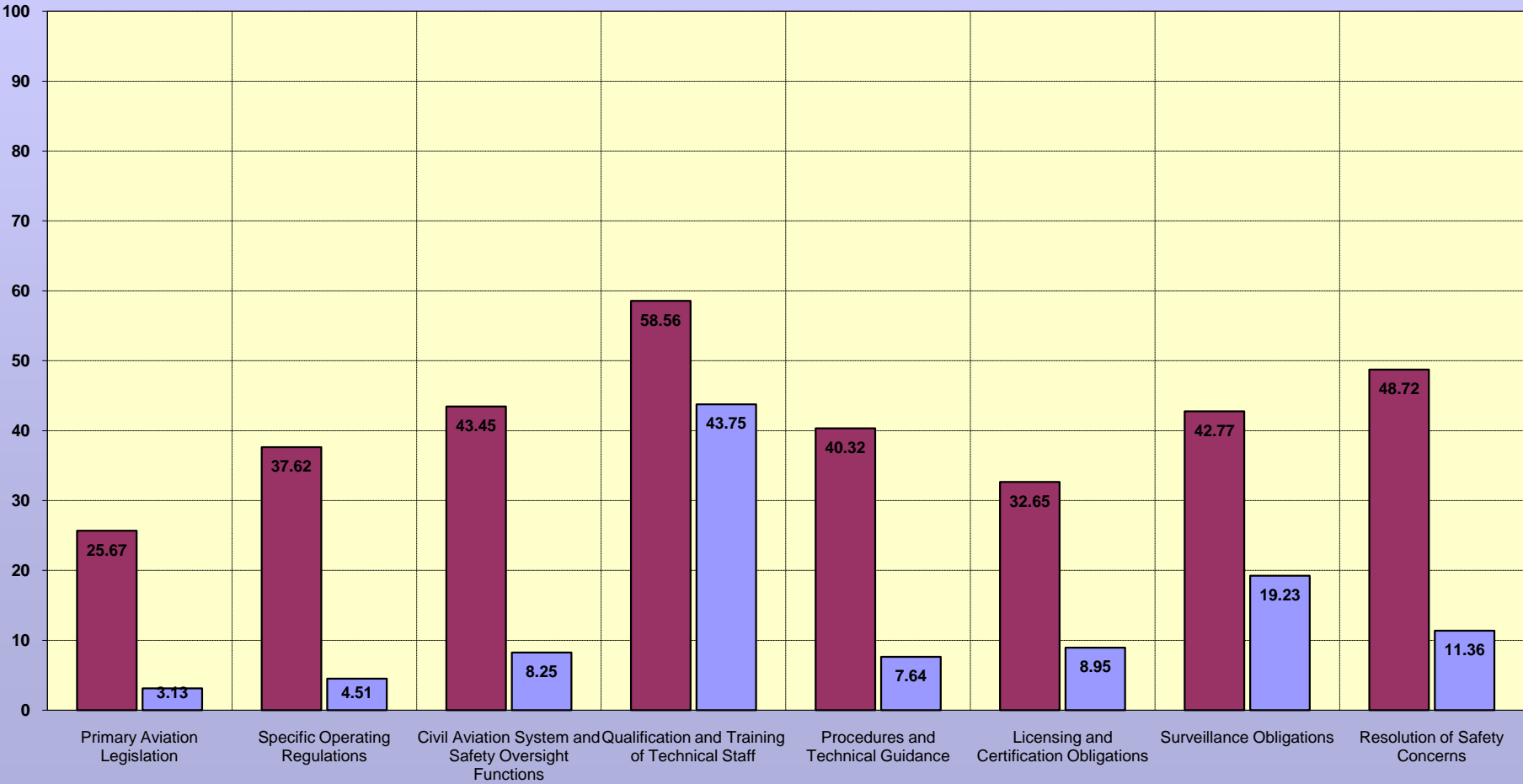
APPENDIX 1-8-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

<p>SRI LANKA</p> <p>Audit Period: 25/10/2010 - 04/11/2010</p>	<p>AGA/04 8.147; 8.157; 8.257; 8.273;</p>
<p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p>	
<p>CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 X CE-7 X CE-8</p>	
<p>FINDING:</p> <p>The CAA-SL has established procedures regarding applications for an aerodrome operating certificate. However, these procedures have not been fully implemented, as evidenced by an applicant not submitting the following information on:</p> <ul style="list-style-type: none"> a) determination of when a runway may be slippery when wet; b) maintenance of good runway friction characteristics and low rolling resistance, to include runway friction testing; c) visual approach slope indicator guidance systems, to include the minimum eye height over threshold (MEHT); and d) how to implement requirements for objects on runway strips. 	
<p>RECOMMENDATION:</p> <p>The CAA-SL should establish and implement a mechanism to ensure applicants for an aerodrome operating certificate provide the following information on:</p> <ul style="list-style-type: none"> a) determination of when a runway may be slippery when wet; b) maintenance of good runway friction characteristics and low rolling resistance, to include runway friction testing; c) visual approach slope indicator guidance systems, to include MEHT; and d) how to implement requirements for objects on runway strips. 	
<p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-8-4 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/08/2011</p>	
<p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation.</p>	

APPENDIX 2

CRITICAL ELEMENTS OF A SAFETY OVERSIGHT SYSTEM LACK OF EFFECTIVE IMPLEMENTATION (%)

■ Global: (180) Audited States: 41.21% ■ SRI LANKA 13.35%



APPENDIX 3

APPENDIX 3-1-1

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO PRIMARY AVIATION LEGISLATION AND
CIVIL AVIATION REGULATIONS**

AUDIT FINDING LEG/01		
<p>Please refer to Appendix 1-1-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>Sri Lanka does not agree with the statement in the Finding above that “Sri Lanka has not promulgated legislation which provides for the legal basis for issuance of exemptions in the other technical areas”. The Air Navigation Regulations-1955 makes a number of provisions for the Director General of Civil Aviation to use his discretion and grant exemptions not limiting to only aerodromes. For example where the Director General of Civil Aviation considers that although all the requirements of the Regulations concerning Airline Operators cannot be immediately satisfied, an air transport service may be permitted by him to operate for a limited period without detriment to public safety (Vide Regulation 202 (ii) of ANR-1955.</p> <p>However, Sri Lanka accepts the ICAO finding that it had not developed a procedure for the grant of such exemptions.</p> <p>As a measure of addressing this issue a new Implementing Standard has already been issued under the Civil Aviation Act No.14 of 2010, (copy attached – Attachment-LEG-01.1).</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>Implementing Standard Reference Number: CA-IS-2011-GEN-00, Serial Number IS-004 dated 24th April 2011 has been promulgated (copy attached- Attachment-LEG-01.2).</p>	<p>DGCA DD/AT&LA</p>	<p>24th April 2011 COMPLETED</p>
<p>CAA Senior Staff was educated of the procedures</p>	<p>DGCA DD/AT&LA</p>	<p>30th April 2011 COMPLETED</p>
<p>Updated the website (http://www.caa.lk/newcaa/subsidiarylegislation/implementingstandards/).</p>	<p>Web Master</p>	<p>30th April 2011 COMPLETED</p>
<p>Updated the AIP (copy attached-Attachment-LEG-01.3).</p>	<p>DD/ANS</p>	<p>30th April 2011 COMPLETED</p>

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-1-2

CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA RELATED TO PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

AUDIT FINDING LEG/02
<p>Please refer to Appendix 1-1-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.</p>
STATE'S COMMENTS AND OBSERVATIONS*
<p>Sri Lanka does not agree with the statement in the Finding that “the legislation of Sri Lanka does not allow for the recognition of the validity of licences and certificates issued by foreign State of the Operator under an agreement with another State in accordance with the Article 83 bis”.</p> <p>It is an incorrect statement as there is no such specific provision in the legislation of Sri Lanka which does not allow for the recognition of the validity of licences and certificates issued by foreign State of the Operator under an agreement with another State in accordance with the Article 83 bis.</p> <p>Section 2 of the Civil Aviation Act No.14 of 2010, states that “Articles of the Convention relating to safety, regularity, efficiency and security of civil aviation as are specified in the Schedule to this Act, shall govern all activities relating to civil aviation within the territory of Sri Lanka”.</p> <p>Furthermore Section 77 has specifically provided for operation of aircraft under an agreement for charter, interchange or lease. Hence there is no need to amend legislation, as has been recommended by the Audit Team.</p> <p>However, taking into account the concerns raised by the Audit Team, action has been taken to amplify the existing provisions in Section 77 “Aircraft Operated under an agreement for lease, charter or interchange of aircraft” in the Civil Aviation Act No.14 of 2010 by issuing the Implementing Standards-IS-004 under the powers vested in the Director General of Civil Aviation in terms of Section 120 of the Act, which empowers him to issue implementing Standards to give effect to the provisions of the Act including the Articles of the Convention specified in the Schedule to the Act.</p>

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-1-2 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO PRIMARY AVIATION LEGISLATION AND
CIVIL AVIATION REGULATIONS**

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implementing Standards IS-004- “Recognition of Licences and Certificates under Article 83-Bis” issued (copy attached- Attachment-LEG-02.1).	DGCA	28th April 2011 COMPLETED
CAA Senior Staff was educated of the procedures.	DGCA	30th April 2011 COMPLETED
Updated the website (http://www.caa.lk/newcaa/subsidiarylegislation/implementingstandards/).	DD/AT&LA Web Master	30th April 2011 COMPLETED
Updated the AIP (copy attached-Attachment-LEG-02.2).	DD/ANS	30th April 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-1-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO PRIMARY AVIATION LEGISLATION AND
CIVIL AVIATION REGULATIONS**

AUDIT FINDING LEG/03		
Please refer to Appendix 1-1-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
Sri Lanka agrees with the audit finding. Action has already been taken to rectify this deficiency by issuing Implementing Standard- IS-003 "Units of Measurements".		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implementing Standard-IS-003 "Units of Measurements" was issued (copy attached-Attachment-LEG-03.1).	DGCA	28th April 2011 COMPLETED
CAA Senior Staff was educated of the procedures.	DGCA	30th April 2011 COMPLETED
Updated the website (http://www.caa.lk/newcaa/subsidiarylegislation/implementingstandards/).	DD/AT&LA Web Master	30th April 2011 COMPLETED
Updated the AIP (copy attached-Attachment-LEG-03.02).	DD/ANS	30th April 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-2-1

CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA RELATED TO CIVIL AVIATION ORGANIZATION

AUDIT FINDING ORG/01
<p>Please refer to Appendix 1-2-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.</p>
STATE'S COMMENTS AND OBSERVATIONS*
<p>CAASL does not agree with the statement in the ICAO finding that “training programmes do not include detailed provisions for on-the-job training (OJT) in all areas including Airworthiness, Air Navigation Services and Aerodromes”.</p> <p>CAASL Master Training Plan (MTP) which was presented to the ICAO auditors clearly identifies nine (09) different qualifies which includes the training which need to be followed with OJT.</p> <p>Also the training provided to the staff are identified with (copy attached- Attachment-ORG-01.1) these qualifiers (attributes).</p> <p>Accordingly for all training courses identified in the MTP these nine (09) items are marked as appropriate including the OJT.</p> <p>However CAASL agree with the observation “these training programmes have not been implemented in all areas, including personnel licensing, flight operations and aerodromes”. The reason being that the CAASL established the MTP recently and it is in the process of being implemented.</p> <p>Furthermore CAASL does not agree with the finding “training plans do not ensure that high priority training will be accomplished in a timely manner” for the following reason.</p> <ol style="list-style-type: none">1. In the view of limited activities in the field of aviation and also the size of relatively small number of staff, it is difficult for CAASL to give all high priority training to all of them within a period shorter than three (03) years.2. The CAA is yet only nine years old and CAA cannot achieve all these training requirements within a very short spell of time. <p>Whilst all possible all attempts are made to provide training as early as possible and CAASL will require at least three years to complete high priority training for practical reasons which are mainly due to non-availability of most of the specialized training programmes in Sri Lanka.</p> <p>However CAASL ensures that safety related functions would only be performed by appropriately trained and qualified personnel without leading to compromising in safety.</p>

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-2-1 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO CIVIL AVIATION ORGANIZATION**

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
OJT for all Technical staff including the staff of AW, ANS, Aerodromes and OPS are identified in the Master Training Plan under Module M6- 4. (copy attached-Attachment-ORG-01.2).	DD/HR&OM	24 December 2010 COMPLETED
Standard Form for OJT Form CAA/OM/1/004 is developed and the Form is filed in each Training File of the individual Officers once OJT is successfully completed. (copy attached-Attachment-ORG-01.3).	DD/HR&OM	On going

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-3-1

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/01		
Please refer to Appendix 1-3-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAASL does not agree with the finding of the ICAO audit team. Personnel Licensing section had already in place an established procedure and a proper mechanism to conduct the flight check by a CAASL Licensing Inspector prior to the appointment of Designated Flight Test Examiners. However there was only one evidence of one examiner whose appointment was effected prior to the implementation of procedure in 2009 which was addressed as a finding during the audit.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The Flight Test Examiner authorization has been revoked with effect from 28th October 2010 after the audit finding. However re-authorization was not accomplished due to a subsequent medical condition developed by the examiner concerned. (copy attached-Attached-PEL-01.1).	DD/PEL	25th February 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-3-2

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/02		
Please refer to Appendix 1-3-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
1. Personnel Licensing Section has already amended the regulation Aviation Safety Notice 028 paragraph 7.2.1 on 28th October 2010 to include Head of Training as key personnel. (copy attached-Attachment-PEL-02.1).	DD/PEL	28th October 2010. COMPLETED
2. Flying School Certification Manual (SLCAP 3090) has been amended to have the mechanism in place. (copy attached –Attachment-PEL-02.2).	DD/PEL	28th October 2010. COMPLETED
3. Flying Training Organizations have been notified to take necessary action. (copy attached-Attachment-PEL-02.3).	DD/PEL	28th October 2010. COMPLETED
4. Training was provided to both CAA and Industry Personnel. (copy attached-Attachment-PEL-02.4).	DD/PEL	15th November 2010. COMPLETED
5. All four (04) flying schools implemented with effect from 14th March 2011 by appointing Head of Training satisfying qualifications. (copy attached-Attachment-PEL-02.5), (copy attached-PEL-02.6)	DD/PEL	30th April 2011. COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-3-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO PERSONNEL LICENSING AND TRAINING**

AUDIT FINDING PEL/03		
Please refer to Appendix 1-3-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Formalized Check List has been introduced for conducting safety oversight on the issuance of licences to aircraft maintenance technicians, engineers and mechanics.	DD/PEL	28th February 2011 COMPLETED
Airworthiness Inspectors Handbook (SLCAP 6200) has been amended	DD/AW	28th February 2011 COMPLETED
CAA Licensing Inspectors have been trained on the introduction of new Check List and hence implementation completed. (copy attached-Attachment-PEL-03.1).	DD/PEL	28th February 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-1

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/01		
<p>Please refer to Appendix 1-4-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The CAA SL does not agree with the finding of the ICAO audit team as the finding was based only on one-off case which was an inadvertent omission.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>The CAA has an established procedure for issue of Credentials to the Civil Aviation Inspectors as per Office Procedure HROM- OP-0009 which was effective on 05.05.2009.</p> <p>As per the established procedure recommendations of the heads of section/ division is obtained before the credential being issued to the CAA inspector by the DGCA. (copy attached-Attachment-OPS-01.1). All Credentials issued to the CAA Inspectors except the one referred to above have been issued as per the procedure aforementioned.</p>	<p>CAA</p>	<p>27 May 2011 Completed</p>

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-2

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/02		
Please refer to Appendix 1-4-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA SL agrees with the finding of the ICAO audit team and would take the following corrective actions.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Implementing Standard on Flight Safety Document System was issued as per the Attachment. (copy Attached-Attachment-OPS-02.1)	DGCA	28 November 2010 COMPLETED
Chapter 3 of SLCAP 4100 -Air Operator Certification Manual was amended to introduce the requirement of flight safety documents system before issue of an AOC. (copy Attached-Attachment-OPS-02.2)	DD OPS	16 May 2011 COMPLETED
Checklist to evaluate the applicants Flight Safety Documentation System was included as an Appendix to SLCAP 4100 – Air Operator Certification Manual. (copy Attached-Attachment-OPS-02.3)	DD OPS	16 May 2011 COMPLETED
Staff Training was conducted to familiarize the Operations Staff on Fight Safety Document System. (copy Attached-Attachment-OPS-02.4), (copy Attached-Attachment-OPS-02.5)	DD/OPS	16 May 2011 COMPLETED
All the operators have been given time to conform to the requirement	DD/OPS	30th June 2011
Operators' confirmation will be verified through an on-site inspection	DD/OPS	30th September 2011

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APPENDIX 3-4-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/03		
Please refer to Appendix 1-4-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA SL agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
a) I. Air Operators were instructed to amend the FOMs to comply with the regulations pertaining to limitations of flight time, flight duty periods and rest periods for fatigue management. (copy attached-Attachment-OPS-03.1) II. Operators Compliance as (copy attached-Attachment-OPS-03.2)	DDOPS	19 May 2011 COMPLETED
b) I. Air Operators were instructed to amend the FOMs to establish a procedure for flight crew to record and report on volcanic activities. (copy attached-Attachment-OPS-03.1). II. Operators Compliance as (copy attached-Attachment-OPS-03.2).	DDOPS	19 May 2011 COMPLETED
III. CAA Surveillance System on Operators' volcanic activities reporting updated.	DDOPS	19 May 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-3 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
<p>c)</p> <p>I. Air Operators were instructed to amend the Ground Operations Manual to ensure that the Operator maintains all responsibilities related to ground handling matters. (copy attached-Attachment-OPS-03.3).</p> <p>II. Operators Ground Operations Manual has been amended accordingly. (copy attached-Attachment-OPS-03.4).</p> <p>III. CAA Surveillance System on Operators' Ground Handling has been updated.</p>	<p>DDOPS</p> <p>DDOPS</p> <p>DDOPS</p>	<p>19 May 2011 COMPLETED</p> <p>19 May 2011 COMPLETED</p> <p>On going</p>

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-4

CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

AUDIT FINDING OPS/04		
Please refer to Appendix 1-4-04 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA SL agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Evaluation on operators' safety instructors has been included in the Annual Surveillance Plan of year 2011.(copy attachment-Attachment-OPS-04.1).	DDOPS	31 December 2010 COMPLETED
7 Instructors have been observed by 15 May 2011. (copy attached-Attachment-OPS-04.2).	DDOPS	On going

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-5

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/05		
Please refer to Appendix 1-4-05 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA SL agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Dangerous Goods Inspector Guidance Manual has been amended indicating minimum number of DGR consignment inspections SLCAP 4410. (copy attached-Attachment-OPS-05.1)	DDOPS	16 May 2011 COMPLETED
Dangerous Goods Inspection requirements have been incorporated in the Annual Surveillance Plan for year 2011 as per the Dangerous Goods Inspector Guidance Manual SLCAP 4410.	DDOPS	31st December 2010 COMPLETED
Inspections carried out on the subject of Dangerous Goods up to 15 May 2011 is in (copy attached-Attachment-OPS-05.2)		On going

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APPENDIX 3-4-6

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/06		
Please refer to Appendix 1-4-06 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA SL agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
ASN 077 has been amended to include the following paragraphs as paragraph 10.1.1, in order to ensure the persons who offered dangerous cargo to a handling agent is trained on Dangerous Goods as per DGCA approved training programmes.	DDOPS	16 May 2011 COMPLETED
1. Handling Agent shall accept Dangerous Goods only from a person who has undergone a DGCA approved course of training. Any person who has not undergone such training shall forward such cargo through a shipper who has undergone a DGCA approved course of training. (copy attached-Attachment-OPS-06.1)		
Procedure has been developed by amending SLCAP 4400 – Manual on Transport of Dangerous Goods by Air to ensure the Handling Agent is complied with the requirement. (copy attached-Attachment-OPS-06.2)	DDOPS	16 May 2011 COMPLETED
OPS Inspectors were briefed of the requirement (copy attached-Attachment-OPS-06.3)	DDOPS	16 May 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-7

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/07		
Please refer to Appendix 1-4-07 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>The CAA SL agrees with the finding of the ICAO audit team. However, in all Aviation Security Manuals of the operators approved by the CAA, the following have been included and the requirements of the Annex-6 are complied with</p> <ul style="list-style-type: none"> a) cabin crew to discreetly communicate to flight crew in the event of suspicious activity or security breaches in the passenger cabin; b) flight crew compartment access and bomb threats or warnings; c) a checklist for searching a bomb and/or inspecting an aircraft for concealed weapons, explosives and other dangerous devices; and d) a security training programme for flight and cabin crew. 		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The written procedures have been developed to ensure that all air operators comply with Annex 6 security provisions by 30th June 2011.	DDAVSEC	30th June 2011 COMPLETED

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-4-8

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

AUDIT FINDING OPS/08		
Please refer to Appendix 1-4-08 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA SL agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A system will be developed to monitor and provide trend analyses of the findings associated with each air operator.	DDOPS	31st December 2011

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APPENDIX 3-5-1

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/01		
<p>Please refer to Appendix 1-5-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.</p>		
STATE'S COMMENTS AND OBSERVATIONS*		
<p>Sri Lanka agrees with the audit findings. The Surveillance Plan could not be implemented due to shortage of staff. However, the situation has now been improved with the induction of a complement of new staff to perform the required tasks and functions.</p> <p>The Airworthiness Section of CAASL has nine (9) qualified Inspectors who have been given a series of vigorous training to be able to engage in and perform the conduct of inspections as per the surveillance plan, with the assistance of a qualified inspector from Transport Canada and also with the support of COSCAP-South Asia.</p> <p>Also CAASL has entered into an agreement with COSCAP-SA for engagement of COSCAP-South Asia Technical Experts in the conduct of safety surveillance in Sri Lanka. Accordingly the staff strength of CAASL in the field of Airworthiness becomes a total of ten (10), which is very much adequate to perform the required tasks.</p> <p>Also surveillance plan has been developed to include a good cross sectional representation of all activities taking place in the field of Airworthiness.</p>		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
A surveillance program has been developed with guidelines for scheduling inspections (Please see Attachment-AIR-01.1).	DD/AW	01 January 2011 COMPLETED
Surveillance plan has been fully implemented, with establishment of fully functional sub office at Bandaranaike International Airport and Ratmalana Airport (Please see Attachment-AIR-01.2) which performs inspections as planned.	DD/AW	01 January 2011 COMPLETED

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APPENDIX 3-5-2

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/02		
Please refer to Appendix 1-5-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
Sri Lanka agrees with the Audit Finding mentioned above and taken necessary steps to rectify the deficiency.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Amendment to the ASN 17 has been issued to cover the regulations pertaining to the acceptance of modifications and repairs to reflect existing practices (copy attached- Attachment AIR-02.1)	DD/AW	30 June 2011 COMPLETED
CAA staff were briefed of the changes introduced to the Regulations.	DD/AW	30 June 2011 COMPLETED
CAA Procedures contained in the ASN 17 has been amended to cover the acceptance of modifications and repair to reflect existing practices.	DD/AW	30 June 2011 COMPLETED

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APPENDIX 3-5-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/03		
Please refer to Appendix 1-5-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
Sri Lanka agrees with the Audit finding mentioned above and corrective action has been taken as follows to rectify the deficiency.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Develop procedures for issuing RNP Approvals (copy attached-Attachment-AIR-02.1)	DD/AW	30 August 2011
Provide training to Civil Aviation Inspectors on application of procedures.	DD/AW	30 August 2011

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APPENDIX 3-5-4

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/04		
Please refer to Appendix 1-5-04 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
Sri Lanka agrees with the Audit finding mentioned above and corrective action has been taken as follows to rectify the deficiency.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Industry notice will be issued giving a new deadline for the implementation of SMS in all AMO.	DGCA	31 May 2011
Develop and promulgate CAASL procedures giving guidelines in regard to grant of approval for SMS of AMO and develop detailed checklists for the process	DD/AW	31 July 2011
Hold industry consultative meetings to educate the AMO of the CAASL requirements and procedures	DD/AW	31 August 2011
Grant of approval for SMS of all AMO as per the developed procedure	DD/AW	15 September 2012

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APPENDIX 3-5-5

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

AUDIT FINDING AIR/05		
Please refer to Appendix 1-5-05 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
Sri Lanka agrees with the Audit Finding.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAASL internal procedures in the SLCAP 6200 will be amended to require prospective applicants to include detailed guidance in their respective MCM and MP approval procedures for observation of human factor principles	DD/AW	30 July 2011
Review current MCM and MP of the approved organization and instruct them to amend if required to observe human factor principals	DD/AW	29 July 2012
CAA staff to be briefed of the new requirements	DD/AW	4 August 2011

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APPENDIX 3-6-1

CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/01
Please refer to Appendix 1-6-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.
STATE'S COMMENTS AND OBSERVATIONS*
<p>The CAASL does not agree with the finding of the ICAO audit team for the following reasons</p> <ol style="list-style-type: none">1. Section 56 (1) of Civil Aviation Act No.14 of 2010 (copy attached-Attachment- AIG-01-1), requires the Authority not to appoint as a member of any Board, a member of staff of the Authority or any person who has any connection with the accident or incident which such Board is required to investigate.2. The responsibility for issue of licences or certificates relating to any safety sensitive matter under Civil Aviation Act is devolved on the Director General of Civil Aviation who is only one member out of eight (8) members of the Civil Aviation Authority of Sri Lanka. (copy attached-Attachment-AIG-01-02) which enumerates all the applicable provisions relating to issue of licences concerning safety sensitive areas.3. Section 4 of Civil Aviation Authority Act No. 34 of 2002 requires members to disclose any interest in any decision to be made by the Authority. Accordingly the DGCA cannot legitimately take part at any CAASL official discussions relating to aircraft accidents or incidents as he has involvement in regard to safety of aircraft (copy attached-Attachment –AIG- 01-3) <p>Therefore CAASL is of the firm view that the existing legal provisions are adequate for Sri Lanka to ensure independence of its aircraft accident and incident investigation authority in the conduct of investigations.</p> <p>Also Sri Lanka has already developed rules under the authority of CAASL to avoid possible conflicts of interest when experts from the State's civil aviation authority or any other organization in the State are used for an aircraft accident or serious incident investigation. (copy attached- Attachment-AIG-01-4); refer paragraph (4) to (9) of Rule 11).</p> <p>Being a small country which has very limited aircraft operations, Sri Lanka cannot afford to establish and maintain an independent organization merely for the purpose of conducting aircraft accident or incident investigations, avoidance of which is the primary aim and effort of the CAASL.</p>

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APPENDIX 3-6-1 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Nil	Not applicable	Not applicable

* Text reproduced as submitted by Sri Lanka.

APPENDIX 3-6-2

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

AUDIT FINDING AIG/02		
Please refer to Appendix 1-6-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Revise the Corporate Training plan of the CAA in respect of Accident Investigators and incorporate necessary training programmes.	AIU	30-Sept-2011
Prepare/Amend Annual Training Programmes for the individual investigators based on the Training Plan.	AIU	30-Sept-2011
Establish and maintain accident investigator's training records. Completed in respect of past training records and ongoing.	AIU HROM	On going
Continue co-ordination with AAIB of Singapore and ATSB, Australia and initiate liaison with DGCA, France and NTSB to finalize MOU for mutual cooperation for the investigation of accidents and serious incidents.	AIU	30-Dec-2011

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APPENDIX 3-6-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

AUDIT FINDING AIG/03		
Please refer to Appendix 1-6-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Establishment of MOU with Ministry of Justice to have prior arrangements to facilitate the coordination between the investigators and the judicial authorities in Sri Lanka throughout the investigation process, in order to ensure the coordination of activities (in particular on the site of the accident or incident) and required separation between the two types of investigations.	AIU	30-Dec-2011
Conduct of workshops with Law Enforcement Authorities and other governmental key organizations to enlighten them of the division of responsibilities in regard to judicial responsibility and that of the CAASL	CAASL	31st December 2011

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APPENDIX 3-6-4

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

AUDIT FINDING AIG/04		
Please refer to Appendix 1-6-04 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Issue directive to relevant technical sections on safety data analysis based on reports.	AIU	30-June-2011
Establish a group to conduct meetings on safety data analysis and reporting once in every two months. (Tech Review Committee). (copy attached-Attachment-AIG-04.1)	CAA Technical Sections DGCA	On going
Issue circulars on preventive actions.	DGCA	On going

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APPENDIX 3-6-5

CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

AUDIT FINDING AIG/05		
Please refer to Appendix 1-6-05 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Amendments to existing ASN on voluntary occurrence reporting system	AIU	30 June-2011
Established a web link on voluntary occurrence reporting system. http://www.caa.lk/newcaa/enforcementaction/voluntaryreporting/	AIU	COMPLETED
Awareness about the voluntary reporting system among the industry and public.	AIU	30-Nov-2011

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APPENDIX 3-7-1

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/01		
Please refer to Appendix 1-7-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAASL agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Reviewed the contingency plan already prepared for implementation in the event of disruption, or potential disruption of ATS and related supporting services	AASL	31st January 2011 COMPLETED
Forwarded the finalized Contingency plan to DGCA for the promulgation to the adjacent States	AASL	20th April 2011 COMPLETED
Promulgated the contingency plan to adjacent States, Australia, India, Jakarta and Maldives	CAASL	31st May 2011 COMPLETED
Coordinate with adjacent States, Australia, India, Jakarta and Maldives to finalize contingency plans	AASL/CAASL	31st October 2011
Sign the agreements with the States Australia, India, Jakarta and Maldives	AASL	31st December 2011
Signed copies of agreements with the States mentioned above will be forwarded to ICAO	CAASL	31st December 2011

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APPENDIX 3-7-2

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/02		
Please refer to Appendix 1-7-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
The criteria concerning the Pans-ops Procedure design has been published in Manual of ATS, Sri Lanka as per the requirement 3.1.10 of ASN 108. (copy attached-Attachment-ANS-02.1).	AASL - ATS	31st January 2011 COMPLETED

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APPENDIX 3-7-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/03		
Please refer to Appendix 1-7-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Flight Inspections Procedures for Radio Navigational Aids to be used by the third party flight inspection service provider will be developed and established.	AASL – E&ANE	31st August 2011
Procedure to validate the results of flight inspections for radio navigation aids will be developed and established.	CAASL	31st August 2011
CAASL staff and the staff of the ANS providers will be enlighten of the CAASL procedures on the subject matter	DD/ANS	31st August 2011
CAASL will conduct continued surveillance on the implementation of the approved procedures	DD/ANS	On going

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APPENDIX 3-7-4

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/04		
Please refer to Appendix 1-7-04 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Coordinate with AASL and DOM to sign the agreement, which has already been prepared between two organizations for the provision of Aeronautical Meteorology.	CAA-SL	29th July 2011
Agreement to the provision of Aeronautical Meteorology Services will be finalized and established.	CAA-SL, AASL, DOM	30th Sept 2011

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APPENDIX 3-7-5

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/05		
Please refer to Appendix 1-7-05 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAASL will establish a mechanism to ensure that all entities which provide MET services establish and implement a properly organized quality system comprising procedures, process and resources.	DD/ANS	30th December 2011
CAASL will conduct periodic surveillance to ensure that all entities which provide MET services will provide such services in compliance with the CAASL established mechanism	DD/ANS	31st December 2011

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APPENDIX 3-7-6

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/06		
Please refer to Appendix 1-7-06 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Preparation of agreements with relevant Authorities as SAR Units in relation to the provision of SAR Services within Colombo SAR Region. The agreement will include; 1) Provision of resources. 2) Coordination and operational functions in SAR services.	DD/ANS	31st August 2011
Finalizing the agreements after Coordinating with relevant organizations	DD/ANS	30th Sept 2011
Promulgation of the agreements to the relevant organizations to sign the agreement.	DD/ANS	31st October2011
Filing the concluded agreements with ICAO	DD/ANS	31st December 2011

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APPENDIX 3-7-7

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AIR NAVIGATION SERVICES**

AUDIT FINDING ANS/07		
Please refer to Appendix 1-7-07 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Preparation of the agreements in relation to aeronautical SAR arrangement with neighbouring States, in to three languages.	CAA-SL	05th June 2011
Finalize the agreements after Coordinating with relevant States.	CAA-SL	05th August 2011
Forward the agreements to the line ministry to get the Cabinet of Ministers approval to sign the agreements	CAA-SL	31st August 2011
Obtain the approval of Cabinet of Ministers	Ministry of Civil Aviation	31st October 2011
Disseminate the agreements to relevant States for signature.	CAA-SL	31st December 2011
Filing the concluded agreement with ICAO	CAASL	31st March 2011

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APPENDIX 3-8-1

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AERODROMES**

AUDIT FINDING AGA/01		
Please refer to Appendix 1-8-01 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
AASL appointed a committee to study the accuracy and adequacy of the available facilities at BIA such as lighting, Signs and markings to prevent runway incursions and other hazards related to runway incursions. Refer 1.1.1 of the minutes of the meeting of CAA/AASL co-ordination committee. (copy attached- Attachment-AGA.01.1)	AASL	16th November 2010 COMPLETED
Considering the report of the above committee AASL will develop and implement a Runway Safety Programme as per the requirement of ASN 099. Refer minutes of the Runway Safety Committee Meeting. (copy attached-Attachment-AGA-01.2).	AASL	31st August 2011
CAA-SL will develop procedures for ensuring an aerodrome operator's plan for lighting, signs and markings is integrated into the aerodrome's runway incursion and collision avoidance strategy, as part of its runway safety programme.	DD/ANS AI	31st August 2011
Training will be imparted to both the CAA Inspectors and AASL staff on the use of procedures	DD/ANS	31st December 2011

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APPENDIX 3-8-2

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AERODROMES**

AUDIT FINDING AGA/02		
Please refer to Appendix 1-8-02 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Guidance Material with regard to the use of pavement when the ACN is higher than PCN will be issued.	DD/ANS AI	31st August 2011

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APPENDIX 3-8-3

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AERODROMES**

AUDIT FINDING AGA/03		
Please refer to Appendix 1-8-03 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
Quality system will be established for ensuring accuracy, integrity and protection requirement for aeronautical data throughout the data transfer process as per the requirements of ASN 99.	CAA-SL/ AASL	29th July 2011
Training will be imparted to all involved and concern for the correct use of the quality system	CAASL	31st December 2011

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APPENDIX 3-8-4

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AERODROMES**

AUDIT FINDING AGA/04		
Please refer to Appendix 1-8-04 of this report for the text of the finding and recommendations along with the related protocol questions which should be considered in order to fully address this audit finding.		
STATE'S COMMENTS AND OBSERVATIONS*		
The CAA agrees with the finding of the ICAO audit team.		
CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
CAA-SL will take/has taken necessary action for Aerodrome Operator to implement procedures on;		
a) Determination of when a runway may be slippery when wet; (Friction Testing Machine will be acquired by AASL for this purpose). (copy attached-Attachment-AGA.04.1)	AASL	31st August 2011
b) Until the friction testing machine is acquired by the AASL a programme has already been implemented at BIA (every Wednesday three hour window) to remove rubber deposits in order to maintain good runway friction characteristics and low rolling resistance of the runway. (copy attached-Attachment-AGA.04.1)	AASL	31st August 2011

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APPENDIX 3-8-4 (CONT.)

**CORRECTIVE ACTION PLAN PROPOSED BY SRI LANKA
RELATED TO AERODROMES**

CORRECTIVE ACTION(S) PROPOSED*	ACTION OFFICE	ESTIMATED IMPLEMENTATION DATE(S)
c) Visual approach slope indicator guidance systems to include the minimum eye height over threshold (MEHT) - (Amend AE Manual to include the data.). Manual. Refer 3.2.6.3 of Aerodrome Manual. (copy attached-Attachment-AGA-04.2)	AASL	31st March 2011 Completed
d) How to implement requirements to observe objects on runway strips. (Amend Apron Supervisors checklist and include in the AE manual). Refer 3.6 of Daily Airside Inspection Reporting Form. (copy attached-Attachment-AGA-04.3)	AASL	31st March 2011 Completed

— END —

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