

ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP)
Continuous Monitoring Approach (CMA)

**FINAL REPORT
OF THE USOAP CMA AUDIT
OF THE
CIVIL AVIATION SYSTEM
OF THE
DEMOCRATIC SOCIALIST REPUBLIC
OF SRI LANKA**

(4 to 15 June 2018)



International Civil Aviation Organization

TABLE OF CONTENTS

	Page
1. INTRODUCTION	1
1.1 Background	1
1.2 ICAO audit team composition	1
1.3 Acknowledgements	2
2. OBJECTIVES AND ACTIVITIES	2
3. AUDIT RESULTS	3
3.1 Executive summary	3
3.2 Analysis of audit results	3
4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS	3
5. USOAP CMA ONLINE FRAMEWORK	4
6. STATE AVIATION ACTIVITY QUESTIONNAIRE (SAAQ)	4
7. COMPLIANCE CHECKLISTS (CCs)	4
8. FOLLOW-UP ACTION	4

APPENDICES

- 1 — Executive Summary
- 2 — Analysis of Results by Sub-Areas of Critical Elements 1 to 4
- 3 — Analysis of Results by Audited Areas



ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME

Continuous Monitoring Approach

Final Report of the USOAP CMA Audit of the Civil Aviation System of the Democratic Socialist Republic of Sri Lanka

(4 to 15 June 2018)

1. INTRODUCTION

1.1 Background

1.1.1 Pursuant to Assembly Resolution A32-11, the ICAO Universal Safety Oversight Audit Programme (USOAP) was launched in January 1999, with the mandate to conduct regular, mandatory, systematic and harmonized safety audits addressing Annexes 1, 6 and 8 to the *Convention on International Civil Aviation* (hereinafter referred to as the Chicago Convention).

1.1.2 In 2004, the 35th Session of the ICAO Assembly adopted Assembly Resolution A35-6, which expanded the USOAP to include the safety-related provisions contained in all safety-related Annexes to the Chicago Convention under a Comprehensive Systems Approach (CSA), starting in 2005. All Member States would undergo a USOAP CSA audit at least once during a six-year period.

1.1.3 Following the successful implementation of the ICAO USOAP CSA, the 37th Session of the ICAO Assembly in 2010 adopted Assembly Resolution A37-5, formalizing the evolution of the USOAP to a Continuous Monitoring Approach (CMA).

1.1.4 As a concept and methodology developed under the USOAP, the CMA provides a mechanism for ICAO to collect and analyse safety information from Member States and other stakeholders as well as to use this information in identifying and prioritizing activities to be carried out by ICAO. These activities principally include audits and ICAO Coordinated Validation Missions (ICVMs).

1.1.5 On 25 October 2011, the Democratic Socialist Republic of Sri Lanka, hereafter referred to as Sri Lanka, signed the Memorandum of Understanding (MOU) with ICAO regarding the USOAP CMA. According to the MOU, Sri Lanka agreed to an audit under the USOAP CMA. This audit was carried out from 4 to 15 June 2018 by an ICAO audit team in accordance with the guidelines and principles set forth in the *ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) as well as in conformity with the ISO 9001 series of quality management standards.

1.2 ICAO audit team composition

1.2.1 The ICAO audit team was composed of:

- a) Mr. Junjian Nie, team leader, primary aviation legislation and specific operating regulations (LEG)/civil aviation organization (ORG)/airworthiness of aircraft (AIR);
- b) Mr. Louis Opoku, team member, personnel licensing and training (PEL);
- c) Mr. Cristian Paul Olinescu, team member, aircraft operations (OPS);
- d) Mr. Mohamed Smaoui, team member, air navigation services (ANS);
- e) Ms. Sereya Mostert-Schotborgh, team member, OPS/on-the-job training (OJT); and
- f) Mr. Paul Harvey, team member, ANS/OJT.

1.2.2 The scope of the audit did not include the areas of aircraft accident and incident investigation (AIG) and aerodromes and ground aids (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 contributed greatly to the success of the audit mission.

2. OBJECTIVES AND ACTIVITIES

2.1 The USOAP CMA is designed to monitor the safety oversight capabilities and safety performances of States on a continuous basis. The USOAP CMA audit assesses the safety oversight capability of a State by evaluating its implementation of the eight critical elements (CEs) of a safety oversight system.

2.2 The safety oversight capability of a State is measured by the Effective Implementation (EI), which is calculated for each CE or each audit area. The overall EI of a State is the percentage of “satisfactory” Protocol Questions (PQs) over the total number of “satisfactory” and “not satisfactory” PQs.

2.3 The USOAP CMA audit covers the safety-related provisions in all safety-related Annexes to the Chicago Convention. This audit process involves three phases, with the following principal activities:

- a) The *preparation phase* includes ICAO’s review and analysis of the State Aviation Activity Questionnaire (SAAQ), Compliance Checklists (CCs), and/or Electronic Filing of Differences (EFOD) system duly completed by the State.
- b) During the *on-site audit phase*, the ICAO audit team visits the State where it reviews the State’s civil aviation legislative framework; examines documentation and facilities; as well as visits industry and service providers.
- c) In the *post-audit phase*, the ICAO team presents its findings, based on the PQs, in the USOAP CMA audit report and the State develops a corrective action plan (CAP) to address each of these findings.

2.4 The audit results, including findings, reflect the capabilities and limitations of the civil aviation system of the State as assessed by the audit team. They are based on one or all of the following:

- a) evidence gathered during interviews with State’s technical experts;
- b) background information provided by such personnel; and
- c) review and analysis of civil aviation legislation, specific regulations, related documentation and file records by the audit team.

2.5 Considering the time that was available to conduct the audit and the fact that the ICAO audit team members could only review and analyse information and documentation made available by the State, it is possible that some safety deficiencies may not have been identified during the audit.

3. **AUDIT RESULTS**

3.1 **Executive summary**

3.1.1 The USOAP CMA audit of the civil aviation system of Sri Lanka was carried out from 4 to 15 June 2018. The audit resulted in an overall EI of 88.44 per cent for the eight CEs of the State's safety oversight system.

3.1.2 As the scope of the audit did not include the areas of AIG and AGA, the updated overall EI of 88.44 per cent is calculated based on the latest audit results on record for these two areas.

3.1.3 Following this audit, the CEs with the lowest EIs are:

- a) CE-7, *Surveillance obligations*, at 75.95 per cent;
- b) CE-2, *Specific operating regulations*, at 85.15 per cent; and
- c) CE-4, *Qualified technical personnel*, at 85.92 per cent.

3.1.4 Information on the civil aviation system and activities in the areas of LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA may be found in the SAAQ, which is updated regularly by the Civil Aviation Authority of Sri Lanka (CAASL) through the USOAP CMA online framework.

3.1.5 Analyses of the EI by the eight CEs of the safety oversight system in Sri Lanka (Figure 1) as well as by areas (Figure 2) are found in Appendix 1 of this report. Also highlighted are recommendations for the State's high and other priorities to resolve the identified deficiencies.

3.2 **Analysis of audit results**

3.2.1 A breakdown of the audit results for the sub-areas of CEs 1 to 4 is provided in Appendix 2 of this report.

3.2.2 A breakdown of the audit results by the sub-area groupings of PEL, OPS, AIR and ANS is provided in Appendix 3 of this report.

3.2.3 The status of the PQs in the areas of LEG, ORG, PEL, OPS, AIR and ANS resulting from the audit conducted in Sri Lanka may be accessed by registered users on the USOAP CMA online framework: <https://www.icao.int/usoap>.

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) Fly Southern Aviation (PVT) Ltd, and Civil Aviation Training Centre (PEL);
- b) Sri Lankan Airlines (OPS);
- c) Saffron Aviation - Kat (AIR); and

- d) AAS (SL) Ltd: (ANS):
 - 1) approach centre, tower and CNS facilities in BIA; and
 - 2) area control centre, ARO and AIS briefing office, ARCC and CNS facilities at RMA.

5. USOAP CMA ONLINE FRAMEWORK

5.1 To facilitate administration and management of USOAP, ICAO launched the USOAP CMA online framework, which is a suite of web-integrated applications that allow continuous monitoring and reporting of safety-related information and documentation received from different sources. It is designed to enhance the effectiveness and efficiency of the USOAP CMA in identifying deficiencies and associated safety risks. ICAO Member States and registered users may access the USOAP CMA online framework at <https://www.icao.int/usoap>.

6. STATE AVIATION ACTIVITY QUESTIONNAIRE (SAAQ)

6.1 The SAAQ is designed to collect comprehensive and specific information on each State's aviation activities, including legislative, regulatory, organizational, operational, technical and administrative details. Each State shall complete and maintain its SAAQ up to date through the USOAP CMA online framework in order to assist the Safety and Air Navigation Oversight Audit Section (OAS) in monitoring the level of aviation activity in the State related to each audit area and in prioritizing and planning USOAP CMA activities.

6.2 Sri Lanka has completed its SAAQ online and this can be found at <https://www.icao.int/usoap>.

7. COMPLIANCE CHECKLISTS (CCs)

7.1 States are required to complete and maintain up-to-date CCs that contain information on the implementation of the specific provisions of the relevant Annexes to the Chicago Convention. The completion of the CCs by Member States will provide authorized users with an overview of the level of implementation of ICAO Standards. States are encouraged to provide this information through the EFOD system.

7.2 Sri Lanka has completed its CCs online and this can be found at <https://www.icao.int/usoap>.

8. FOLLOW-UP ACTION

8.1 In accordance with the MOU agreed to between Sri Lanka and ICAO, Sri Lanka submitted its comments to the draft report on 6 October 2018. The comments were reviewed by OAS and taken into consideration in the production of this final report.

8.2 The State is required to submit its CAPs directly on the USOAP CMA online framework (<https://www.icao.int/usoap>) within 45 days after receipt of this final report. The CAPs should be updated regularly.

8.3 The CAPs should provide specific actions and estimated implementation dates, as well as a responsible office for taking action to correct the deficiencies identified in the findings. Further guidance on how to develop effective CAPs is outlined in the “[Guidance for States on Developing Corrective Action Plans \(CAPs\)](#)”, which can be found in the “CMA Library” of the online framework.

8.4 ICAO will provide Sri Lanka with feedback on the acceptability of the proposed CAPs. If any proposed corrective actions do not fully address the associated findings, the State will be notified accordingly.

8.5 If no CAP is submitted, ICAO will contact Sri Lanka to determine the reasons for not providing a CAP and report its findings to Council.

Appendix 1 — Executive Summary

Sri Lanka	EI before Audit:	87.36%
	EI after Audit:	88.44%

Figure 1. Effective Implementation by Critical Element of a Safety Oversight System

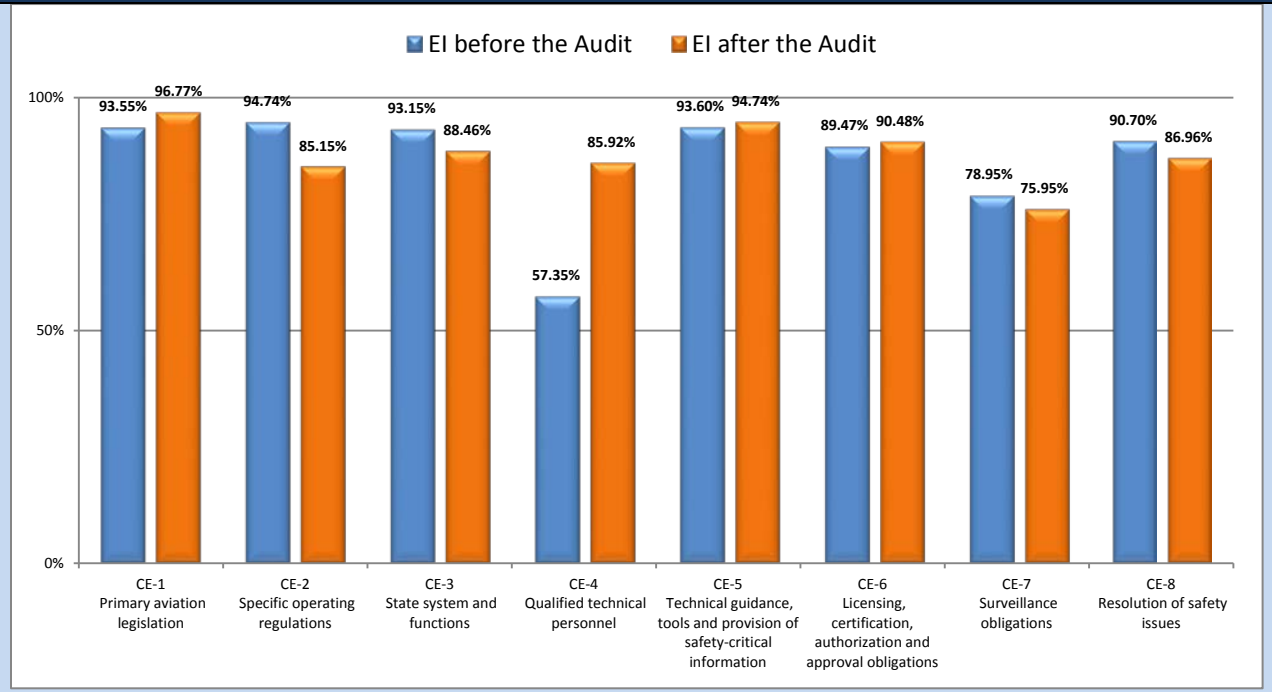
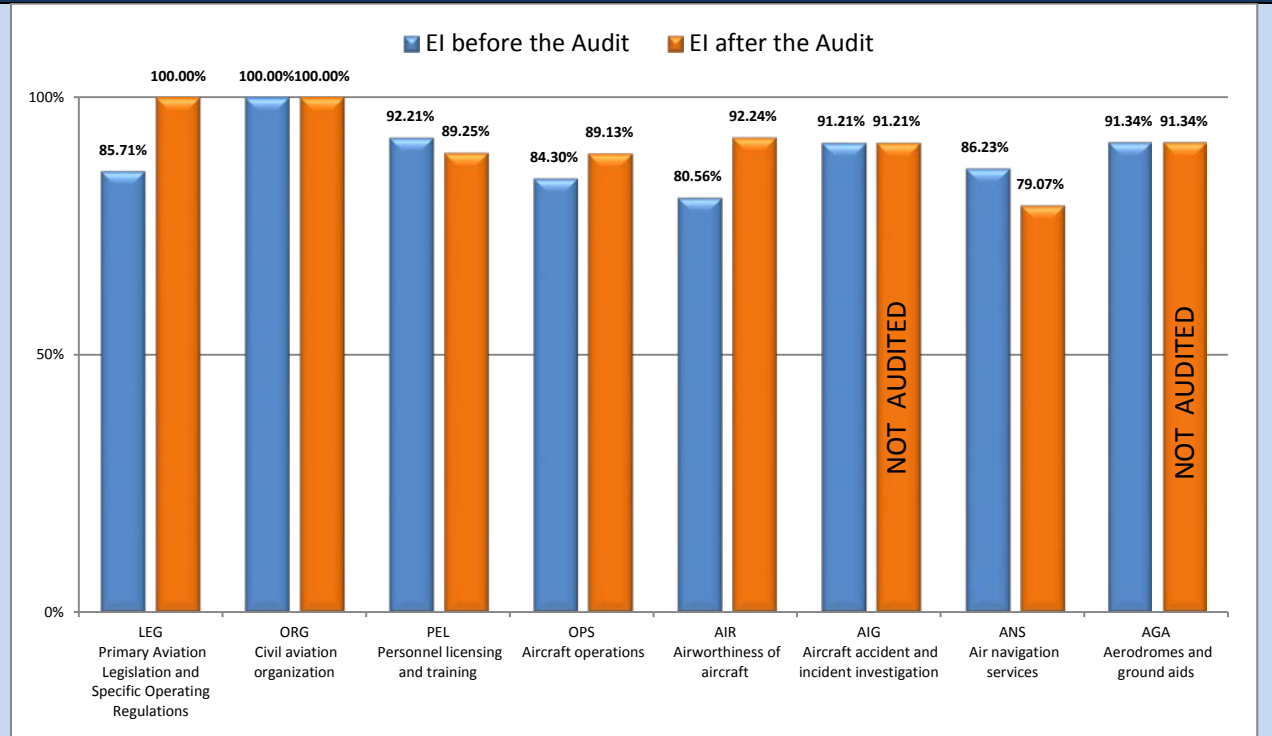


Figure 2. Effective Implementation by Area



Analysis

Considering the overall results outlined in Figures 1 and 2, the information below has been developed to assist the State in prioritizing its remedial actions.

High Priorities:

LEG:

- 1) Conduct a structured review of all the Regulations/Implementing Standards, and by following the Civil Aviation Authority of Sri Lanka (CAASL) rulemaking process, to ensure that:
 - a) all the applicable provisions of the Annexes to the Chicago Convention are properly transposed to Sri Lanka national regulations, instead of a word-by-word copy of the Annex provisions, to ensure that the national regulations provide for clear requirements of the State and are implementable and enforceable; and
 - b) all the differences between the State's regulations and practices and the related ICAO Standards are identified and notified to ICAO.
- 2) Amend the regulation to require the maintenance programmes to be approved by the State of Registry, instead of by the DGCA of Sri Lanka, to comply with the related Standard of Annex 6, particularly when Sri Lanka is not the State of Registry.

ORG:

- 1) Ensure the establishment of the coordination process between the aeronautical rescue coordination centre (ARCC) and the maritime rescue coordination centre (MRCC) and its inclusion into the Final National SAR Plan, which should include, inter alia, the terms and conditions of SAR units' involvement to assist any aircraft or its occupants who are or appear to be in a state of emergency.
- 2) Ensure that qualified PANS-OPS and CNS inspectors are employed in sufficient number.

PEL:

Include sufficient details in the relevant guidance material and procedures to enable personnel licensing staff to carry out their functions and responsibilities effectively.

OPS:

- 1) Establish and implement:
 - a) a system to track, monitor and record the corrective actions taken by the air operators in resolving identified deficiencies; and
 - b) a surveillance programme for designated examiners, with clear guidance on the frequency and activities to be conducted by CAASL inspectors.

High Priorities: (cont.)*OPS: (cont.)*

- 2) Consistently implement the established procedures to ensure that:
 - a) an AOC applicant has implemented and maintained a flight safety documents system; and
 - b) an AOC applicant and certified air operators include, in their operations manuals, instructions for the preservation of flight recorder records in the event that the aeroplane becomes involved in an accident or incident.

- 3) Establish and implement:
 - a) a system to conduct risk-based inspections of all entities, other than air operators, involved in the transport of dangerous goods by air, including the determination of inspection frequencies as well as random inspections; and
 - b) procedures to take appropriate actions in case of violation in the area of dangerous goods, including a system to track identified deficiencies.

AIR:

- 1) Implement the recently developed checklist for the verification of operations derived equipment.

- 2) Review all the approved air operator maintenance control manuals (MCMs) and request the air operator to correct the contents, if needed, to ensure that the contents of all the approved MCMs are in compliance with the applicable regulations, particularly with regard to an air operator which can only operate an aircraft if it has been maintained and released to service by a maintenance organization approved by the State, or under an equivalent system.

- 3) Establish and implement a documented process and/or a method to track identified deficiencies, to evaluate corrective actions presented by air operators and/or AMOs and to take appropriate actions, up to and including enforcement measures, to resolve identified deficiencies and safety issues in a timely manner.

- 4) Establish and implement a documented process to initiate special evaluations or impose special operational restrictions if information obtained from reliability monitoring indicates a degraded level of safety.

ANS:

Ensure that:

- a) the service provider for air traffic service (ATS) develop and implement a training programme for its ATS staff, which includes refresher training;
- b) contingency plans have been developed and published for implementation in the event of disruption of ATS or related supporting services;
- c) an effective surveillance over the PANS-OPS, CNS, MET and SAR service providers is conducted;
- d) the ATS provider carries out safety assessments with respect to significant safety-related changes to the ATS system; and
- e) safety reviews are conducted regularly by the ATS service provider.

Other Priorities:

ORG:

Ensure the development and implementation of training programmes for ATS, CNS, MET and SAR inspectors.

PEL:

- 1) Establish and implement procedures for CAA medical decisions on licensing.
- 2) Implement a system for the consistency and reliability of written and oral tests by designated//delegated organizations or examiners.
- 3) Review all language proficiency requirements to be streamlined and consistent with ICAO guidance material.

ANS:

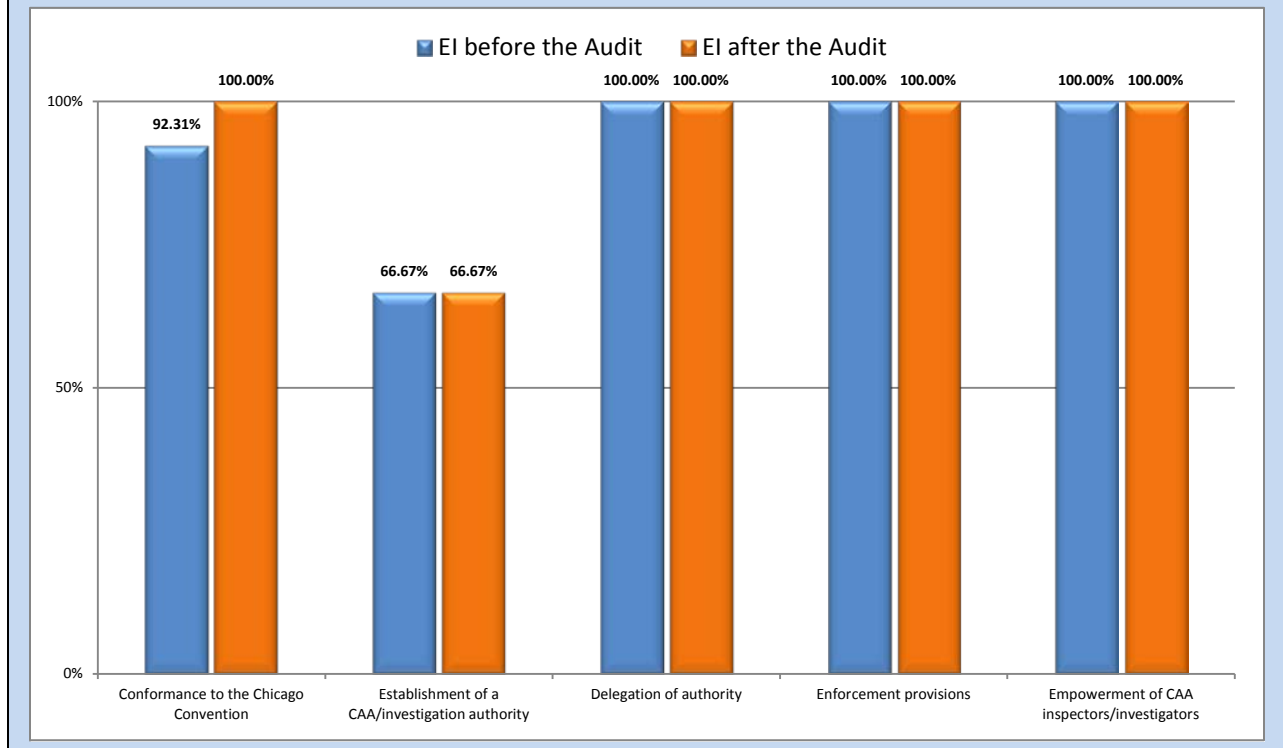
- 1) Ensure the:
 - a) effective implementation of training programmes for PANS-OPS, AIS, Cartography, CNS and MET technical staff of the service providers; and
 - b) development and publication in the aeronautical information publication (AIP) of the En-route Chart – ICAO.
- 2) Ensure that:
 - a) a properly organized quality management system has been established and effectively implemented for AIS and MET;
 - b) the requirements for flight inspection of navigation aids specify the periodicity; and
 - c) the ARCC and MRCC plans of operation for the conduct of SAR operations within Colombo search and rescue region (SRR) are developed and maintained up to date.

Appendix 2 — Analysis of Results by Sub-Areas of Critical Elements 1 to 4

CE-1 Primary Aviation Legislation	EI before Audit:	93.55%
	EI after Audit:	96.77%

The promulgation of a comprehensive and effective aviation law commensurate with the size and complexity of the State's aviation activity and consistent with the requirements contained in the Convention on International Civil Aviation, to enable the oversight and management of civil aviation safety and the enforcement of regulations through the relevant authorities or agencies established for that purpose.

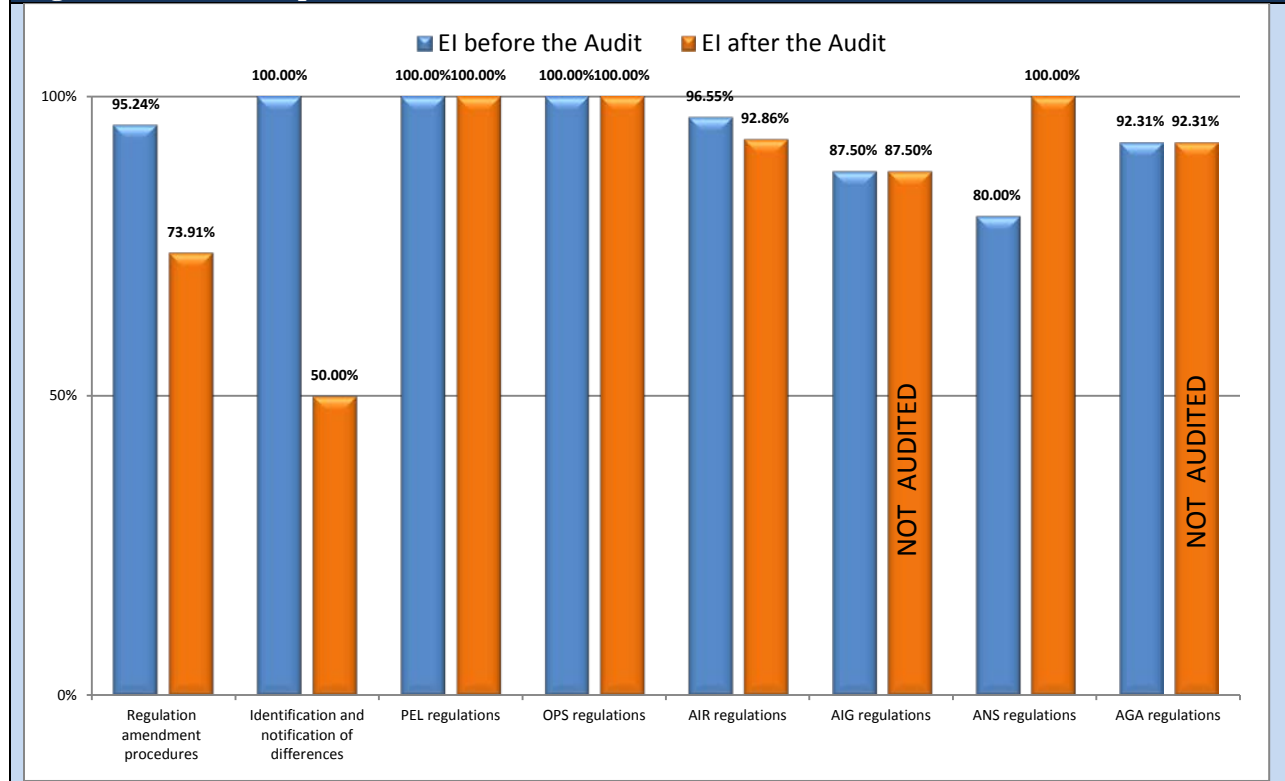
Figure 3. Effective Implementation (%) in CE-1 sub-areas



CE-2 Specific Operating Regulations	EI before Audit:	94.74%
	EI after Audit:	85.15%

The promulgation of regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures, in conformity with the Annexes to the Convention on International Civil Aviation.

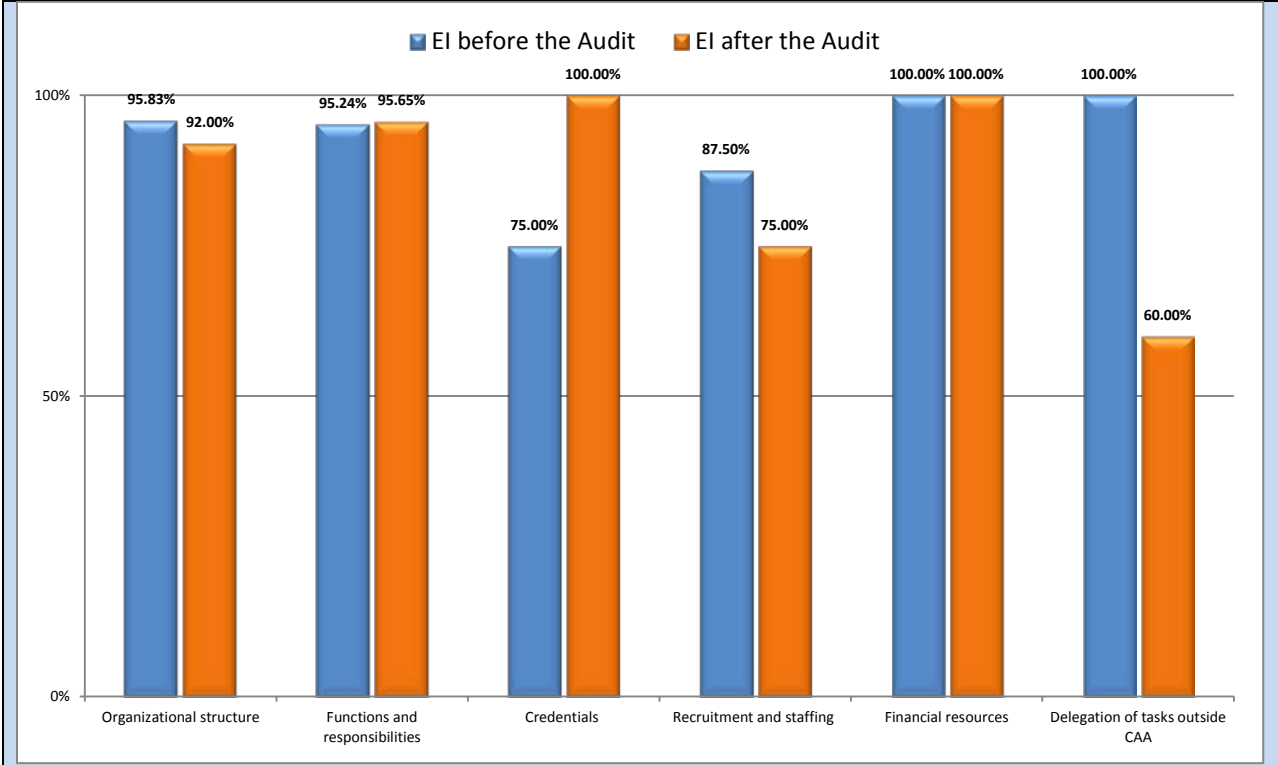
Figure 4. Effective Implementation (%) in CE-2 sub-areas



CE-3 State System and Functions	EI before Audit:	93.15%
	EI after Audit:	88.46%

The establishment of relevant authorities or agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources for the management of safety. State authorities or agencies shall have stated safety functions and objectives to fulfil their safety management responsibility.

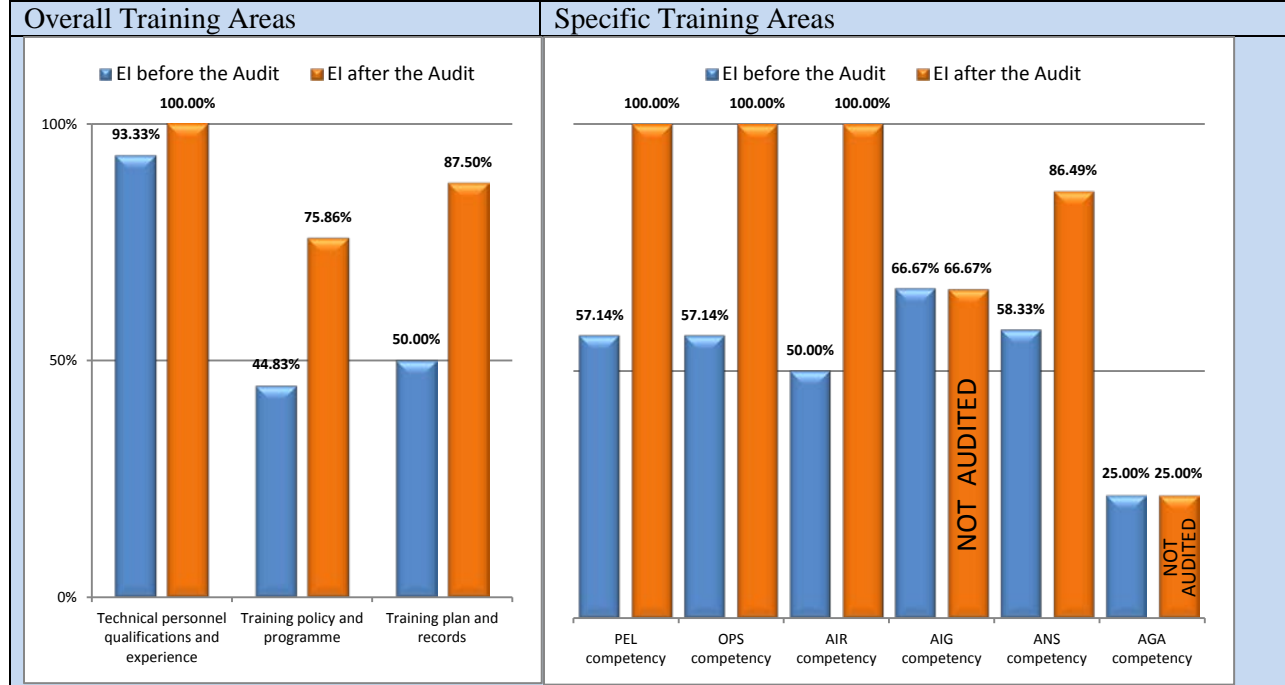
Figure 5. Effective Implementation (%) in CE-3 sub-areas



CE-4 Qualified Technical Personnel	EI before Audit:	57.35%
	EI after Audit:	85.92%

The establishment of minimum qualification requirements for the technical personnel performing safety-related functions and the provision of appropriate initial and recurrent training to maintain and enhance their competence at the desired level. States shall implement a system for the maintenance of training records for technical personnel.

Figure 6. Effective Implementation (%) in CE-4 sub-areas



Appendix 3 — Analysis of Results by Audited Areas

Figure 7. Personnel Licensing and Training (PEL)

Protocol Questions by sub-area groupings

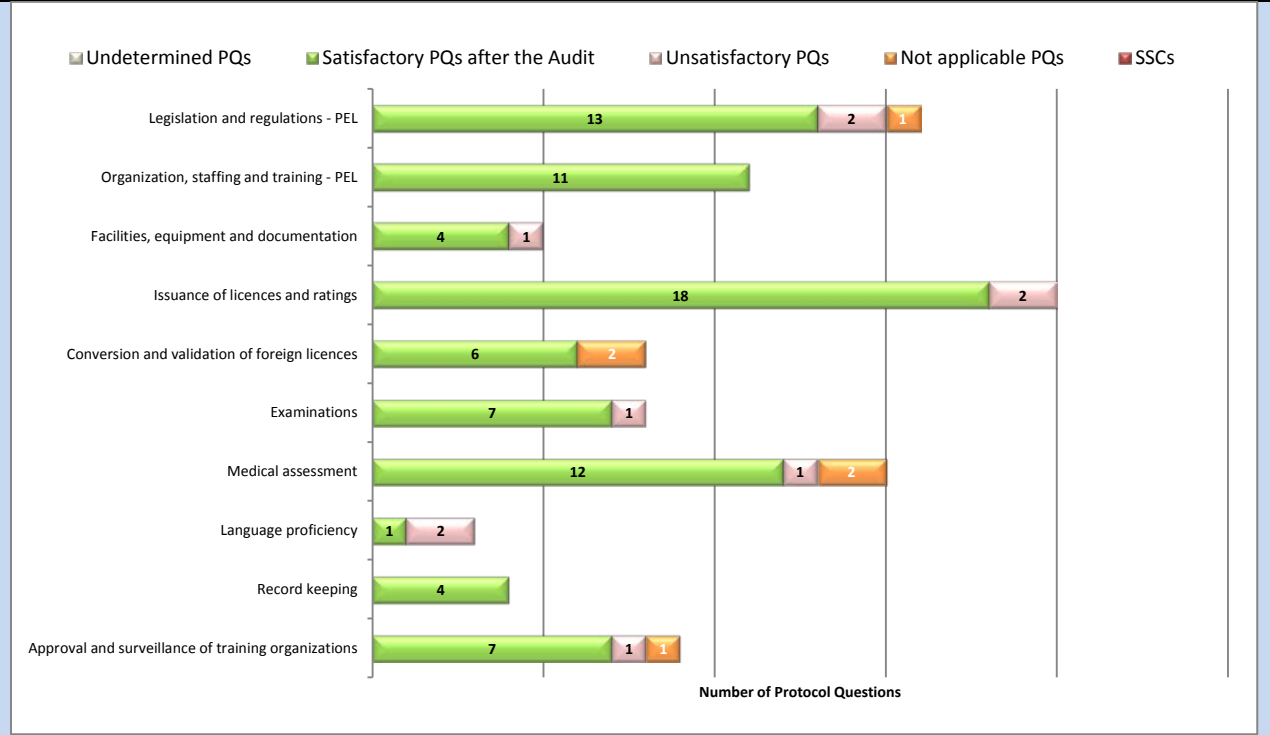


Figure 8. Aircraft Operations (OPS)

Protocol Questions by sub-area groupings

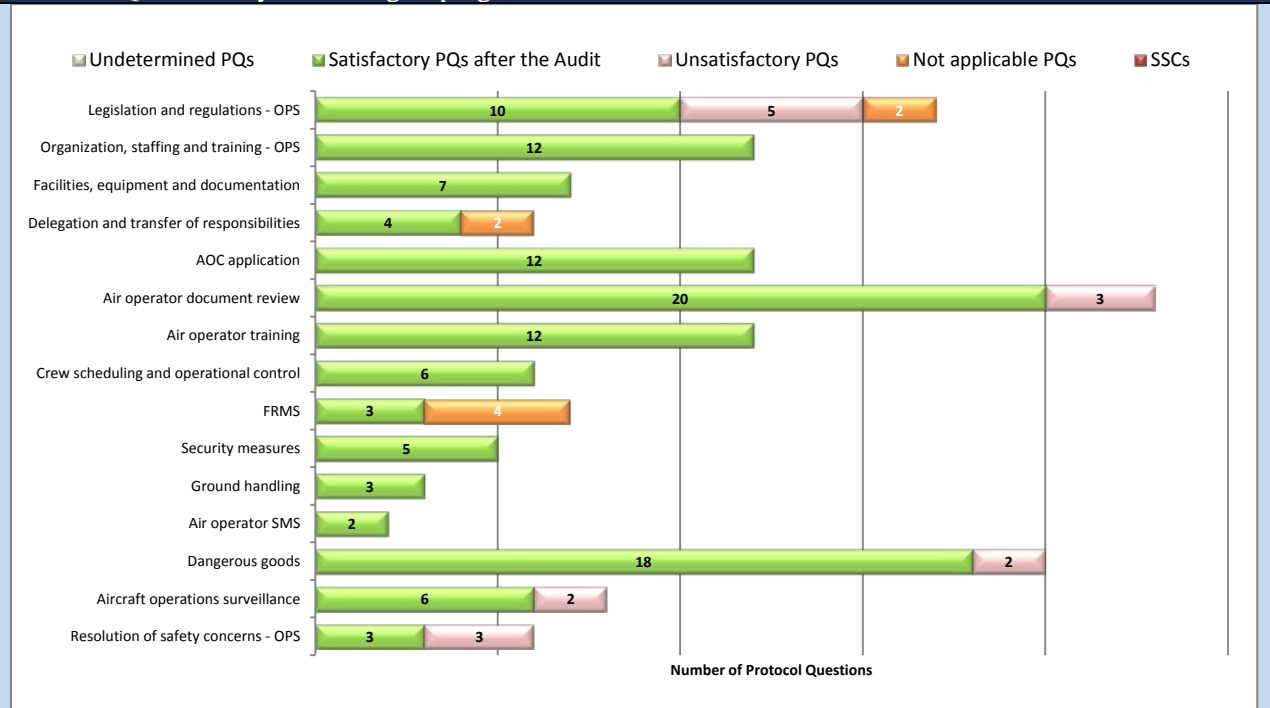


Figure 9. Airworthiness of Aircraft (AIR) – Inspection

Protocol Questions by sub-area groupings

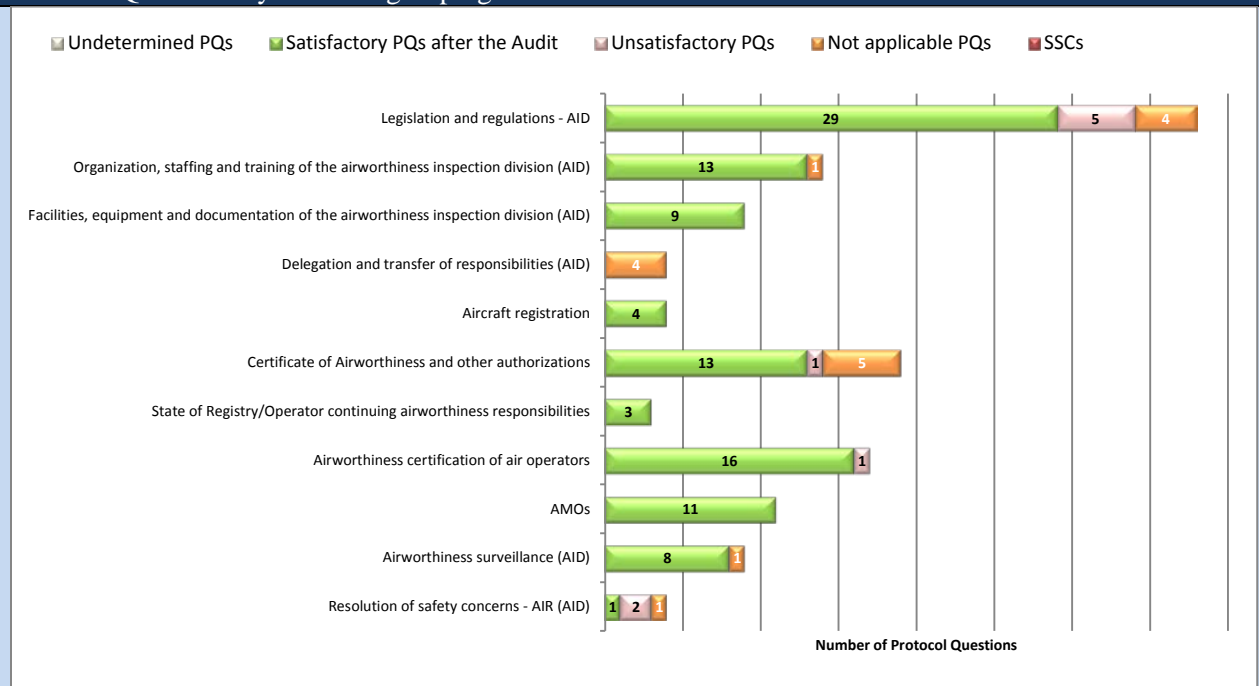
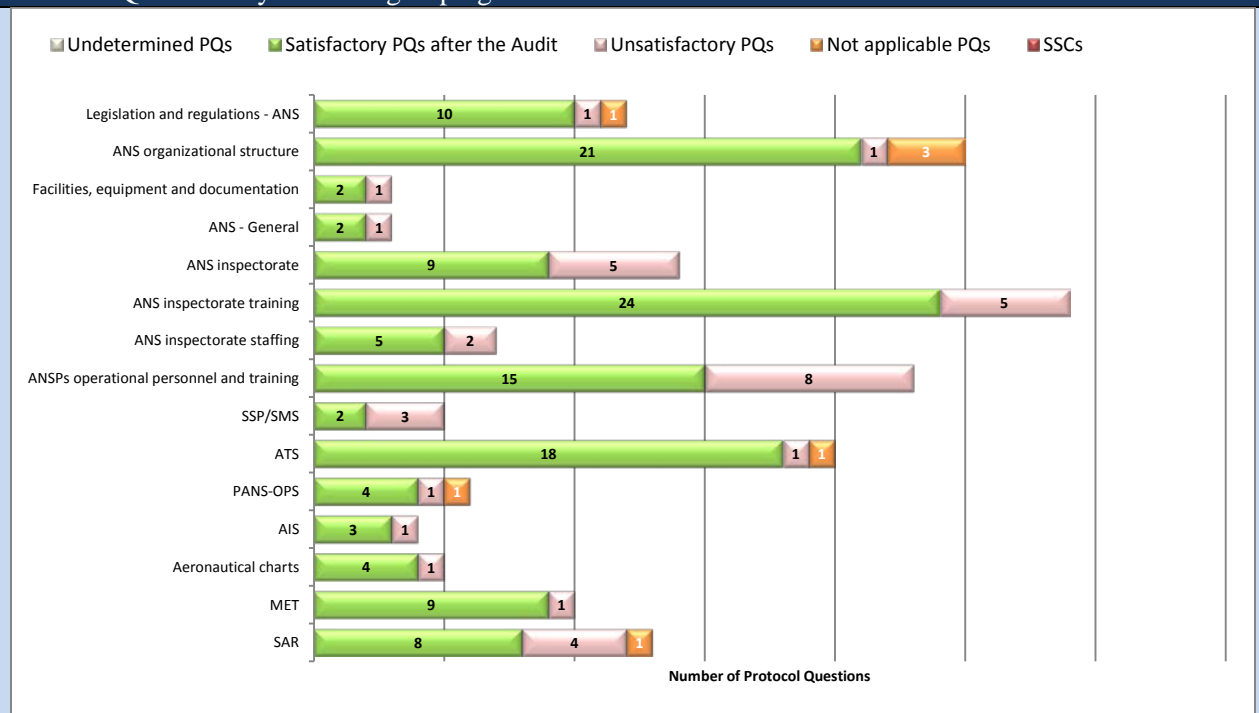


Figure 10. Air Navigation Services (ANS)

Protocol Questions by sub-area groupings



— END —