



**CIVIL AVIATION AUTHORITY
OF SRI LANKA**

**State Safety Programme
Policy and Procedures Manual**

Third Edition -2023

State Safety Programme Policy and Procedures Manual

Control Number: 000



Record of Revision

Rev. No	Rev. Date	Entered by
00-2 nd Edition	18.11.2015	Author
00- 3 rd Edition	10.02.2023	Mgr/ASM

Rev. No:	Rev Date	Entered by



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History of Revision

Revision Number	Source	Areas subjected to Change	Effective Date
00	Civil Aviation Act No 14 of 2010; Safety Management Regulations No 1 of 2018; ICAO – Annex 19- Safety Management and; ICAO Doc 9859 – Safety Management Manual – 4 th Edition. Evaluation of SSP Manual under EU-SA APP project	All Sections	10-Feb-23



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Abbreviations

ACs	Advisory Circulars
ADREP	Accident/Incident Data Reporting
AIS	Aeronautical Information Services
ALoSP	Acceptable level of safety performance
ASN	Air Safety Notice
AWS	Airworthiness Section
CAASL	Civil Aviation Authority of Sri Lanka
CARs	Civil Aviation Regulations
CEs	Critical Elements
CRATPM	CAASL Regulatory, Administrative and Technical Procedural Manual
DGCA	Director General of Civil Aviation
ECCAIRS	European Coordination Centre for Accident and Incident Reporting Systems
ICAO	International Civil Aviation Organization
IIC	Investigator In Charge
IS	Implementing Standards
MGR/ASM	Manager / Aviation Safety Monitoring
MET	Meteorology
RQMS	Regulatory and Quality Management System
SAR	Search and Rescue
SARPs	Standard and Recommended Practices
SLCAP	Sri Lanka Civil Aviation Procedures
SMS	Safety Management System
SP	Safety Performance
SPI	Safety Performance Indicators
SPT	Safety Performance Targets
SSP	State Safety Programme



Definitions

Accountability. Term accountability is not used when referring to States elsewhere in the ICAO framework

Acceptable level of safety performance (ALoSP). The level of safety performance agreed by State authorities to be achieved for the civil aviation system in a State, as defined in its State safety programme, expressed in terms of safety performance targets and safety performance indicators.

Accountable executive. A single, identifiable person having responsibility for the effective and efficient performance of the service provider's SMS.

Change management. A formal process to manage changes within an organization in a systematic manner, so that changes which may impact identified hazards and risk mitigation strategies are accounted for, before the implementation of such changes.

Defence. Specific mitigating actions, preventive controls or recovery measures put in place to prevent the realization of a hazard or its escalation into an undesirable consequence.

Errors. An action or inaction by an operational person that leads to deviations from organizational or the operational person's intentions or expectations.

Hazard. A condition or an object with the potential to cause or contribute to an aircraft incident or accident.

Incident. An occurrence, other than an accident, associated with the operation of an aircraft which affects or could affect the safety of operation.

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Periodic Review Means that a formal process of review of the subject matter at least once a year by incorporating the activity in the annual work programme and monitoring the performance in the subject area using the respective Performance Indicators

Risks. The potential adverse consequences of a hazard, and are assessed in terms of their severity and likelihood. When risks have been assessed, mitigation is then needed: either to eradicate the hazard, or to reduce the severity or likelihood of the risks.

Risk mitigation. The process of incorporating defenses or preventive controls or recovery measures to lower the severity and/or likelihood of a hazard's projected consequence.

Responsibility. The term responsibility is used to refer States' obligations

Safety. The state in which risks associated with aviation activities, related to, or in direct support of the operation of aircraft, are reduced and controlled to an acceptable level.

Safety Data. A defined set of facts or set of safety values collected from various aviation-related sources, which is used to maintain or improve safety.

Note. — Such safety data is collected from proactive or reactive safety-related activities, including but not limited to:

- a) accident or incident investigations;
- b) safety reporting;
- c) continuing airworthiness reporting;
- d) operational performance monitoring;
- e) Inspections, audits, surveys; or
- f) Safety studies and reviews

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Safety information. Safety data processed, organized or analyzed in a given context so as to make it useful for safety management purposes.

Safety management system (SMS). A systematic approach to managing safety, including the necessary organizational structures, accountability, responsibilities, policies and procedures.

Safety objective. A brief, high-level statement of safety achievement or desired outcome to be accomplished by the State safety programme or service provider's safety management system.

Safety oversight. A function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety-related national laws and regulations.

Safety performance. A State's or service provider's safety achievement as defined by its safety performance targets and safety performance indicators.

Safety performance indicator. A data-based parameter used for monitoring and assessing safety performance.

Safety performance target. The State or service provider's planned or intended target for a safety performance indicator (s) over a given period that aligns with the safety objectives.

State Safety Programme. An integrated set of regulations and activities aimed at improving safety.

Service Providers. A Service Provider appointed under Section 6 of the Civil Aviation Act No 14 of 2010 and includes any licensed entity engaged in the implementation of a SMS.

Safety requirements (initiatives). The steps that need to be taken to achieve the safety performance targets. They include the operational procedures, technology systems and

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programmes to which measures of reliability, availability, performance and/or accuracy can be specified.

Safety risk. The predicted probability and severity of the consequences or outcomes of a hazard.

Surveillance. The State activities through which the State proactively verifies through inspections and audits that aviation licence, certificate, authorization or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State.

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Foreword

Section 116 of the Civil Aviation Act No 14 of 2010, Regulation of Civil Aviation Safety Management No 1 of 2018 and Annex 19 to the Convention on International Civil Aviation (Chicago Convention) include the requirement for Contracting States to establish a State Safety Programme (SSP), in order to achieve an acceptable level of safety in civil aviation. The SSP is a management system for the management of safety by each State. It is an integrated set of regulations and activities aimed at improving safety of the State. This includes specific safety activities that must be performed by the State, together with regulations and directives to support fulfillment of the State's responsibilities concerning safe and efficient delivery of aviation activities in the State. The SSP combined the elements of both prescriptive and performance based approaches to the management of aviation safety and incorporates four key components, namely;

- State Safety Policy, Objectives and Resources;
- State Safety Risk Management;
- State Safety Assurance; and
- State Safety Promotion;

The SSP provides a monitoring and governance framework within which operators and service providers of the State shall establish and maintain a Safety Management System (SMS). The State regulatory authority is responsible, under SSP, for the acceptance and oversight of service providers and operator's SMS.

In Sri Lanka, the Civil Aviation Authority (CAASL) being the State Aviation Safety Regulator is working with the industry stakeholders to embed an SMS culture in the aviation industry. Whilst much of the responsibility for implementing an SMS lies with the industry stakeholders namely the operators and service providers, the CAASL recognizes that it must be subjected to continuous monitoring in order to assess the effectiveness of the system.

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In a broader perspective, the CAASL need to ensure that the system of administering aviation safety remains coordinated and effective in managing both current and emerging risks, while accommodating growth and diversity in the industry. The SSP of Sri Lanka serves this purpose and it has comprehensive and robust system with highly regarded safety management and regulatory approaches. Aviation safety framework involves interaction among the aviation industry and other stakeholders, all operating in the wider context of Sri Lanka's commitments to ICAO's global focus on safe, regular, efficient and environmentally sustainable aviation system.

This edition contains all requirements in the latest edition of Annex-19.

Every employee of the CAASL who are involved in safety related activities shall be familiar with and be guided by the content hereof. The service providers and operators functioning under the SSP umbrella of the State may use this document for reference and guidance, where necessary and applicable.

P.A. Jayakantha
Director General of Civil Aviation &
Chief Executive Officer

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1 Part I –General

1.1 Purpose

Section 116 of the Civil Aviation Act No 14 of 2010, requires establishment of State Safety Programme (SSP) in Sri Lanka.

Regulation 2 of the Civil Aviation Safety Management Regulations No. 01 of 2018 which effective on 05th April 2018 states that the Civil Aviation Authority of Sri Lanka shall be responsible for the development and maintain of the State Safety Programme in conformity with the Standards and Recommended Practices (SARPs) contained in Annex - 19 “Safety Management” to the Convention and any other relevant guidance material issued by the International Civil Aviation Organization and for its effective implementation.

Chapter 3 of ICAO, Annex 19 and Chapter 01 of Doc 9859 Safety Management Manual stipulates that each State shall establish an SSP for the management of safety in the State, in order to achieve an acceptable level of safety performance in civil aviation.

In view of the foregoing, the purpose of this document is to demonstrate that

- a. the CAASL complies with;
 - a) the requirements in the Civil Aviation Act No 14 of 2010;
 - b) the Regulations on Civil Aviation Safety Management No. 01 of 2018;
 - c) other operating Regulations issued
 - d) the SARPs of ICAO;
 - e) Aviation Safety Notice and Implementing Standards issued by DGCA
- b. The CAASL has conducted a gap analysis comparing the State’s Safety Programme (SSP) requirements against the existing resources in the State.
- c. The CAASL has developed the State’s Safety Programme (SSP) and its implementation plan will be based on the results of the SSP gap analysis.

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- d. existing regulatory framework, thereby enabling visible linkage between national regulatory planning and an operator's/service provider's SMS;
- e. the integration of the diverse, multidisciplinary safety regulatory activities into a coherent whole, as illustrated in the diagram in **Appendix - B**;
- f. adequate provisions are being made for the safety regulation of the aviation system within the jurisdiction of Sri Lanka and that the State is meeting the requirements of the larger global aviation system;
- g. the regulatory, oversight and enforcement functions are in place;
- h. a risk-based resource allocations approach for all regulatory functions (proactively targeting regulatory attention on known areas of high risk) is adopted;
- i. The CAASL has established performance monitoring for safety regulatory functions (licensing, certification, enforcement, etc.);
- j. acceptable levels of safety for aviation within the Sri Lanka are being set out and achieved, and expressed in terms of Safety Performance Indicators (SPI) and Safety Performance Targets (SPT);
- k. The CAASL has established hazard identification programme through the implementation of:
 - Mandatory Occurrence Reporting System;
 - Voluntary (non-punitive) Incident Reporting System;
 - Service Difficulty Reporting System
- l. CAASL has established active and passive safety promotion programmes to assist operators and to make safety information broadly accessible (including safety database, trend analysis, monitoring of best industry practices, etc.);
- m. CAASL has established national safety monitoring programmes (trend monitoring and analysis, safety inspections, incident investigations and safety surveillance);
- n. Systematic regulatory safety audits are conducted to ensure compliance by all operators and service providers; and
- o. Sri Lanka has a competent and independent accident and incident investigation process.

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- p. CAASL employee shall follow the process and procedures in the implementation of the State Safety Programme.

1.2 Background

- a) Being a signatory to the Convention on International Civil Aviation (the Chicago Convention) Sri Lanka has an obligation to comply with the Standards and Recommended Practices (SARPs) published by the International Civil Aviation Organization (ICAO) in the Annexes to the Convention.
- b) Civil Aviation Act No 14 of 2010 requires establishment of a State Safety Programme (SSP) and this legal requirement is further amplified by the Regulations on Civil Aviation Safety Management No. 01 of 2018.
- c) The CAASL is entrusted with the responsibility for safety regulation of all aspects of civil aviation, including the licensing of personnel and the certification of aircraft, airlines, airports, maintenance, repair and overhaul organizations, aircraft design and manufacture organizations, training organizations and air navigation service providers.
- d) The CAASL is responsible for regulatory oversight of aviation activities within Sri Lanka and of aircraft on its register wherever they may be.
- e) The CAASL has the responsibility for ensuring that the CAASL financial and human resources are sufficient for establishment and maintenance of the SSP effectively.

1.3 State's Safety Programme Gap Analysis

- a) The CAASL is responsible for the implementation of a safety programme in order to achieve an acceptable level of safety for the activities performed by the service providers. The State Safety Programme (SSP) is an integrated set of regulations and activities aimed at improving safety.
- b) The implementation of an SSP requires the CAASL to conduct an analysis of its safety system to determine which components and elements of an SSP are currently in place and which components and elements must be added or modified to meet the implementation requirements. This analysis is known as the gap analysis, and it involves comparing the SSP requirements against the existing resources in the CAASL.

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- c) The result of the SSP gap analysis provides information to assist in the evaluation of the components and elements that comprise the ICAO SSP framework and to identify the components and elements that need to be developed. The completed gap analysis will form one basis of the SSP implementation plan.

1.4 State Safety Programme Implementation Plan

- a) The CAASL has an SSP Implementation Plan (SSPIP). The SSPIP will serve as a guide, how the SSP will be developed and integrated into the State safety management activities.
- b) The SSPIP should clearly establish the activities (elements/processes) that will be developed or completed under the respective assigned milestones or phases. These activities are based on the outcomes of the gap analysis.
- c) The SSPIP should determine a realistic time line, including milestones, for accomplishing each activity or phase.
- d) Depending on the complexity of the State's SSP, an SSPIP shall be compiled.

1.5 Document Control

- a) The copy of the SSP Policy and Procedures Manual will be made available to all regulatory staff having safety oversight responsibilities by the Civil Aviation Authority of Sri Lanka.
- b) The changes to this document will be achieved by a controlled amendment service in conformity with the CAASL Manual Standards SLCAP 5300.
- c) It is the function and responsibility of the Manager (Aviation Safety Monitoring) to review the document at regular intervals (preferably once every year), under the direction of the Director General of Civil Aviation (DGCA) to ensure the relevance and currency of all Legislation, Regulations, CAASL Requirements and Advisory Circulars etc.
- d) The appendices contain in this document is subject for frequent review and update, based on the needs of the SSP requirements as well as the changes in the industry. Such revision will be circulated among the recipients of the SSP as and when the document is revised.

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1.6 Distribution of the SSP Policy and Procedures Manual (SSPPPM)

- a) The number of copies of this SSP document produced for use by officials will be controlled through a Controlled Number and a distribution system maintained by the Officer-in-Charge, Technical Library in the CAASL.
- b) One printed copy of the manual has been designated as the “Master Copy” which will be retained with the Director General of Civil Aviation.
- c) Selected users are provided with a printed copy of the SSP document while others are given an electronic copy.
- d) List of recipients of the SSPPPM is given in [Appendix C](#).

1.7 SSP Documentation

- a) Manager (Documents and Web Management) of the CAASL will be responsible for establishment and maintenance of a complete documentation system relating to SSP of Sri Lanka including the updating of the SSPPPM.
- b) The duties of Manager (Documents and Web Management) involves but not limited to appropriate storage, archiving, protection and retrieval of all documents relating to SSP activities including periodic review, updating and dissemination of SSP Policy and Procedures Manual.
- c) As the components and elements of the SSP are progressively being defined, each element’s description and their related processes will be periodically revised in the SSP Policy and Procedures Manual.
- d) SSP documentation system (library/ cabinet/ folder) will include related SOPs, forms, minutes of meetings, records, etc. associated with the implementation and continuous operation of the SSP. These documents will serve as records and evidence of the actual activities and continuing operation of the individual elements of the SSP.
- e) It is possible that some records such as confidential reports, occurrence reports, etc. may be maintained in a separate computer system or reside in another regulatory or administrative organization. For such, samples or extracts may be maintained in the library as appropriate.

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- f) An SSP documentation master index will be developed to help account for all relevant documentation. As with any other system, a consolidated documentation system will facilitate easy traceability, updating, referencing and internal/ external auditing of the system.

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2 Part II – State Safety Programme – Policy, Objectives and Resources

Sri Lanka became a member of the International Civil Aviation Organization in June 1948 by giving accession to the Convention on International Civil Aviation. Accordingly Sri Lanka has an obligation to regulate civil aviation activities coming under its jurisdiction in conformity with the Standards and Recommended Practices adopted by the International Civil Aviation Organization (ICAO).

2.1 Safety Responsibilities and Accountabilities of Sri Lanka

- a) The purpose of the Civil Aviation Act No.14 of 2010 is to make provision;
 - for the regulation, control of matters related civil aviation,
 - to give effect to the Convention on International Civil Aviation and for matters connected therewith and incidental thereto.
- b) Section 2 of the aforementioned Act stipulates that the Articles of the Convention relating to safety, regularity, efficiency and security of civil aviation as are specified in the Scheduled to the Act, shall govern all activities relating to civil aviation within the territory of Sri Lanka.
- c) Section 4(c) of the aforementioned Act make provision for the Minister to promulgate regulations for the implementation of the provisions of the Act and for the fulfilment of international obligations of Sri Lanka in respect of the SARPS.
- d) Pursuant to Section 116 of the Civil Aviation Act No. 14 of 2010, the Civil Aviation Authority of Sri Lanka is responsible for the establishment of State Safety Programme with a view to integrating diverse and multi-disciplinary aviation activities conducted in terms of the Act or any rules or regulations made thereunder into a coherent program, setting out safety indicators, safety targets to be maintained to achieve an acceptable level of safety, as may be determined by the Authority.
- e) The aforesaid requirement is further amplified by Regulation 2(1) of the Civil Aviation Safety Management Regulations No. 01 of 2018, by holding Civil Aviation Authority of Sri Lanka to be responsible for the development of the State Civil Aviation Safety Programme of Sri Lanka in conformity with the Standards and Recommended Practices contained in Annex - 19

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“Safety Management” to the Convention and any other relevant guidance materials issued by the International Civil Aviation Organization and for its effective implementation.

2.2 Aviation Safety Legislative Framework of Sri Lanka

Sri Lanka has promulgated a national legislative framework and specific regulations to ensure compliance with international and national standards¹, and that define how the Civil Aviation Authority of Sri Lanka (CAASL) will oversee the management of safety in the State. This includes CAASL’s participation in specific activities related to the management of safety in the State, and the establishment of the roles, responsibilities, and relationships of organizations in the system. The safety standards are periodically reviewed to ensure they remain relevant and appropriate to Sri Lanka.

2.2.1 Objectives and Criteria

- a) The regulatory framework meets the following objectives or criteria:
 - Ensuring that the safety regulatory regime of Sri Lanka meets the International Standards adapted by International Civil Aviation Organization (ICAO), eight (08) Critical Elements (CEs) of a safety oversight system (see Appendix – D).
 - Effective implementation of the abovementioned CE demonstrates that CAASL is ‘fit for purpose’ safety regulatory body.

2.2.2 Components of Regulatory Framework

Safety Oversight Regulatory Framework in Sri Lanka comprises three (3) tiers as below;

The primary aviation legislation:

- a. Air Navigation Act No. 15 of 1950
- b. Civil Aviation Authority of Sri Lanka Act No. 34 of 2002
- c. Civil Aviation Act No. 14 of 2010,

¹ International standards – Standards and Recommended Practices (SARPs) stipulate in the 19 ICAO annexes
National standards – National Legislation (Civil Aviation Act No 10 of 2010), Air Navigation Regulations, Civil Aviation Regulations, Implementing Standards (IS) and Aviation Safety Notices

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The secondary legislation:

- a. Air Navigation Regulations of 1955
- b. Civil Aviation Regulations (CARs);
- c. Orders issued by Minister;
- d. Orders and Rules issued by CAASL;
- e. Implementing Standards (ISs); and
- f. Aviation Safety Notices; (ASNs)
- g. Directives and Directions
- h. Approved Manuals of the Service Providers/Operators

CAASL Requirements

These includes CAASL's Acceptable Means of Compliance contained in its guidance material:

- a. Advisory Circulars (ACs);
- b. Guidance material adopted by reference
- c. Explanatory Material;
- d. SLCAP Procedures Manuals;
- e. Inspector Handbooks;
- f. Checklists;
- g. Job Guides;
- h. Service Providers'/Operators' Manuals accepted by CAASL

2.2.3 Principles of the Regulatory Framework

The Regulatory Framework of Sri Lanka;

- a) enables the fulfillment of the obligations of Sri Lanka under the Chicago Convention within the State. More detailed information about the legal framework can be accessed through *CAASL Website: www.caa.lk*;
- b) provides consistency and compliance with the nineteen (19) Annexes to the Convention wherever practicable;
- c) gives effect to, or enables, the application of CAASL Requirements;

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- d) ensures that the Civil Aviation Regulations provides a sound legal framework for the adoption of CAASL Requirements in a modern, cohesive package of Requirements;
- e) suits the level of aviation activity in Sri Lanka;
- f) compliance are compulsory in respect of items mentioned under (a) and (b) of paragraph 2.2.4 below and deviation from a requirement thereof, needs special approval under Regulations on grant of exemptions from the specified requirements relating to Civil Aviation No. 01 of 2014;
- g) provides for alternative / acceptable means of compliance in respect of item (C) if it provides equal or better protection.
- h) provides for development of CAASL Requirements, wherever possible, a stand-alone system of regulation that largely eliminates the need for constant cross-reference to the CARs or the ICAO Annexes.
- i) facilitate development of CAASL Requirements in a simplified and easy to understand language to the extent that it is practicable.
- j) use ICAO definitions, abbreviations and terminology wherever possible.

2.2.4 Civil Aviation Act

- a) The Civil Aviation Act No. 14 of 2010, Air Navigation Act 15 of 1950 and Civil Aviation Authority of Sri Lanka Act No. 34 of 2002 are the primary legislation that provides the authority to implement other statutory instruments in the area of civil aviation within Sri Lanka.
- b) Section 120 of the Civil Aviation Act No. 14 of 2010, makes provision for the DGCA to issue Implementing Standards to give effect to any of the provisions in the Act or Schedule thereto.

2.2.5 Civil Aviation Regulations / Air Navigation Regulations

- a) The Civil Aviation Regulations (CARs) and Air Navigation Regulations (ANR) form part of secondary (i.e. subordinate) legislation.

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- b) The Minister in charge of the subject of Civil Aviation is responsible for promulgation of the Regulations under the Act, and Regulations so made by the Minister shall be presented in Parliament at the earliest possible occasion for approval.
- c) DGCA has the authority to publish Implementing Standards under the Section 120 of the Civil Aviation Act No 14. of 2010 to give effect to the CAR/ANR.

2.2.6 Implementing Standards

- a) Director General has the power under Section 120 of the Civil Aviation Act No.14 of 2010 to issue whenever he considers it necessary or appropriate to do so, such implementing standards for the purpose of giving effect to any of the provisions of this Act, including the Articles of the Convention specified in the Schedule to the Act or any regulations or rules made thereunder.
- b) It shall be the duty of all persons in respect of whom any implementing standards are issued under subsection (1) of Section 120 of CA Act, to comply with the same.

2.2.7 CAASL Requirements

- a) CAASL Requirements do not themselves constitute legislation or regulations: they are the means by which compliance with the legislation may be demonstrated. They are also the means by which the DGCA can be satisfied as to the basis for the issue or maintenance of a licence, certificate or approval.
- b) The items stated under paragraph 2.2.2 (3) forms part of CAASL Requirements.
- c) The basic philosophy underlying CAASL Requirements is to have a package of requirements that forms a means of compliance with the ICAO SARPs that is consistent with the legislation in force.
- d) DGCA is required to produce the means of compliance to enable the respective Civil Aviation staff to be satisfied that applicants for, or holders of licences, certificates and approvals meet the respective legal obligations.
- e) CAASL Requirements set out, for the benefit of those regulated:
 - I. the requirements for obtaining and holding a licence, certificate, authority or approval;

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- II. the way in which the rights and privileges of licences, certificates, authorities or approvals are exercised;
 - III. the way obligations which come with the privileges are to be discharged; and
 - IV. general instructions regarding the operation and authorized personnel, equipment, facilities, services or procedures
- f) The criteria to be applied in relation to CAASL Requirements are that:
- I. Penalties or sanctions for failure to comply with any obligation imposed upon a person or organization must be contained in Civil Aviation Legal Framework, if it is to be enforceable.
 - II. CAASL Requirements employ common terms or expressions used by ICAO in making the SARPs and adopted by most of the countries around the world.

2.2.8 CAASL Advisory Circulars

Whereas the CAASL Requirements are intended to provide a comprehensive suite of requirements, there is also a need to promulgate additional information which is not appropriate for inclusion in the CAASL Requirements themselves. Such information and guidance is included in CAASL Advisory Circulars (ACs). CAASL ACs cover the following topics:

- a) Practical, detailed guidance on meeting the requirements in CAASL Requirements.
- b) Information of a temporary nature.
- c) Administrative material.
- d) Information published in advance of a formal amendment to CAASL Requirements.
- e) Where this is a State responsibility, the means of ensuring that aspects of the State civil aviation system comply with ICAO SARPs, e.g. MET and SAR.

2.2.9 Policies and Procedures

Policy for the State on high-level or controversial issues is generally set through discussion and decision at the Meeting of CAASL Board (to which DGCA, may refer topics). The resulting Policy Statements (having been subjected to consultation and approval by the concerned Minister) are placed on CAASL website and published in CAASL Regulatory, Administrative and Technical Procedural Manuals. Policy Statements are used to drive the development of requirements set out in the CARs and CAASL Requirements.

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Procedures of a regulatory and administrative nature which are to be used by CAASL are available to CAASL staff in the intranet segment of CAASL website. The CAASL is in the process of implementing a Regulatory and Quality Management System (RQMS) which will combine regulatory and quality management policies and processes.

Technical Procedures, Checklist and Job Guides assist objective regulation by providing CAASL inspector staff with essential information and protocols. As CAASL Requirements have been designed to suit the needs of aviation activity within the State, the guidance for inspectors has to be consistent with those requirements. Technical procedures provide the mechanism for CAASL inspectors to make an objective assessment of compliance whilst maintaining the safety objectives of the CAASL Requirements.

2.2.10 Consultations

- a) All amendments to the CARs and each new CAASL Requirement will be the subject of a full consultation exercise.
- b) CAASL Requirement amendments are subject to consultation unless minor in nature.
- c) The consultative material is placed on the CAASL website for comment usually for a period of at least 12 weeks.
- d) A Comments Log showing all comments and CAASL's responses is posted on the CAASL website following the consultation period. The following will be consulted:
 - the concerned Ministry;
 - the concerned Department; and
 - the aviation industry;

Additionally, it is open to any person reading the consultation on the website to comment. Civil Aviation Regulatory System updates including the CAASL Requirements will be taken up for industry consultations at the Sri Lanka National Aviation Safety Teams (SLNAST), which will meet bi annually and as deemed required.

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2.2.11 Monitoring and Review of the State's Regulatory Framework

1. Oversight of the regulatory framework:
 - a. The regulatory framework is monitored continuously by CAASL in the course of its usual regulatory business.
 - b. A full, formal review of the framework will be undertaken in accordance with CAASL current Corporate Plan which is applicable for a sliding window of three (03) years. The Corporate Plan can be viewed and downloaded from CAASL website www.caa.lk ;
2. Maintenance of the regulatory framework:
 - a. The DGCA is responsible for the administration necessary to maintain the regulatory framework.
 - b. CAASL will ensure the presence of suitable procedures and that it is adequately resourced (staffed, funded etc), for the longer term, to fulfill this task.
 - c. CAASL Corporate Plan describes this commitment in detail.

2.2.12 Offences

The Civil Aviation Act No. 14 of 2010 makes provisions for offences and accordingly any person who:—

- a) contravenes or fails to comply with any provision of the CA Act or any regulation or rule made thereunder;
- b) fails to comply with any implementing standard, direction, directive, procedure or instruction issued under any provisions of this Act or any regulations or rules made thereunder; or
- c) obstructs or impedes any person in the exercise of his powers or duties under the Act or under any regulation, order, rule, standard or procedure,
- d) is guilty of an offence under the Act and on conviction be liable to a fine not exceeding the equivalent in Sri Lanka Rupees of twenty-five thousand SDR or to imprisonment for a term not exceeding two years or to both such fine and imprisonment.

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2.3 Civil Aviation Authority of Sri Lanka (CAASL)

2.3.1 Establishment

The Civil Aviation Authority of Sri Lanka has been established in terms of the Civil Aviation Authority of Sri Lanka Act No.34 of 2002.

CAASL consist of the following members:—

- a) The Secretary to the Ministry of the Minister in charge of the subject of Defence;
- b) A representative of the Ministry of the Minister in charge of the subject of Finance, nominated by that Minister;
- c) Five persons appointed by the Minister of whom not less than two shall have considerable experience or knowledge in the field of civil aviation; and Director-General.

The Minister appoints one of the members of the Authority, to be its Chairman and one other member to be its Vice-Chairman.

2.3.2 General Powers, functions and duties of the CAASL

Section 7 of the Civil Aviation Authority of Sri Lanka Act No. 34 of 2002 stipulates the Powers, functions and duties of the CAAS which include but not limited to the following.

- a) provide the strategic direction for the development of civil aviation and coordinate the activities of all parties involved;
- b) develop and promulgate or adopt by reference as appropriate, clear and concise aviation safety requirements and practices and procedures,
- c) implement effective enforcement strategies to secure compliance by all persons of the Standards and such aviation safety requirements and practices and procedures;
- d) encourage, through comprehensive and timely aviation safety advice and by fostering an awareness within the aviation community of the importance of aviation safety, a greater degree of acceptance by the aviation community of its obligation to maintain high standards of aviation safety ;
- e) provide aviation safety education and training for persons involved in civil aviation activities;
- f) issue certificates, licences, permits and any other legal authority or document required to be issued by or under the provisions of this Act or any other written law ;

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- g) initiate investigations on aircraft accidents and any other related incidents and arrange for the establishment and provision of search and rescue operations ; conduct inquiries with regard to any flight safety hazards and take remedial action;
- h) investigate, examine and report on the operation and development of, commercial air services to and from Sri Lanka and promote the development of air transport generally for the benefit of the public, and for this purpose establish and provide facilities and services for the collection, analysis, publication and dissemination of information relating to air transportation;
- i) provide information relating to air navigation and air transport by means of publications issued by the Authority or by any other means, publish aeronautical maps and charts ; establish air routes and ensure proper provision of the aeronautical information service and the aeronautical telecommunication service;
- j) establish, with the approval of the Minister, specific programs for civil aviation in Sri Lanka for the implementation of Standards in matters of facilitation, aviation security, environmental protection, carriage of dangerous goods and any other related field where global harmonization is desirable;
- k) co-ordinate, with the International Civil Aviation Organization in the implementation by Sri Lanka of the Standards and the registration of agreements and arrangements, promote Sri Lanka's participation at regional and global aviation organizations and represent or cause to represent Sri Lanka internationally in matters relating to civil aviation with the approval of the Minister

2.3.3 Specific Tasks assigned to the CAASL

Pursuant to Civil Aviation Act No.14 of 2010, the CAASL is specifically responsible for;

- 1. issue/suspend/revoke of licences to Service Providers engaged in,
 - a) the provision of services relating to the supply of aviation fuel and lubricant to aircraft;
 - b) the provision of assistance or equipment for dispatch of aircraft on the apron, including aircraft cleaning services;

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- c) the provision of ground handling facilities or services to aircraft;
 - d) the provision of catering services to aircraft; and
 - e) the supply of any other service to an aircraft, other than the services specified above.
2. Grant of approval for Airport Master Plans
 3. Formulation of National Civil Aviation Security Programme
 4. Formulation of National Safety Plan
 5. Implementation of State Safety Programme
 6. Conduct of aircraft accidents or incidents investigations

2.3.4 Role of CAASL in SSP

In the implementation of the SSP, CAASL will

- a) represent a well-balanced allocation of responsibility between the State and the operator or service provider for safety;
- b) be capable of economic justification within the resources of CAASL;
- c) enable CAASL to maintain continuing regulation and supervision of the activities of the operator or service provider without unduly inhibiting their effective direction and control of the organization; and
- d) result in the cultivation and maintenance of harmonious relationships between CAASL and the operators and service providers.
- e) Maintain safety oversight mechanisms through the initial certification of personnel and organizations engaged in provision of civil aviation activities and post certification surveillance programme to ensure that the certified personnel and organizations maintain an acceptable level of safety in their operations.
- f) take measures to constantly review the existing mechanism vis-à-vis the Eight Critical Elements advocated by ICAO in order to strengthen and maintain an effective oversight system.

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2.3.5 Organization and Service Delivery

CAASL is guided by:

- b) a clear statement of its vision and mission regarding safety (refer to a CAASL Safety Policy in **Appendix – F**);
- c) a well understood and accepted set of:
 - I. operating principles, such as delivering safe and efficient service consistent with public expectations and at reasonable cost; treating clients and employees with respect, etc.;
 - II. corporate values such as competence, openness, fairness, integrity, respect, responsiveness to client needs, etc.;
 - III. a statement of CAASL's safety objectives; for example, reduce the probability and consequences of unsafe aviation occurrences, improve understanding throughout the aviation industry and general public of the State's actual safety performance; and
 - IV. strategies for fulfilling the objectives; for example, reduction of safety risks to aviation through the identification of those operations that fall below accepted levels, encouraging their return to an acceptable level of safety or, if necessary, rescinding their certification.
- d) CAASL Organizational Structure is given in **Appendix – G** which shows all safety regulatory functions of CAASL.
- e) CAASL, on the recommendation of the DGCA/CEO will allocate necessary financial and human resources for the effective implementation of the SSP in Sri Lanka.

2.4 Director General of Civil Aviation (DGCA)

2.4.1 Appointment of DGCA

- a) The Cabinet of Ministers on the recommendation of the Minister, appoints a fit and proper person preferably with experience or knowledge in civil aviation to be the Director-General of Civil Aviation
- b) DGCA carries on all such duties and functions assigned to him by under the Civil Aviation Act or any other written law and is charged with the general administration of the functions of the Authority

2.4.2 Specific Duties Assigned to DGCA

Pursuant to Civil Aviation Act No.14 of 2010, the DGCA is specifically responsible for

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1. issue/suspend/revoke of licences to Service Providers engaged in
 - a. the development, operation and maintenance of Aerodromes classified as an International Aerodrome, under subsection (1) of Section 13;
 - b. the development, operation and maintenance of Aerodromes other than those referred to in paragraph (a) and the provision of Aerodrome facilities at such Aerodromes;
 - c. the provision and maintenance of search, rescue and fire fighting services at Aerodromes;
 - d. the provision and maintenance of an Aviation Security Service;
 - e. the provision of Air Traffic Services ;
 - f. the provision of Aeronautical Information Services;
 - g. the provision of Aeronautical Communication Services;
 - h. the provision of aeronautical aids for communication, navigation or surveillance;
- a. Registration/De-Registration of aircraft
- b. Issue/Renew Airworthiness Certificate for aircraft
- c. Issue/renew/validate/alter/suspend/cancel relevant licences / certificates/approval/ authorizations to personnel engaged in safety sensitive activities
- d. Issue/renew/validate/alter/suspend/cancel of Air Operator Certificate to airlines
- e. Issue/renew/validate/alter/suspend/cancel of Foreign Air Operator Certificate to foreign airlines
- f. Issue/renew/validate/alter/suspend/cancel of licences of aviation training organizations/devices in safety sensitive activities
- g. Issue/renew/validate/alter/suspend/cancel of Certificates issued to Maintenance, Repair and Overhaul organization
- h. Establishing and implementing the rules, regulations and procedures for safe and efficient aviation Personnel on the following areas:
 - (i) Knowledge requirements
 - (ii) Skill requirements

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- (iii) Training and Checking devices
- (iv) Medical requirements
- (v) Language Proficiency Checks
- i. Procedures for obtaining and renewing:
 - (i) Operating Certificates;
 - (ii) Airworthiness Certificates;
 - (iii) Aircraft Registration;
 - (iv) Aeronautical Services Provider Certificates;
 - (v) Training Organizations Certificates;
 - (vi) Repair and Maintenance Organizations Certificates;
 - (vii) Aerodrome Certificates, etc.;
- j. Implementing a system for safety oversight of the entire civil aviation system by surveillance, inspections and safety audits, etc;
- k. Carrying out enforcement actions as necessary and maintenance of Enforcement Registry;
- l. Monitoring technological developments and best industry practices with a view to improving the State's aviation system performance;
- m. Maintaining a system of aviation records, including licenses and certificates, infractions, reported accidents and incidents, etc.
- n. Conducting analyses of safety trends, including accident/incident data, service difficulty reports, etc.; and
- o. Promoting safety through the dissemination of specific safety materials, conducting safety seminars, etc.

2.4.3 SSP Place Holder Organization

- a) In view of the foregoing, for the purposes stated in the ICAO Safety Management Manual, the Civil Aviation Authority of Sri Lanka is identified to be the SSP Place Holder Organization which is empowered for setting responsibilities and accountabilities regarding the establishment and maintenance of the State's Safety Programme (SSP).

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- b) Responsibilities of CAASL as the SSP Place Holder Organization includes issue of the directives to plan, organize, develop, control and continuously improve the State's safety programme in a manner that meets the State's safety needs.
- c) CAASL is also responsible for the provision of the necessary human and financial resources for the effective implementation of the State's Safety Programme.

2.4.4 SSP Accountable Executive

Director General of Civil Aviation and Chief Executive Officer is the accountable executive responsible for the implementation of the SSP of the State.

Being the SSP Accountable Executive, DGCA is accountable for

- a) ensuring that CAASL financial and human resources are sufficient for implementation, establishment and maintenance of SSP.
- b) the initiation and coordination of activities across the external agencies and the internal SSP Implementation team

2.4.5 SSP Implementation Team

For the effective implementation of SSP in Sri Lanka, SSP Implementation Team has been appointed comprising of the following officials. The SSP Implementation meeting will meet twice a year.

- a) DGCA/CEO
- b) Additional Director General
- c) Deputy Director General (Flight Safety Regulation)
- d) Deputy Director General (Aeronautical Services Regulation)
- e) Director (Aerodromes)
- f) Director (Air Navigation Services)
- g) Director (Training Organization and Personnel Licensing)
- h) Director (Aircraft Operations)
- i) Director (Airworthiness)
- j) Director (Quality and Internal Audit)

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- k) Senior Civil Aviation Inspector (Aviation Medicine)
- l) Manager (Documents and Web management)
- m) Manager (Legal Affairs & Enforcement)
- n) Manager (Aviation Safety Monitoring)

Responsibilities of the CAA officials serving in the SSP Implementation Team includes but not limited to the following.

- a) Ensuring constant updating of Compliance Checklist relating to SARPS
- b) Review and monitoring of SMS of the operators coming under their purview.
- c) Periodic review of SPI, SPT, Safety Requirements and launch of required safety actions for effective implementation of SSP.
- d) Periodic review of ALoSP coming under their purview and making recommendations for adjustments.
- e) Timely discharge incumbent upon the CAA/DGCA under SSP in relation to matters coming under their sphere of action.

2.4.6 Responsibilities of the Meteorology Department

- a) Department of Meteorology is Sri Lanka's Aeronautical, Ocean, Hydro, Agricultural, Climatology and Astronomy Meteorological service provider to government agencies, private sector and the general public in keeping with national interest and international standards.
- b) Airport and Aviation Services (Sri Lanka) Limited is the appointed Statutory Service Provider to provide Air Traffic Service, under the Civil Aviation Act as published in the Gazette No. 1727/12 dated 13 October 2011.
- c) Section 2.21, Implementing Standard 025 issued on 05th January 2017 (2nd edition) specifies that providing of meteorological conditions to aircraft is the responsibility of AASL as the Air Traffic Service Provider and such services shall be obtained from a reputed organization acceptable to CAASL.
- d) The AASL shall have its own service agreements with those parties that it obtain aeronautical meteorological services.

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2.4.7 Responsibilities of the Attorney General's Department

- a) The Attorney General is the Chief Legal Advisor to the Government. In that capacity he advises the Government, Government Departments, Statutory Boards and Public Corporations in respect of all legal matters.
- b) Attorney General conducts prosecutions in criminal cases and appears on behalf of the Government, Government Departments, Statutory Boards and Public Corporations in any Court or Tribunal.
- c) Pursuant to Section 107 of the Civil Aviation Act No.14 of 2010, all offences under the Act shall be cognizable offences for the purpose of the application of the provisions of the Code of Criminal Procedure Act, No. 15 of 1979 and no Court shall take cognizance of any offence under the Act or any regulation or rule made thereunder, except with the sanction of the Attorney- General.
- d) Therefore the involvement of an officer to represent the AG is identified, vital in the development process of Sri Lanka's SSP. The following are identified as the responsibilities of the Hon. AG in the SSP;
 - Grant of consent to pursue a law suit in respect of breach of safety provisions
 - Representing Civil Aviation Authority in any Court or Tribunal
 - Providing legal advice in legal matters involving safety oversight matters

2.4.8 Responsibilities of Sri Lanka Air Force

- a) Sri Lanka Air Force is at present in control of domestic airports except Ratmalana and Batticaloa.
- b) Sri Lanka Air Force also issues Air Defence Clearance Number to each aircraft entering, departing and operating within Sri Lanka airspace.
- c) Sri Lanka Air Force also involves in Search and Rescue Operations and also intercept any intruder aircraft into Sri Lanka airspace.
- d) In view of (A), (B) and (C), Sri Lanka Air Force needs to get involved in the effective implementation of SSP- Sri Lanka.

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2.5 State Safety Policy and Objectives

2.5.1 Safety Policy

CAASL promotes and regulates the safety of aviation in Sri Lanka and for this purpose CAASL will be committed to developing and implementing effective strategies, regulatory frameworks and processes to ensure that aviation activities under its oversight achieve the highest practicable level of safety. (Safety Policy is given in [Appendix F](#)).

To this end the CAASL will:

- a) set national standards that are in line with the Standards, Recommended Practices and Procedures of the International Civil Aviation Organization;
- b) adopt a data-driven and performance-based approach to safety regulation and industry oversight activities where appropriate;
- c) identify safety trends within the aviation industry and adopt a risk-based approach to address areas of greater safety concern or need;
- d) monitor and measure the safety performance of our aviation system continuously through the State's aggregate safety indicators as well as service providers' safety performance indicators;
- e) collaborate and consult with the aviation industry to address safety matters and continuously enhance aviation safety;
- f) promote good safety practices and a positive organization safety culture within the industry based on sound safety management principles;
- g) encourage safety information collection, analysis and exchange amongst all relevant industry
- h) organizations and service providers, with the intent that such information is to be used for safety management purposes only;
- i) allocate sufficient financial and human resources for safety management and oversight; and
- j) equip staff with the proper skills and expertise to discharge their safety oversight and management responsibilities competently.

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2.5.2 Policy Review

The CAA will review its safety policy at least once in two years taking into account the safety performance of the industry, current and emerging safety issues including global, and regional safety enhancement initiatives or following a major incident or accident whichever comes first.

2.5.3 Policy communication

Every employee of the CAASL will be educated on the CAA Safety Policy and Enforcement Policy on joining CAASL, through the indoctrination programme.

2.6 SSP Coordination Committee (SSPCC)

- a) For the purpose of effective coordination of matters coming under the purview of State Organizations involving SSP implementation and subsequent SSP continuous monitoring, an inter-State agency SSP Coordination Committee meetings will be held as and when required under the chairmanship of the Secretary, Ministry in charge of the subject of civil aviation and with the participation of senior management of the various organizations, with the SSP accountable executive as the coordinator.
- b) SSPCC's function is to coordinate the implementation and subsequent administration of the SSP amongst the various State aviation regulatory and administrative organizations.
- c) Coordination process will ensure that the development, periodic review and decision and policy making pertaining to SSP activities, such as safety policy, safety indicators, enforcement policy, safety data protection and sharing, SMS regulatory requirements, and internal SSP review and findings, are carried out in an integrated and coordinated manner.

2.7 Accident and Incident Investigation

- a) Pursuant to the Section 56 of Civil Aviation Act no 14 of 2010, the Civil Aviation Authority may appoint an Aircraft Accident Investigation Board with regard to each aircraft accident and incident. This Board consist with number of persons as determined by the Authority, one

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of whom shall act as its Chief Investigator. The Authority shall not appoint as a member of any Board, a member of the staff of the Authority or any person who has any connection with the accident or incident which such Board is required to investigate.

- b) Thereby, the Civil Aviation Authority has established an independent process for accident and incident investigation, with the sole objective of supporting the management of safety in Sri Lanka and not the apportioning of blame on liability.
- c) The investigation of accidents and incidents is subject to separate regulations cited as “Aircraft Accident and Incident Investigation Regulations of Sri Lanka, effective from 19th January 2012” which are separate set of CARs.
- d) The Civil Aviation Authority appoints an Aircraft Accident Investigation Board (AAIB) for the conduct of the Investigation into each accident and incident. Hence, AAIB is not a permanent body. Accident Investigation process should be independent from the regulator.

2.8 Enforcement Policy

- a) The Civil Aviation Authority has promulgated an enforcement policy (Refer Appendix I for the Enforcement Policy) in accordance with the ICAO Annex19 - Appendix 3, which allows service providers to deal with, and resolve, events involving safety deviations internally, within the context of the service provider safety management system (SMS) to the satisfaction of the authority.
- b) The enforcement policy includes provisions for CAASL to deal with events involving gross negligence and willful misconduct/deviations and contraventions of Civil Aviation Acts and Regulations, Rules, Implementing Standards and Directives.
- c) The CARs confers on the DGCA the power of enforcement and this power may be delegated to the CAASL officials, as appropriate.
- d) Breach of the CARs is an offence carrying a maximum penalty which depends on the nature and circumstances of the breach.

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- e) Although the CAASL Requirements do not themselves constitute legislation or regulations, they are the means by which the CAASL can be satisfied as to the basis for the issue or maintenance of a licence, certificate or approval. Therefore, non-compliance with the CAASL Requirements may result in the CAASL revoking a licence, certificate or approval, refusing to grant a licence, certificate or approval or granting a licence, certificate or approval with conditions.
- f) The revised CAASL enforcement policy allows:
- (i) Operators/service providers to deal with, and resolve, events involving safety deviations internally, within the context of the service provider safety management system (SMS), to the satisfaction of the CAASL;
 - (ii) The CAASL to deal with events involving gross negligence and willful deviations through established enforcement mechanism;
 - (iii) Prevention of use or disclosure of safety data for purposes other than safety improvement;
 - (iv) Protection of sources of information obtained from voluntary incident reporting systems.
 - (v) When an investigation under Annex 13 has been instituted, accident and incident investigation records listed in 5.12 of Annex 13 shall be subject to the protections pursuant to the Section 61 of Civil aviation Act No 14 of 2010.

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3 Part III - State's Safety Risk Management

3.1 Safety Requirements for Service Providers SMS

- a) The Regulations on Civil Aviation Safety Management No. 01 of 2018 which came into operation on 05th April 2018 and Implementing Standard SLCAIS 70 on SMS Framework require that the operators and service providers shall have in place safety management system in their operation.
- b) The CAASL has established the controls which govern how service providers will identify operational hazards and manage safety risks. This includes the requirements, specific operating regulations and implementation policies for service providers' SMS.
- c) The requirements and specific operating regulations are periodically reviewed to ensure they remain relevant and appropriate to the service providers.
- d) The applicability of SMS Implementation by the operators and service providers are laid down in Section 3 of Implementing Standard, SLCAIS 070 on "Framework for a Safety Management System".
- e) The operators and service provider shall develop the SMS implementation plan which shall be approved by the CAASL.
- f) When Sri Lanka is the State of Registry, International general aviation operators of large or turbojet aero planes certified by DGCA are required to implement the SMS. However, there are no such operators at present.
- g) The hazard identification process and safety risk management of the service providers and operators shall be based on guidance material provided in the ICAO Safety Management Manual Doc 9859:
- h) The CAASL has established following requirements for the operator's/service provider's SMS to achieve by the operators/service providers an acceptable level of safety in their operations:
 - (i) Framework for a Safety Management System is stipulated in Implementing Standard 070;
 - (ii) Mandatory occurrence reporting scheme as stipulated in Implementing Standard - 006;
 - (iii) Voluntary (non-punitive) incident reporting scheme as stipulated in Implementing Standard-052;
 - (iv) Service difficulty reporting scheme (SDR) in CAASL Directive, Ref: CA-Directive-2018-AW-007 (SLCAD-014) dated 01st March 2018;

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- (v) Wildlife/bird strike hazard reduction programme; etc (Implementing Standard SLCAIS- 037 –Wildlife Hazard Management and Implementing Standard SLCAIS - 006 on Mandatory Occurrence Reporting System, details the reporting system).

3.2 SMS Guidance Material

Until such time the CAASL develops and issues its own Manual containing SMS related guidance material, service providers and operators functioning under the SSP umbrella of the State are advised to guide themselves by the contents in the latest edition of the ICAO Safety Management Manual DOC 9859.

3.3 Acceptance of SMS of Service Providers /Operators

- a) In order to ensure that their SMS framework is congruent with the State's SMS regulatory framework, CAASL requires individual service provider's SMS to submit their SMS manual for initial review and acceptance by the CAASL.
- b) CAASL will accept or recognize a foreign organization's SMS (eg foreign AMO, FAO), where such SMS has been duly accepted by that organization's local regulatory Authority, and the organization's SMS framework is in harmony with the ICAO SMS framework.
- c) The guidance on SMS acceptance & continuous surveillance on Air Traffic Service Providers are laid down in SLCAP 2250 – Safety Management Guide for Air Traffic Service Providers.
- d) For other Service Providers /Operators SMS Manual, the CAASL will use the checklist as listed in [Appendix L](#)

3.4 Development of Safety Performance Indicators

- a) The CAASL liaise with operators/service providers in development of a set of realistic safety performance indicators (SPIs), targets (SPTs) and alerts (SPAs) where possible depending on the size and complexity of their organization. The safety indicators, targets and alerts should be:
 - (i) a combination of high and lower consequence SPIs as appropriate;
 - (ii) pertinent to the service provider's/operator's aviation activities;
 - (iii) consistent with other service providers/operators of the same sector/ category;

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- (iv) congruent with the SSP aggregate safety indicators for the service provider /operator sector/ category.
- b) Once the safety indicators, targets and alerts have been developed, the operator's/ service provider's action plans in relation to achievement of the targets and their corrective action plans in case an alert level is reached, require to be documented.
- c) The CAASL process for subsequent periodic review of the service provider's/operator's safety performance should be transparent to the service provider/operator.

3.5 Approval of Service Provider's / Operators Acceptable Levels of Safety Performance

- a) The CAASL enter into agreement with individual service providers/operators on acceptable levels of safety.
- b) These acceptable levels of safety are in commensurate with the complexity of individual service provider's /operator's specific operational contexts and the availability of individual service provider's / operator's resources to address safety risks.
- c) The agreed acceptable levels of safety performance are expressed by multiple safety performance indicators and safety performance targets, as well as by safety requirements.

3.6 Periodic Review and Continuous Monitoring of SMS

CAASL should incorporate oversight of service providers' / operator's SMS as part of the routine surveillance program that includes measuring the safety performance of the individual service provider's SMS through periodic reviews conducted through SMS assessment tools of the agreed safety performance and ensuring that the SPIs, SPTs are reviewed and SPAs settings are remained relevant to the service provider.

3.7 National Aviation Safety Plan (NASP) of Sri Lanka

The National Aviation Safety Plan represents the operational safety risks and organizational challenges focused on the SSP to achieve an acceptable level of safety in aviation operations. It identifies six safety goals, safety performance targets, safety performance indicators and safety enhancement initiatives that are being undertaken to reduce the risks

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associated with air operations in Sri Lanka and details the strategic direction for the management of aviation safety in the short, medium and long term. The NASP presents the national strategy and roadmap of actions through Safety Enhancement Initiatives for enhancing aviation safety for the period 2023 to 2025.

The monitoring activities in respect of safety enhancement initiatives mentioned in the NASP obtain input from following sources (but not limited to):

- a) the CAASL Safety Risk Register;
 - b) mandatory occurrence reports;
 - c) voluntary incident report;
 - d) service difficulty report;
 - e) wildlife/bird strike report;
 - f) SPTs/SPIs of service provider & operators.
- (i) **Safety Performance Indicators (SPI)** are data-based parameters used for monitoring and assessing safety performance. SPIs are measures (or metrics) used to express the safety performance in a system. They should be uncomplicated, easy to measure and enable linkage between the Safety Plan and an operator's/service provider's SMS. They will therefore differ between segments of industry, such as aircraft operators, aerodrome operators or ATS providers.
- (ii) **Safety Performance Targets (SPT)** - The State or operator's /service provider's planned or intended target for a safety performance indicator over a given period that aligns with the safety objectives. It (sometimes referred to as goals or objectives) represents the desired level of safety performance. A safety performance target comprises one or more safety performance indicators, together with desired outcomes expressed in terms of those indicators. These are necessarily determined by considering what safety performance levels are desirable and realistic for individual service providers/operators. SPT should be measurable and acceptable to the parties involved.

Note: This approach enables safety expectations to be expressed in terms that are performance based, for example: bird strike per 1,000 aircraft movements (SPI) with a 50% reduction in five years (SPT). Safety committee meetings to be held monthly and

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whenever necessary (SPI) as long as the intervals between meetings are not greater than 6 weeks (SPT).

(iii) **Safety Requirements (safety initiatives)** are the tools or means required to achieve the safety targets. They include the operational procedures, technology, systems and programmes to which measures of reliability, availability, performance and/or accuracy can be specified.

Examples of safety requirements are:

1. a mandatory occurrence reporting system,
2. a voluntary incident reporting system,
3. a service difficulty reporting system,
4. a wildlife/bird strike hazard reduction programme,
5. the deployment of radar systems in the States three busiest airports within the next 12 months etc.

(iv) **Activities** – are the practical tasks to be implemented by the CAASL, service providers and operators to achieve the SPT.

3.8 Acceptable Level of Safety Performance

Sri Lanka's acceptable level of safety performance, or the sum output of Sri Lanka's safety goals, is:

“No accidents involving commercial air transport that result in serious injuries or fatalities, no serious injuries or fatalities to third parties as a result of aviation activities and improving safety performance across all sectors.”

- a) The concept of acceptable level of safety responds to the need to complement the prevailing approach to the management of safety based upon regulatory compliance, with a performance-based approach.
- b) Acceptable level of safety expresses the safety goals (or expectations) of the CAASL, an operator or a service provider.
- c) From the perspective of the relationship between the CAASL and operators/service providers, it provides an objective in terms of the safety performance of operators/service providers, should achieve while conducting their core business

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functions, as a minimum acceptable to the CAASL. It is a reference against which the CAASL can measure safety performance.

- d) In determining an acceptable level of safety, it is necessary to consider such factors as the level of risk that applies, the cost/benefits of improvements to the system, and public expectations on the safety of the aviation industry.
- e) The acceptable level of safety is expressed by two measures/metrics (safety performance indicators and safety performance targets) and implemented through various safety requirements.
- f) The CAASL is responsible for the establishment of the acceptable level of safety in aviation operations.
- g) The CAASL has established the acceptable levels of safety to be achieved by the establishment of this safety programme.
- h) The CAASL approved acceptable level(s) of safety for different operators/service providers.

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4 Part IV - State's Safety Assurance

4.1 Safety Oversight

The CAASL has established mechanisms to ensure that the identification of operational hazards and the management of safety risks by service providers follow established regulatory controls (requirements, specific operating regulations and implementation policies).

These mechanisms include safety oversight inspections, audits and surveys to ensure that regulatory safety risk controls are appropriately integrated into the service providers' SMS, that they are being practiced as designed, and that the regulatory controls have the intended effect on safety risks.

4.1.1 Safety Oversight of Operators and Service Providers

- a) The responsibility for regulatory oversight of the personnel, operators and service providers rests with the CAASL.
- b) Oversight is conducted through a mixture of what ICAO terms the 'traditional perspective' and the 'modern perspective'² – the CAASL is moving towards the modern perspective.
- c) Designations in all functional areas of CAASL are under review through the Assessment process.
- d) CAASL regulatory staff is specialists in the functional area which they regulate.
- e) Regulatory oversight is conducted through inspections, audits and surveys together with provision of advice and guidance, to ensure that:
 - (i) Operators and service providers meet the national and international standards which are formally adopted;
 - (ii) the identification of operational hazards and the management of safety risks by service providers follow established regulatory controls (e.g., requirements, specific operating regulations and implementation policies);
 - (iii) regulatory safety risk controls are appropriately integrated into the service provider's SMS;
 - (iv) regulatory safety risk controls are practiced as designed;

² Traditional perspective – Safety oversight is primarily focused on the perspective of regulatory compliance with a performance-based approach defines actual safety performance levels within a prescribed SSP framework
Modern Perspective - Includes the use of safety management systems and is designed to complement regulatory compliance by the proactive use of best practices.

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- (v) regulatory safety risk controls have the intended effect on safety risks;
- f) Ramp checks of foreign aircraft are conducted by the CAASL for airworthiness and flight operations (where such specialists are not available). Where there are split designations the authorities involved are required to liaise on the preparation and implementation of the ramp checking programme. Ramp check reports are included in the Commercial Airliner Safety Assessment (CASA) process.
- g) For complex general aviation including corporate operations, where an operator uses an operating base in a State other than the State in which the aircraft has been registered, CARs requires the operator to notify the CAA of the State in which aircraft has been registered and the State in which the operating base is located. This is to facilitate the co-ordination of regulatory oversight.

*Note: - Aviation safety has traditionally focused on compliance with regulatory requirements and reacted to undesirable events by prescribing measures to prevent recurrence. A different approach is needed to keep **safety risks at an acceptable level** as the industry continues to develop. The '**modern perspective**' includes the use of safety management systems and is designed to complement regulatory compliance by the proactive use of best practices.*

4.1.2 Safety Surveillance Programme

- a) Safety assurance is accomplished through oversight and surveillance activities of service providers as well as the CAASL's internal review of its regulatory and administrative processes. During this process, the important role of safety data collection, analysis and sharing of that data are also addressed.
- b) Each Head of Division of the CAASL engaged in safety related task will ensure that the sections coming under their purview develop and implement an annual surveillance programme with the approval of the Director General of Civil Aviation.
- c) CAASL's Surveillance programmes are developed based on risks and always be data-driven so that its resources will be focused and prioritized according to areas of highest risk or safety concerns. Surveillance programmes include a mechanism for calibrating the scope or frequency of surveillance according to actual safety performance aiming at risk-based approach to surveillance prioritization and allocation of resources based on risks.
- d) Data to be used for such surveillance calibration included relevant safety performance indicators result, results of previous surveillance reports or audits of individual service

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providers. Criteria to quantify the outcome (e.g. percentage of effective compliance) of each completed audit would be required for this purpose.

- e) More comprehensive risk-based surveillance concept shall involve safety risk data input external to the surveillance programme itself. Such additional surveillance frequency/scope modifier input may come from (for example) an Organization Risk Profile (ORP) assessment programme. (Refer to Chapter 8 of ICAO SMM Doc 9859 -4th Edition, for information on the ORP assessment concept). Further input/concerns may also be obtained from the CAASL's SDCPS or safety indicators. Appropriate interaction with service providers should be conducted before any surveillance modification is implemented.

4.1.3 Routine surveillance program of service provider's SMS

The CAASL has incorporated oversight of service provider's SMS as part of the routine surveillance program that includes:

- a) Setting up periodic review of the SMS requirements and related guidance materials with service providers to ensure they remain relevant and appropriate to them as per surveillance programme once in a year or in two years' time.
- b) Measuring the safety performance of the individual service provider's SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the service provider.
- c) Ensuring that the service provider's hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the service provider's SMS.

4.1.4 Internal Oversight Audit of CAASL

- a) The CAASL has a fully-functioning internal audit section. Internal quality assurance audits, financial audits and technical audits are carried out regularly by the CAASL Internal Audit Section to provide assurance on corporate governance to the CAASL management and Board.
- b) The CAASL Internal Audit section is to audit aviation safety regulations of the State and to advise the DGCA and those responsible for aviation safety regulation on:

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- (i) whether the CAASL is complying with the State's obligations under the Chicago Convention;
- (ii) the standard of State's aviation safety regulation;
- (iii) the adequacy of the resources employed on safety regulation in the CAASL and any remedial measures that may be necessary.
- (iv) Assessments are currently made in relation to the ICAO 8 Critical Elements of a safety oversight system (see Appendix – E) to ensure that the CAASL is "fit for purpose" regulator, and having particular regard to sustainability.
- (v) It is envisaged that adoption of the Safety Programme system will, in time, permit the CAASL to self-assess by reviewing its safety risk register, safety performance targets and outputs to ensure the effectiveness of the SSP;
- (vi) timely update and improvement of the SSP and sharing of best practices across the CAASL.

4.1.5 ICAO Safety Oversight Audit on State's Safety Oversight System

In consideration of the critical need for increased attention to global aviation safety, ICAO carries out audits of the CAASL as part of its Universal Safety Oversight Audit Programme and currently ICAO is moving towards the Continuous Monitoring Approach (CMA).

The ICAO audits assess:

- A. the State's regulatory system against the ICAO 8 Critical Elements of a safety oversight system; and
- B. the degree to which SARPs have been implemented within the State concern.

The CAASL has issued the State Safety Oversight Manual, SLCAP 0001 with guidance to its inspectors on Safety Oversight Function. Further guidance on enforcement procedures on resolution of safety issues to cover the CE-08, are laid down in Enforcement Policy and Procedures Manual, SLCAP 0005.

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4.2 Safety Data Collection, Analysis and Exchange

4.2.1 Safety Data Quality

Given the importance of data quality, CAASL must assess the data used to support safety risk management and safety assurance processes using the following criteria:

- i. Validity. Data collected are acceptable as per established criteria for their intended use.
- ii. Completeness. No relevant data are missing.
- iii. Consistency. The extent to which measurement of a given parameter is consistent can be reproduced and avoids error.
- iv. Accessibility. Data are readily available for analysis.
- v. Timeliness. Data are relevant to the time period of interest and available promptly.
- vi. Security. Data are protected from inadvertent or malicious alteration.
- vii. Accuracy. Data are error-free.

4.2.2 CAASL Safety Database (SDB)

The CAASL has established mechanisms to ensure the capture and storage of data from the following sources on hazards and safety risks at an aggregate State's level.

- i. accident and incidents reports;
- ii. voluntary incident reporting systems;
- iii. mandatory incident reporting systems;
- iv. operational data collection systems (provided directly from service providers);
- v. safety oversight data collection systems.

CAASL should establish and maintain a safety database for collection of following type of data or information which can be used to support safety data analysis:

1. SDB-1: Accident investigation data;
2. SDB-2: Mandatory incident investigation data;
3. SDB-3: Voluntary reporting data;
4. SDB-4: Continuing airworthiness reporting data;
5. SDB-5: Operational performance monitoring data;
6. SDB-6: Safety risk assessment data;
7. SDB-7: Data from audit findings/reports;
8. SDB-8: Data from safety studies/reviews; and

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9. SDB:9: Safety data from other States, regional safety oversight organizations (RSOOs) or regional accident and incident investigation organizations (RAIOs), etc.

The CAASL has also established mechanisms to develop information from the stored data, and to actively exchange safety information with service providers and/or other States as appropriate.

To ensure that a database is understood and used appropriately, information related to the database (metadata) must be well documented and made available to users. Types of metadata include field definitions, changes made to the database over time, usage rules, the data collection form and references to valid values.

4.2.3 Occurrence Reporting and Analysis

The CARs requires operators and service providers to report occurrences to the CAASL.

The CAASL has established an online portal for Mandatory and Voluntary Reporting Systems, which is available at CAASL web site. The CAASL uses the European Co-ordination Centre for Aviation Incident Reporting Systems (ECCAIRS) safety database which includes capabilities for analyzing and presenting the information in a variety of formats. ECCAIRS safety database is compatible with ICAO Accident/Incident Data Reporting (ADREP) System.

4.2.4 Safety Data Analysis

- a) After collecting safety data through various sources, CAASL perform the necessary analysis to identify hazards and control their potential consequences. Among other purposes, the analysis may be used to:
1. assist in deciding what additional facts are needed;
 2. ascertain latent factors underlying safety deficiencies;
 3. assist in reaching valid conclusions; and
 4. monitor and measure safety trends or performance.
- b) Safety analysis is often iterative, requiring multiple cycles. It may be quantitative or qualitative. The absence of quantitative baseline data may force a reliance on more qualitative analysis methods.
- c) Human judgment may be subjected to some level of bias based on past experiences, which may influence the interpretation of analysis results or testing of hypotheses. One of the most frequent forms of judgment error is known as “confirmation bias”. This is the tendency to seek and retain information that confirms what one already believes to be true.

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- d) CAASL may use one or more of following safety analysis methods.
- e) Aviation Safety Monitoring unit of CAASL carry out safety data analysis to Identify hazards and risks based from the data received via occurrence reporting systems and disseminate among relevant sections. Respective Technical Sections carry out the analysis of data obtained through safety oversight and audits to identify hazards and risks on each area.

Statistical analysis. This method can be used to assess the significance of perceived safety trends often depicted in graphical presentations of analysis results. While statistical analysis may yield powerful information regarding the significance of certain trends, data quality and analytical methods must be carefully considered to avoid reaching erroneous conclusions.

Trend analysis. By monitoring trends in safety data, predictions may be made about future events. Trends may be indicative of emerging hazards.

Normative comparisons. Sufficient data may not be available to provide a factual basis against which to compare the circumstances of potential events. In such cases, it may be necessary to sample real- world experience under similar operating conditions.

Simulation and testing. In some cases, hazards may become evident through simulation as well as laboratory testing to validate the safety implications of existing or new types of operations, equipment or procedures.

Expert panel. The views of peers and specialists can be useful in evaluating the diverse nature of hazards related to a particular unsafe condition. A multidisciplinary team formed to evaluate evidence of an unsafe condition can assist in identifying the best course of corrective action.

Cost-benefit analysis. The acceptance of recommended safety risk control measures may be dependent on credible cost-benefit analysis. The cost of implementing the proposed measures are weighed against the expected benefits over time. Cost-benefit analysis may suggest that accepting the consequences of the safety risk is tolerable considering the time, effort and cost necessary to implement corrective action.

4.3 Safety Data Driven Targeting of Oversight on Areas of Greater Concern/ Need

The CAASL has established procedures to prioritize inspections, audits and surveys towards those areas of greater safety concern or need, as identified by the analysis of data on operational hazards and safety risks areas.

The CAASL has adopted risk-based resource allocations system for all regulatory functions (proactively targeting regulatory attention on known areas of high risk).

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5 Part V- State's Safety Promotion

5.1 Internal Training, Communication and Dissemination of Safety Promotion

- a) The CAASL provides training, awareness, and two-way communication of safety relevant information to support, within the CAASL, the development of a positive organizational culture that fosters the development of an effective and efficient State's safety programme.
- b) CAASL's remit, and budget, includes the provision of assistance, training and advice to
- c) those responsible for aviation safety regulation within the CAASL.
- d) Individual and group training, for both initial and recurrent training, is provided under this heading. The training/seminar/workshop is focused to promote:
- e) the development of a positive organizational culture that fosters the development of an effective and efficient State's safety programme;
- f) the confidence among regulatory staff in assessing operator's/service provider's SMS and its performance. (refer to Step 2 of SSP Implementation Plan provided in Appendix – B.)

5.1.1 Training Policy – Internal

SSP training provided by CAAL will be grouped into following three categories;

- a) Indoctrination/ initial safety training.

New staff are trained on the basics of SSP/SMS and their safety responsibilities in accordance with their involvement in the SSP programme.

- b) On the job (OJT) safety training

Safety training will be arranged in the form of on-the-job training, delivered by persons with appropriate knowledge, skills and experience.

- c) Recurrent safety training

At least once in 2 years a one-day refresher safety training will be provided to all appropriate staff.

Internal SSP training will have different levels of knowledge and awareness required for the functions and responsibilities of the different staff positions within the authority.

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5.1.2 Generic safety training

a) Objectives

- ❖ To familiarize trainees with State safety policies, objectives and SSP/SMS fundamentals
- ❖ To provide an overview of safety responsibilities, including safety procedures and hazards reporting

b) Contents

- ❖ Hazards, consequences and risks
- ❖ Safety risk management process, including roles and responsibilities
- ❖ Safety reporting
- ❖ Service providers' safety reporting system(s)

5.1.3 Initial job-specific safety training

a) Objectives

To familiarize trainees with safety concepts, hazard identification and risk management relevant to their respective roles, functions and responsibilities

b) Contents

- ❖ Hazard identification and risk management processes
- ❖ Safety data collection and analysis

(Note – Promotion or internal movements within the State aviation authorities may require additional safety training)

5.1.4 Advanced safety training

a) Objectives

To familiarize trainees with safety responsibilities, including compliance with national and organizational safety requirements, allocation of resources, and effective inter-departmental safety communication and active promotion of the SSP.

b) Contents

- ❖ In addition to (5.1.3) and (5.1.4) above the following will be included
- ❖ Safety roles and responsibilities
- ❖ Safety assurance and safety promotion

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- ❖ Establishment of ALoS and safety performance of SMS

5.1.5 High level safety briefing

a) Objectives

High level safety briefing should provide a special safety briefing on the SSP components and elements

b) Contents

- ❖ Organization of the SSP
- ❖ SSP roles and safety responsibilities
- ❖ Safety policy and objectives
- ❖ Safety risk management
- ❖ Safety assurance
- ❖ Safety promotion

5.1.6 Training Record Keeping

- a) Training requirements and activities for each level within the CAASL should be documented by Manager /Training & Standard.
- b) A training file should be developed for each staff member, including management staff, to assist in identifying and tracking staff safety training requirements and verifying compliance
- c) SSP training programmes should be adapted to fit the needs and complexity of the State aviation activities.

5.1.7 Internal Training

The CAASL has

- a) develop an internal training policy and procedures;
- b) an SSP and SMS training programme for relevant staff giving priority to SSP-SMS implementation personnel and operational/field inspectors involved in a service provider's SMS;

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- c) included State-specific SSP processes and their relevance to the generic ICAO framework elements in post-SSP and SMS implementation training and education material;

5.1.8 Communication

- a) CAASL Developed a means to communicate safety-related information, including the State SSP documentation and safety/enforcement policies and procedures, to State regulatory and administrative organizations through such mechanisms as newsletters, bulletins and websites.
- b) The CAASL has established the following methods of communication and dissemination of safety-relevant information within the CAASL:
- (i) For critical safety-relevant information:
- ❖ Confidential Letters;
 - ❖ Email system;
- (ii) For non-critical safety-relevant information:
- ❖ CAASL Website;
 - ❖ CAASL Intranet;
 - ❖ Safety Notice Boards;
 - ❖ Safety Alerts;
 - ❖ Safety Newsletters (quarterly);
 - ❖ Safety Journal (annual);

5.2 External Training, Communication and Dissemination of Safety Information

- a) Safety communication aims to
- ❖ Ensure that all staff is fully aware of the SSP
 - ❖ Convey safety critical information
 - ❖ Explain why particular actions are taken
 - ❖ Explain why safety procedures are introduced or changed
 - ❖ Convey “nice-to-know” information
- b) The CAASL provides education, awareness of safety risks and two-way communication of safety relevant information to support among services providers the development of a positive organizational culture that fosters safe practices, encourages safety

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communications and actively manages safety with the same attention to results as financial management.

- c) The CAASL supports the implementation of SMS by running seminars/ workshops for the industry to promote confidence among operational staff in encouraging and assessing SMS development and performance. The cultivation of an active safety culture at all levels and in all functional areas in the aviation industry is seen as a key area of development.
- d) The CAASL holds regular meetings with operators and service providers, in order to keep them advised of likely regulatory developments, and develop the required safety culture.

The CAASL runs a 'Safety Road Show' every two years, where seminars are provided on key regulatory topics, at one location within Sri Lanka.

The CAASL has established the following methods of communication and dissemination of safety-relevant information nationally and internationally:

- p. For critical safety-relevant information:
 - ❖ Confidential Letters;
 - ❖ Email system.
- q. For non-critical safety-relevant information:
 - ❖ CAASL Website;
 - ❖ Safety Alerts;
 - ❖ Safety Newsletters (quarterly);
 - ❖ Safety Journal (annual)

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Appendices

Appendix A- Legend

State safety legislative framework — Element 1.1

- a. Review, develop and promulgate, as necessary, a national safety legislative framework and specific regulations, in compliance with international and national standards, that define how the State will manage and regulate aviation safety throughout its aviation system. This comprise Civil Aviation Act, Civil Aviation Authority of Sri Lanka Act, Air Navigation Regulations, Civil Aviation Regulations, Orders, Aviation Safety Notices, Implementing Standards, Directives and Directions issued by the Minister, Authority or Director General of Civil Aviation.
- b. Establish a time frame to periodically review the safety legislation and specific operating regulations to ensure they remain relevant and appropriate to the State.

State safety responsibilities and accountabilities — Element 1.2 (i)

- a. Identify the SSP place holder organization and the SSP accountable executive. The accountable executive of the State SSP should, as a minimum, have:
 1. authority and accountability, on behalf of the State, for the implementation and maintenance of the SSP across its aviation system, with the exception of the State's accident investigation organization;
 2. authority on human resources issues related to the SSP place holder organization;
 3. authority on major financial issues related to the SSP place holder organization;
 4. authority on service provider certification and safety oversight by the SSP place holder organization; and
 5. responsibility for the coordination of all SSP-related issues of the State.

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b. Establish the SSP implementation team. The team should be comprised of representatives from the relevant State aviation regulatory and administrative organizations. The team's role is to drive the SSP implementation from the planning stage to completion. The SSP placeholder organization, together with the department/office responsible for the administration of the SSP, should take over from the SSP implementation team after implementation. Other functions of the implementation team should include but not be limited to:

1. coordinating the gap analysis process;
2. developing the SSP implementation plan;
3. ensuring adequate SSP training and technical expertise of the team in order to establish effective implementation of the SSP elements and related processes;
4. monitoring of and reporting on the progress of SSP implementation, providing regular updates, coordinating with the SSP accountable executive and ensuring that activities within each phase are accomplished as per the defined timeline.

To ensure proper execution of the implementation plan, especially for States with multiple organizations, the accountable executive should ensure that adequate authority and management support is provided to the implementation team.

c. Perform an SSP gap analysis. In order to develop an SSP implementation plan, a gap analysis of the structures and processes existing in the State should be conducted against the ICAO SSP framework. This will allow the State to assess the existence and maturity of the elements of its SSP. Once the gap analysis has been completed and documented, the components/elements/processes identified as missing or deficient, together with those already existing, will form the basis of the SSP implementation plan.

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- d. Develop an SSP implementation plan. The plan will serve as a guide to how the SSP will be developed and integrated into the State safety management activities. The plan should:
1. clearly establish the activities (elements/processes) that will be developed or completed under their respective assigned milestones or phases. These activities are based on the outcomes of the gap analysis; and
 2. determine a realistic time line, including milestones, for accomplishing each activity or phase. Depending on the complexity of the State's SSP, an SSP implementation plan may be compiled as a simple Word/Excel table or, if necessary, by using a project management tool such as a Gantt chart. A sample format for a basic SSP implementation plan is in Appendix 7 to this chapter.
- e. Establish a State aviation safety coordination platform. If not already existing, initiate the establishment of an SSP coordination mechanism, with participation from all relevant State aviation regulatory and administrative organizations. This mechanism may be in the form of a board or committee. Its function is to coordinate the implementation and subsequent administration of the SSP amongst the various State aviation regulatory and administrative organizations. This will ensure that the development, periodic review and decision and policy making pertaining to SSP activities, such as safety policy, safety indicators, enforcement policy, safety data protection and sharing, SMS regulatory requirements, and internal SSP review and findings, are carried out in an integrated and coordinated manner. This ongoing SSP platform should involve senior management of the various organizations, with the SSP accountable executive as the coordinator.
- f. Establish SSP documentation. The process to draft an SSP document should commence from the beginning of the SSP implementation exercise. As the SSP components and elements of the SSP are progressively defined, each element's description and its related processes can then be progressively written up in this top-level document. Refer to Appendix 8 for an

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illustrative example of how such an SSP document and its contents may be structured. Establish an SSP documentation system (library/cabinet/folder) within the SSP placeholder organization that serves as a central repository for such things as the SSP document, related SOPs, forms, minutes of meetings, and records associated with the implementation and continuous operation of the SSP. These documents will serve as records and evidence of the actual activities and continuing operation of the individual elements of the SSP. It is possible that some records such as confidential reports and occurrence reports may be maintained in a separate computer system or reside in another regulatory or administrative organization. In such cases, samples or extracts may be maintained in the library as appropriate. An SSP documentation master index should help to account for all relevant documentation. A consolidated documentation system will facilitate easy traceability, updating, referencing and internal/external auditing of the system.

State safety responsibilities and accountabilities — Element 1.2 (ii)

- a. Define and establish the safety management responsibilities and accountabilities of the respective regulatory organizations. A description or illustration of the existing organizational structure and integration of the various regulatory and administrative organizations should be addressed within the SSP document. Cross-reference to supporting documentation in terms of the detailed safety responsibilities and accountabilities of the respective organizations may be provided therefrom.
- b. Develop and implement a State safety policy and the necessary means to ensure that the policy is understood, implemented and observed at all levels within the aviation organizations of the State. Guidance on development of a State safety policy is outlined in Appendix 1 to this chapter.
- c. Develop or include broad State safety objectives which are congruent with the State safety policy. Such safety objectives may be stand-alone or part of the organization's overall mission statement, depending on the complexity and roles of the organization. These safety

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objectives should then be taken into consideration during subsequent development of the State's ALoSP safety indicators. There should be indicators that can serve as metrics to assess the achievement status of the safety objectives.

Accident and incident investigation — Element 1.3

The State should:

- a. ensure that the national legislative framework includes provisions for the establishment of an independent accident and incident investigation process which is administered by an independent organization, bureau, commission or other body;
- b. establish an accident and incident investigation organization, bureau, commission or other body which is independent from all other State aviation organizations. In States where it may not be practical to establish a permanent accident investigation entity, a competent accident investigation commission or board may be appointed for each accident to be investigated. Alternatively, such States may consider the services of an RAIO (see Doc 9946);
- c. establish mechanisms to ensure that the sole objective of the accident and incident investigation process is the prevention of accidents and incidents, in support of the management of safety in the State, and not the apportioning of blame or liability.

Enforcement policy — Element 1.4 (i)

The State should ensure or establish fundamental legislative provisions for regulatory enforcement (penalty) action, including suspension or revocation of certificates.

Safety oversight — Element 3.1 (i)

The State should ensure or establish a basic safety oversight programme to oversee service providers. This should include a surveillance programme that assures the regulatory compliance of service providers during routine operations including, but not necessarily limited to:

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- a. site, station or product inspections; and
- b. organizational or system audits.

Safety requirements for the service provider's SMS — Element 2.1 (i)

- a. Where appropriate during the education and promotion phase of SMS implementation, the State should prepare service providers and industry stakeholders for SMS implementation requirements through SMS educational and promotional activities such as SMS forums, seminars, briefings or workshops.
- b. Develop SMS guidance material, pertinent to service providers, in anticipation of or in conjunction with the development of SMS regulations.

Enforcement policy — Element 1.4 (ii)

- a. In an SSP-SMS environment, the State's regulatory enforcement policy and procedures should establish
- b. the conditions and circumstances under which service providers are allowed to deal with, and resolve, events involving certain safety deviations, internally, within the context of the service provider's safety management system (SMS) and to the satisfaction of the appropriate State authority;
- c. the conditions and circumstances under which safety deviations are dealt with through established enforcement procedures;
- d. procedures to ensure that no information obtained from voluntary/confidential reporting systems or equivalent restricted operational data monitoring systems operating under an SMS will be used for enforcement action;

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- e. a process to protect the sources of information obtained from voluntary and confidential reporting systems.

The Enforcement Policy is in Appendix I to this Manual.

SMS requirements for service providers — Element 2.1 (ii)

- a. Establish SMS regulations, guidance material and implementation requirements for all applicable service providers and ensure that the SMS regulatory framework is harmonized across all aviation sectors and is congruent with the ICAO SMS framework. Adoption of ICAO's harmonized SMS framework will facilitate mutual recognition amongst States.
- b. Establish a process for the acceptance of an individual service provider's SMS to ensure that its SMS framework is congruent with the State's SMS regulatory framework. Such initial review and acceptance may be manifest through an endorsement or acceptance of the organization's SMS manual. Where a phased SMS implementation approach is adopted by the State, such an acceptance process may be done on a phased basis where appropriate. Refer to Appendix 12 for an example of an SMS regulatory assessment/acceptance checklist.

Note.— Acceptance or recognition of a foreign organization's SMS (e.g. foreign AMO) is encouraged where such an SMS has been duly accepted by that organization's local authority and the organization's SMS framework is in harmony with the ICAO SMS framework.

Safety data collection, analysis and exchange — Element 3.2 (i)

The State should:

- a. set up mechanisms and procedures for collecting and analyzing mandatory/reportable occurrences at the aggregate State level. This would require the State to:
 - 1. establish a mandatory or reportable occurrence procedure for certificated/approved service providers of each aviation sector to report (mandatory basis) accidents and serious incidents. This should include major or mandatory defect reports (MDR) where

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appropriate. Refer to Appendix 3 for an example of a State's mandatory reporting procedure;

2. establish requirements for service providers to have an internal occurrence investigation and resolution process that documents the investigation results and makes the reports available to their respective regulatory organization;
 3. ensure that there is an appropriate integration, consolidation and aggregation of data collected from the various aviation sectors at the SSP level. Safety data should not exist as independent or stand-alone databases at the individual sector level only. This integration aspect should also be addressed for the respective safety databases of the CAA and that of the independent accident investigation authority, including those States where certain safety management functions are discharged by an RSOO or an RAIO on behalf of the State;
- b. establish basic high consequence safety indicators (initial ALoSP) and their associated target and alert settings. Examples of high-consequence safety indicators are accident rates, serious incident rates and monitoring of high-risk, regulatory, non-compliance outcomes (e.g. ICAO audit findings). Development and selection of safety indicators should be congruent with the State's safety objectives and safety policy. They should be appropriate and relevant to the scope and complexity of the State's aviation activities. Selection of lower-consequence safety indicators may be addressed at a later stage. Periodic monitoring of the safety indicators for any undesirable trends, alert level breaches and target achievement should be performed. Refer to Appendix 4 for guidance on developing and monitoring safety indicators.

Agreement on the service provider's safety performance — Element 2.2

The State should establish a procedure for liaison with service providers in their development of a set of realistic safety performance indicators (SPIs), targets and alerts where possible

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depending on the size and complexity of the organization. The safety indicators, targets and alerts should be:

- a. a combination of high and lower-consequence SPIs as appropriate;
- b. pertinent to the service provider's aviation activities;
- c. consistent with other service providers of the same sector/category;
- d. congruent with the State's SSP aggregate safety indicators for the service provider sector/category. Once the safety indicators, targets and alerts have been developed, the service provider's action plans in relation to achievement of the targets and their corrective action plans in case an alert level is reached need to be documented. The regulator's process for subsequent periodic review of the service provider's safety performance should be made transparent to the service provider during the development of the performance requirements.

Safety oversight — Element 3.1 (ii)

The State should incorporate oversight of service providers' SMS as part of the routine surveillance programme that includes:

- a. setting up with service providers periodic review of the SMS requirements and related guidance material to ensure they remain relevant and appropriate to them;
- b. measuring the safety performance of the individual service provider's SMS through periodic reviews of the agreed safety performance and ensuring that the SPIs, targets and alert settings remain relevant to the service provider;
- c. ensuring that the service provider's hazard identification and safety risk management processes follow established regulatory requirements and that safety risk controls are appropriately integrated into the service provider's SMS.

Safety oversight — Element 3.1 (iii)

The State should develop an internal review or assessment mechanism covering the SSP and its safety policy to assure continuing conformance and improvement of the SSP. As with any

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effective internal review mechanism, there should be an appropriate level of independence in the review process and accountability for follow-up action.

Safety data collection, analysis and exchange — Element 3.2 (ii)

The State should:

- a. establish a State-level voluntary reporting system, including provisions for safety information protection. The voluntary reporting system should constitute part of the SSP safety data collection and processing system. The database of this voluntary reporting system should be part of the SSP SDCPS and be accessible to the State's CAA as well as the accident investigation authority. Refer to Implementing Standard 052 on Voluntary reporting system;
- b. establish lower-consequence safety and/or quality indicators with appropriate target and alert monitoring (mature ALoSP). Selection and development of safety indicators should be congruent with the State's safety objectives and safety policy and appropriate and relevant to the scope and complexity of the State's aviation activities. Periodic monitoring of the safety indicators for any undesirable trends, alert level breaches and target achievement should be performed. Refer to Appendix 4 for guidance on developing and monitoring safety indicators;
- c. promote safety information exchange and sharing amongst the State's regulatory and administrative organizations and service providers, as well as with other States and industry organizations.

Safety-data-driven targeting of oversight of areas of greater concern or need — Element 3.3

The State should review existing surveillance and audit programmes to incorporate provisions for calibration of individual service provider's surveillance or audit frequency and scope based on pertinent performance outcomes and safety data inputs.

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Internal training, communication and dissemination of safety information — Element 4.1

The State should:

- a. develop an internal training policy and procedures;
- b. develop an SSP and SMS training programme for relevant staff. Priority should be given to SSP-SMS implementation personnel and operational/field inspectors involved in a service provider's SMS;
- c. include State-specific SSP processes and their relevance to the generic ICAO framework elements in post-SSP and SMS implementation training and education material;
- d. develop a means to communicate safety-related information, including the State SSP documentation and safety/enforcement policies and procedures, to State regulatory and administrative organizations through such mechanisms as newsletters, bulletins and websites.

External training, communication and dissemination of safety information — Element 4.2

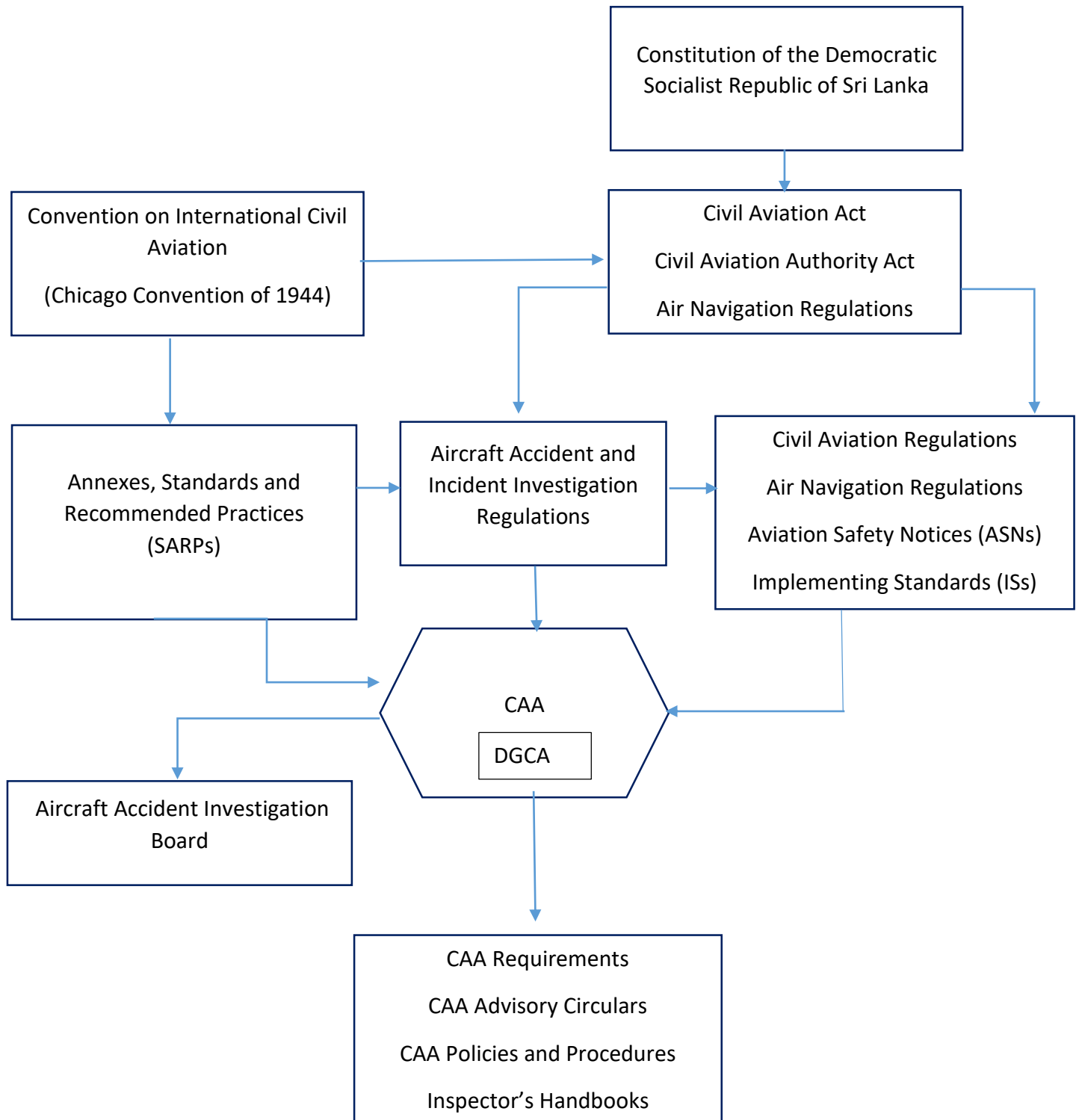
The State should:

- a. establish a process to communicate regulatory, SSP- and SMS-related information to service providers;
- b. develop, for service providers, guidance material on implementation of SMS;
- c. establish the means to communicate safety-related issues externally, including safety policies and procedures, through such mechanisms as newsletters, bulletins or websites;
- d. promote the exchange of safety information with and amongst service providers and other States;
- e. facilitate SMS training or familiarization for service providers where appropriate.

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Appendix B – Regulatory Framework





Appendix C – List of Recipients of the SSPPPM

Control Number	Recipient	Organization
001	Chairman	CAASL
002	DGCA & CEO	CAASL
003	Additional Director General	CAASL
004	DDG - Flight Safety Regulations	CAASL
005	DDG - Aeronautical Services Regulation	CAASL
006	DDG – Aviation Security Regulation	CAASL
007	Director - Operations	CAASL
008	Director - Airworthiness	CAASL
009	Director - Training Organization and Personnel Licensing	CAASL
010	Director - Aerodromes	CAASL
011	Director -Air Navigation Services	CAASL
012	Director – Environment, Research & Projects	CAASL
013	Director – Quality and Internal Audit	CAASL
014	Senior Civil Aviation Inspector (Aviation Medicine)	CAASL
000	Manager - Documents and Web Management	CAASL
015	Manager (Legal Affairs & Enforcement)	CAASL
016	Manager- Aviation Safety Monitoring	CAASL
017	Representative	Attorney General's Department
018	Representative	Meteorological Department
019	Representative	Airport and Aviation Services Ltd



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Control Number	Recipient	Organization
020	Representative	Sri Lanka Air Force
021	Representative	Sri Lanka Navy
022	Chairman	Airport & Aviation Services Sri Lanka Ltd
023	Accountable Manager	SriLankan Airlines Ltd
024	Accountable Manager	FITS Aviation (Pvt) Ltd
025	Accountable Manager	Saffron Aviation (Pvt) Ltd
026	Accountable Manager	Senok Aviation (Pvt) Ltd
027	Accountable Manager	Helitours
028	Accountable Manager	Sakurai Aviation Ltd
029	Accountable Manager	IWS Aviation (Pvt) Ltd
030	Accountable Manager	Fly Southern (Pvt) Ltd
031	Accountable Manager	Asian Aviation Centre (Pvt) Ltd
032	Accountable Manager	Openskies Flight Training (Pvt) Ltd
033	Accountable Manager	Fits Air Flight Academy
034	Accountable Manager	Sakurai Aviation Academy
035	Accountable Manager	Civil Aviation Training Center
036	Accountable Manager	SriLankan Type Rating Training Organization
037	Accountable Manager	Lakwin Aviation Pvt (Ltd)
038	Accountable Manager	Red Bird Aviation Pvt (Ltd)
039	Accountable Manager	Ceylon Aeronautical Services



Appendix D – Critical Elements of a Safety Oversight System

(Doc 9734, ICAO, Safety Oversight Manual Part A, 3rd edition 2017)

CE-1. Primary aviation legislation.

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. The Section 36 and 113 of Civil Aviation Act No 14 of 2010 provides personnel performing safety oversight functions access to the aircraft, operations, facilities, personnel and associated records, as applicable, of individuals and organizations performing an aviation activity.

CE-2. Specific operating regulations.

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.

Specific operating regulations should be comprehensive, clear, consistent and up to date. The State's specific operating regulations should conform with the Annexes to the Chicago Convention.

CE-3. State system and functions.

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

For a State to fulfil its obligations as outlined in the Chicago Convention, the national legislation should provide for an appropriately organized, funded and empowered civil aviation system, structured to effectively fulfil the tasks that it is expected to undertake. In practice, it is necessary that the State establish an appropriate and practical organization and employ the needed personnel, including technical personnel and support staff, to carry out its safety oversight functions and duties. The Guidance on conducting safety oversight functions are laid down in State Safety Oversight System Policies and Principles Manual, SLCAP 0001 and Section 4.1.7 of Aviation Enforcement Policy and Procedures Manual, SLCAP 0005.

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CE-4. Qualified technical personnel.

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. The minimum qualification requirements for the technical personnel performing safety-related functions are laid down in the Manual of Schemes of Recruitment of CAASL, SLCAP 5005. All training records for Technical Personnel is maintained by Manager/ Training and Standard of CAASL.

CE-5. Technical guidance, tools and provision of safety-critical information.

The provision of appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety- critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner. States shall provide technical guidance to the aviation industry on the implementation of relevant regulations.

CE-6. Licensing, certification, authorization and approval obligations.

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

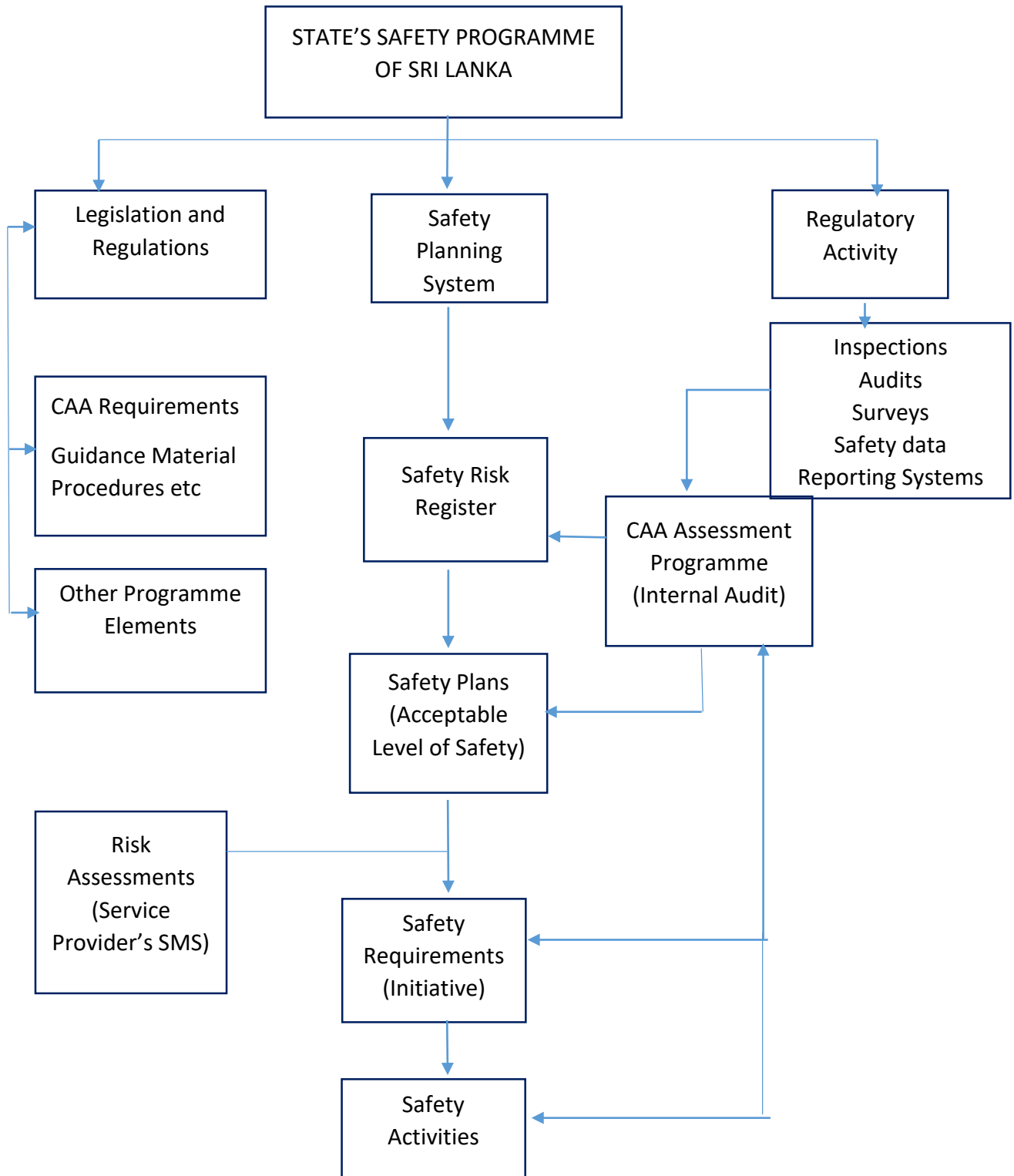
CE-7. Surveillance obligations.

The implementation of documented surveillance processes, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively ensure that aviation licence, certificate, authorization and approval holders continue to meet the established requirements. This includes the surveillance of personnel designated by the Authority to perform safety oversight functions on its behalf.

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Appendix E – State Safety Programme





Appendix F – Safety Policy

Safety Policy

Safety forms vital part of culture the Civil Aviation industry in Sri Lanka and is the overriding priority in all activities. CAASL as the place holder organization responsible for implementation of State Safety Programme of Sri Lanka are committed to implementing, developing and improving persistently strategies, management systems and processes to ensure that all aviation activities in Sri Lanka uphold the highest level of safety performance and meet national requirements in line with the international standards.

The safety policy has been set up to protect people from aviation safety risks and to maintain Sri Lanka as one of the safest aviation systems in the world.

CAASL commitment is to:

- develop, embed, promote and maintain safety culture in all aviation activities through effective implementation of the State Safety Programme recognizing the paramount importance and value of safety for the growth and sustenance of air transport industry;
- work in collaboration, consultation, cooperation and consensus with the industry partners, service providers and relevant government organizations to minimize risks associated with in all aviation operations to a point that is as low as reasonably practicable and achievable by maintenance of proper organization, personnel, equipment, facilities, services and process and procedures that meet appropriate safety standards;
- actively develop and improve CAASL's processes in line with the (8) eight critical elements advocated by ICAO for the effective discharge of state safety oversight responsibilities to conform to world-class safety standards;
- comply with and, wherever feasible, exceed legislative and regulatory requirements and international standards relating to safety;

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- insist on establishment and maintenance of effective Safety Management Systems by all operators that commensurate with size, nature and complexity of their respective operations.
- allocate necessary resources and provide relevant CAASL staff with adequate, appropriate and timely training on aviation safety and relevant information, ensuring that they are competent to perform their assigned tasks;
- collect, process and analyze aviation safety data systematically with the intent of trend monitoring and disseminate vital safety information where necessary and appropriate, whilst safeguarding data security and confidentiality of data sources ;
- establish and measure CAASL safety performance using well developed indicators (SPI) against realistic objectives and/or safety targets (SPT);
- promote safety information sharing and non-punitive safety reporting for enhancement of safety;
- promote a positive safety culture across the aviation industry of Sri Lanka.
- ensure safety is primary responsibility of staff in the executive grade and above and conduct safety and management reviews regularly and ensure that appropriate action is taken;
- actively seek out emerging risks and take proactive action to minimise the impact on the aviation system
- take prompt action to discourage infringement of safety requirement; and
- ensure that the application of effective aviation safety management system is integral to all CAASL's activities, with the objective of achieving the highest levels of safety standards and performance.
- implement the National Aviation Safety Plan of Sri Lanka in collaboration with all stake holders as the strategy for the continuous improvement of aviation safety.

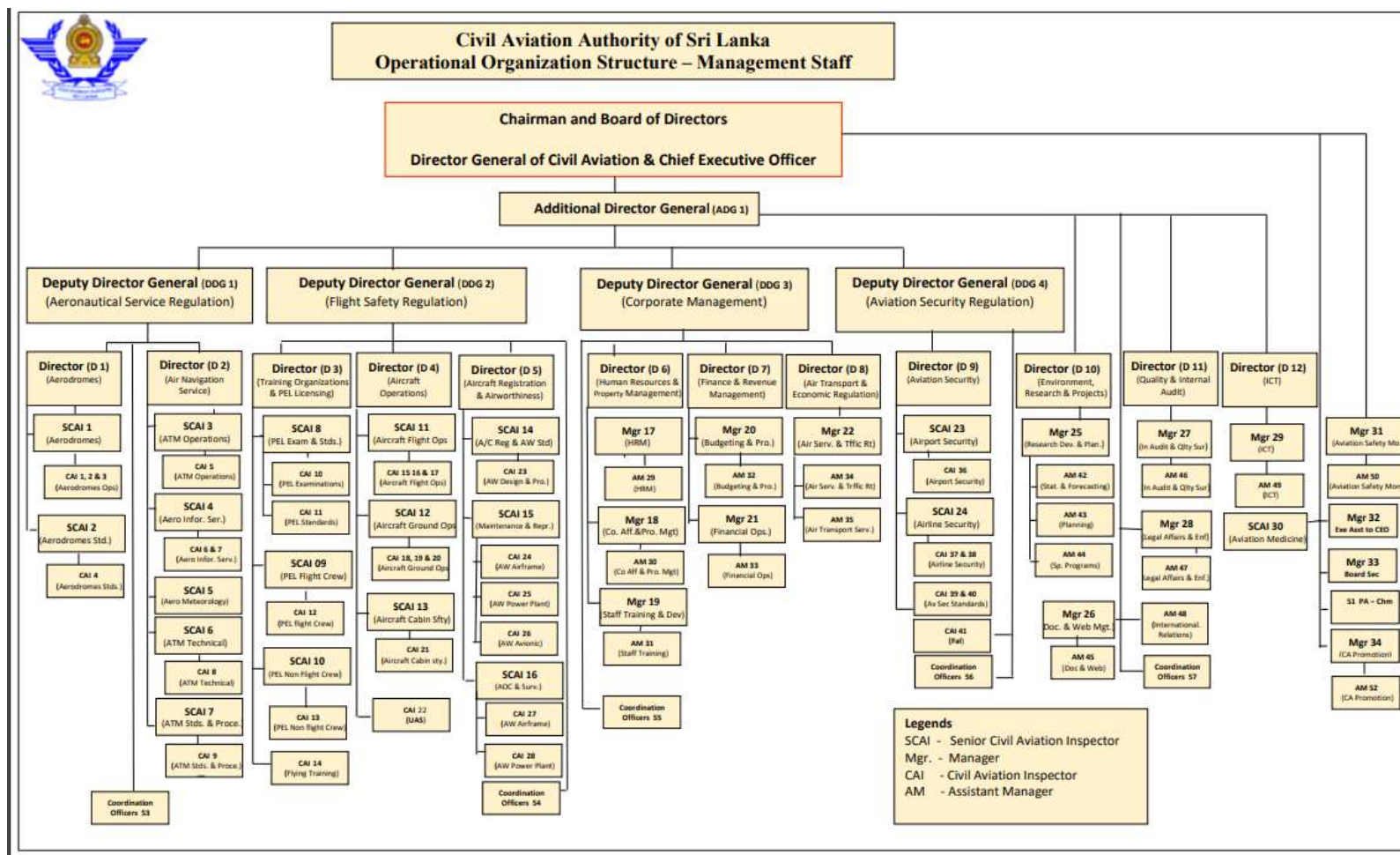
**Director General of Civil Aviation
and Chief Executive Officer (SSP
accountable executive or an official
from the State-level office
responsible for civil aviation)**

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CIVIL AVIATION AUTHORITY OF SRI LANKA

Appendix G- CAASL Organizational Structure





Appendix H – Guidance on the Development of an SMS Manual

General

This appendix serves to guide organizations in their compilation of a top-level SMS manual (or document) to define their SMS framework and its associated elements. The manual can be a stand-alone SMS manual or be integrated as a consolidated SMS section/chapter within an appropriate approved manual of the organization (e.g. the organization's exposition manual or company manual). The actual configuration may depend on regulatory expectation.

Using the suggested format and content items in this appendix and adapting them as appropriate is one way in which an organization can develop its own top-level SMS manual. The actual content items will depend on the specific SMS framework and elements of the organization. The description under each element will be commensurate with the scope and complexity of the organization's SMS processes.

The manual will serve to communicate the organization's SMS framework internally as well as with relevant external organizations. The manual may be subject to endorsement or approval by the CAASL as evidence of the acceptance of the SMS.

Note.— A distinction is to be made between an SMS manual and its operational supporting records and documents. The latter refers to historical and current records and documents generated during implementation and operation of the various SMS processes. These are documentary evidence of the ongoing SMS activities of the organization.

The SMS manual should describe the service provider's SMS policies, processes and procedures to facilitate the organization's internal administration, communication and maintenance of the SMS. It should help personnel to understand how the organization's SMS functions, and how the safety policy and objectives will be met. The documentation should include a system description

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that provides the boundaries of the SMS. It should also help clarify the relationship between the various policies, processes, procedures and practices, and define how these link to the service provider's safety policy and objectives.

The SMS manual also serves as a primary safety communication tool between the service provider and key safety stakeholders. This SMS document must be kept up to date. CAASL approval is required before amendments are made to the SMS manual, as it is a controlled manual.

Format of the SMS Manual

The SMS manual may be formatted in the following manner:

- a. section heading;
- b. objective;
- c. criteria;
- d. cross-reference documents.

Below each numbered "section heading" is a description of the "objective" for that section, followed by its "criteria" and "cross-reference documents". The "objective" is what the organization intends to achieve by doing what is described in that section. The "criteria" defines the scope of what should be considered when writing that section. The "cross-reference documents" links the information to other relevant manuals or SOPs of the organization which contain details of the element or process as applicable.

Contents of the Manual

The contents of the manual may include the following sections:

1. Document control;
2. reference to any applicable regulatory SMS requirements;

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3. Scope and integration of the safety management system;
4. safety policy and safety objectives;
5. system description;
6. safety accountabilities and key safety personnel;
7. voluntary and mandatory safety reporting system processes and procedures;
8. hazard identification and safety risk assessment processes and procedures;
9. safety investigation procedures;
10. procedures for establishing and monitoring safety performance indicators;
11. SMS training processes and procedures and communication;
12. safety communication processes and procedures;
13. internal audit procedures;
14. management of change procedures
15. SMS documentation management procedures; and
16. where applicable, coordination of emergency response planning

Document control

Objective

Describe how the manual(s) will be kept up to date and how the organization will ensure that all personnel involved in safety-related duties have the most current version.

Criteria

- a. Hard copy or controlled electronic media and distribution list.
- b. The correlation between the SMS manual and other existing manuals such as the maintenance control manual (MCM) or the operations manual.
- c. The process for periodic review of the manual and its related forms/documents to ensure their continuing suitability, adequacy and effectiveness.
- d. The manual's administration, approval and regulatory acceptance process.

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Cross-reference documents

Quality manual, engineering manual, etc.

Reference to any applicable regulatory SMS requirements

Objective

Address current SMS regulations and guidance material for necessary reference and awareness by all concerned.

Criteria

- a. Spell out the current SMS regulations/standards. Include the compliance timeframe and advisory material references as applicable.
- b. Where appropriate, elaborate on or explain the significance and implications of the regulations to the organization.
- c. Establish a correlation with other safety-related requirements or standards where appropriate.

Cross-reference documents

SMS regulation/requirement references, SMS guidance document references, etc.

Scope and integration of the safety management system

Objective

Describe the scope and extent of the organization's aviation-related operations and facilities within which the SMS will apply. The scope of the processes, equipment and operations deemed eligible for the organization's hazard identification and risk management (HIRM) programme should also be addressed.

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Criteria

- a. out the nature of the organization's aviation business and its position or role within the industry as a whole.
- b. Identify the major areas, departments, workshops and facilities of the organization within which the SMS will apply.
- c. Identify the major processes, operations and equipment which are deemed eligible for the organization's HIRM programme, especially those which are pertinent to aviation safety. If the scope of the HIRM-eligible processes, operations and equipment is too detailed or extensive, it may be controlled under a supplementary document as appropriate.
- d. Where the SMS is expected to be operated or administered across a group of interlinked organizations or contractors, define and document such integration and associated accountabilities as applicable.
- e. Where there are other related control/management systems within the organization, such as QMS, OSHE and SeMS, identify their relevant integration (where applicable) within the aviation SMS.

Cross-reference documents

Quality manual, engineering manual, etc.

Safety policy

Objective

Describe the organization's intentions, management principles and commitment to improving aviation safety in terms of the product or service provider. A safety policy should be a short description similar to a mission statement.

Criteria

- a. The safety policy should be appropriate to the size and complexity of the organization.
- b. The safety policy states the organization's intentions, management principles and

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commitment to continuous improvement in aviation safety.

- c. The safety policy is approved and signed by the accountable executive.
- d. The safety policy is promoted by the accountable executive and all other managers.
- e. The safety policy is reviewed periodically.
- f. Personnel at all levels are involved in the establishment and maintenance of the safety management system.
- g. The safety policy is communicated to all employees with the intent that they are made aware of their individual safety obligations.

Cross-reference documents

OSHE safety policy, etc.

Safety objectives

Objective

Describe the safety objectives of the organization. The safety objectives should be a short statement that describes in broad terms what the organization hopes to achieve.

Criteria

- a. The safety objectives have been established.
- b. The safety objectives are expressed as a top-level statement describing the organization's commitment to achieving safety.
- c. There is a formal process to develop a coherent set of safety objectives.
- d. The safety objectives are publicized and distributed.
- e. Resources have been allocated for achieving the objectives.
- f. The safety objectives are linked to safety indicators to facilitate monitoring and measurement where appropriate.

Cross-reference documents

Safety performance indicators document, etc.

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Safety accountabilities and key safety personnel

Objective

Describe the safety authorities, responsibilities and accountabilities for personnel involved in the SMS.

Criteria

- The accountable executive is responsible for ensuring that the safety management system is properly implemented and is performing to requirements in all areas of the organization.
- An appropriate safety manager (office), safety committee or safety action groups have been appointed as appropriate.
- Safety authorities, responsibilities and accountabilities of personnel at all levels of the organization are defined and documented.
- All personnel understand their authorities, responsibilities and accountabilities with regard to all safety management processes, decisions and actions.
- An SMS organizational accountabilities diagram is available.

Cross-reference documents

Company exposition manual, SOP manual, administration manual, etc.

Voluntary and mandatory safety reporting system processes and procedures;

Objective

Reporting systems should include both reactive (accident/incident reports, etc.) and proactive/predictive (hazard reports). Describe the respective reporting systems. Factors to consider include: report formats, confidentiality, addressees, investigation/evaluation procedures, corrective/preventive actions and report dissemination.

Criteria

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- a. The organization has a procedure that provides for the capture of internal occurrences including accidents, incidents and other occurrences relevant to SMS.
- b. A distinction is to be made between mandatory reports (accidents, serious incidents, major defects, etc.), which are required to be notified to the CAA, and other routine occurrence reports, which remain within the organization.
- c. There is also a voluntary and confidential hazard/occurrence reporting system, incorporating appropriate identity/data protection as applicable.
- d. The respective reporting processes are simple, accessible and commensurate with the size of the organization.
- e. High-consequence reports and associated recommendations are addressed to and reviewed by the appropriate level of management.
- f. Reports are collected in an appropriate database to facilitate the necessary analysis.

Cross-reference documents

-

Hazard identification and safety risk assessment processes and procedures

Objective

Describe the hazard identification system and how such data are collated. Describe the process for the categorization of hazards/risks and their subsequent prioritization for a documented safety assessment. Describe how the safety assessment process is conducted and how preventive action plans are implemented.

Criteria

- a. Identified hazards are evaluated, prioritized and processed for risk assessment as appropriate.
- b. There is a structured process for risk assessment involving the evaluation of severity, likelihood, tolerability and preventive controls.
- c. Hazard identification and risk assessment procedures focus on aviation safety as

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their fundamental context.

- d. The risk assessment process utilizes worksheets, forms or software appropriate to the complexity of the organization and operations involved.
- e. Completed safety assessments are approved by the appropriate level of management.
- f. There is a process for evaluating the effectiveness of the corrective, preventive and recovery measures that have been developed.
- g. There is a process for periodic review of completed safety assessments and documenting their outcomes.

Cross-reference documents

-

Safety investigation procedures;

Objective

Describe how accidents/incidents/occurrences are investigated and processed within the organization, including their correlation with the organization's SMS hazard identification and risk management system.

Criteria

- a. Procedures to ensure that reported accidents and incidents are investigated internally.
- b. Dissemination of completed investigation reports internally as well as to the CAA as applicable.
- c. A process for ensuring that corrective actions taken or recommended are carried out and for evaluating their outcomes/effectiveness.
- d. Procedure on disciplinary inquiry and actions associated with investigation report outcomes.
- e. Clearly defined conditions under which punitive disciplinary action would be considered (e.g. illegal activity, recklessness, gross negligence or wilful misconduct).

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- f. A process to ensure that investigations include identification of active failures as well as contributing factors and hazards.
- g. Investigation procedure and format provides for findings on contributing factors or hazards to be processed for follow-up action by the organization's hazard identification and risk management system where appropriate.

Cross-reference documents

-

Procedures for establishing and monitoring safety performance indicators

Objective

Describe the safety performance monitoring and measurement component of the SMS. This includes the organization's SMS safety performance indicators (SPIs).

Criteria

- a. The formal process to develop and maintain a set of safety performance indicators and their associated performance targets.
- b. Correlation established between the SPIs and the organization's safety objectives where applicable and the process of regulatory acceptance of the SPIs where required.
- c. The process of monitoring the performance of these SPIs including remedial action procedure whenever unacceptable or abnormal trends are triggered.
- d. Any other supplementary SMS or safety performance monitoring and measurement criteria or process.

Cross-reference documents

-

SMS training process, procedures and communication

Objective

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Describe the type of SMS and other safety-related training that staff receive and the process for assuring the effectiveness of the training. Describe how such training procedures are documented. Describe the safety communication processes/channels within the organization.

Criteria

- The training syllabus, eligibility and requirements are documented.
- There is a validation process that measures the effectiveness of training.
- The training includes initial, recurrent and update training, where applicable.
- The organization's SMS training is part of the organization's overall training programme. SMS awareness is incorporated into the employment or indoctrination programme.
- The safety communication processes/channels within the organization.

Cross-reference documents

-

Internal audit procedures

Objective

Describe the process for the continuous review and improvement of the SMS.

Criteria

- The process for regular internal audit/review of the organization's SMS to ensure its continuing suitability, adequacy and effectiveness.
- Describe any other programmes contributing to continuous improvement of the organization's SMS and safety performance, e.g. MEDA, safety surveys, ISO systems.

Cross-reference documents

-

Management of change procedures

Objective

Describe the organization's process for managing changes that may have an impact on safety

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risks and how such processes are integrated with the SMS.

Criteria

- a. Procedures to ensure that substantial organizational or operational changes take into consideration any impact which they may have on existing safety risks.
- b. Procedures to ensure that appropriate safety assessment is performed prior to introduction of new equipment or processes which have safety risk implications.
- c. Procedures for review of existing safety assessments whenever there are changes to the associated process or equipment.

Cross-reference documents

Company SOP relating to management of change, etc.

SMS documentation management procedures

Objective

Describe the method of storing all SMS-related records and documents.

Criteria

- a. The organization has an SMS records or archiving system that ensures the retention of all records generated in conjunction with the implementation and operation of the SMS.
- b. Records to be kept include hazard reports, risk assessment reports, safety action group/safety meeting notes, safety performance indicator charts, SMS audit reports and SMS training records.
- c. Records should be traceable for all elements of the SMS
- d. routine administration of the SMS as well as internal and external audits purposes.

Coordination of emergency response plan

Objective

Describe the organization's intentions regarding, and commitment to dealing with, emergency

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situations and their corresponding recovery controls. Outline the roles and responsibilities of key personnel. The emergency response plan can be a separate document or it can be part of the SMS manual.

Criteria (as applicable to the organization)

- a. The organization has an emergency plan that outlines the roles and responsibilities in the event of a major incident, crisis or accident.
- b. There is a notification process that includes an emergency call list and an internal mobilization process.
- c. The organization has arrangements with other agencies for aid and the provision of emergency services as applicable.
- d. The organization has procedures for emergency mode operations where applicable.
- e. There is a procedure for overseeing the welfare of all affected individuals and for notifying next of kin.
- f. The organization has established procedures for handling the media and insurance-related issues.
- g. There are defined accident investigation responsibilities within the organization.
- h. The requirement for preservation of evidence, securing the affected area, and mandatory/governmental reporting is clearly stated.
- i. There is emergency preparedness and response training for affected personnel.
- j. A disabled aircraft or equipment evacuation plan has been developed by the organization in consultation with aircraft/equipment owners, aerodrome operators or other agencies as applicable.
- k. A procedure exists for recording activities during an emergency response.

Cross-reference documents

ERP manual, etc.

SMS Manual also includes the compilation and maintenance of operational records substantiating the existence and ongoing operation of the SMS. Operational records are the outputs of the SMS

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processes and procedures such as the Safety Risk Management (SRM) and safety assurance activities. SMS operational records should be stored and kept in accordance with existing retention periods. Typical SMS operational records should include:

- a) hazards register and hazard/safety reports;
- b) SPIs and related charts;
- c) record of completed safety risk assessments;
- d) SMS internal review or audit records;
- e) internal audit records;
- f) records of SMS/safety training records;
- g) SMS/safety committee meeting minutes;
- h) SMS implementation plan (during the initial implementation); and
- i) Gap analysis to support implementation plan.

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Appendix I – Enforcement Policy



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Enforcement Policy

The Enforcement Policy is adopted in satisfying one of the many requirements associated with the establishment of a State Safety Programme which the Civil Aviation Authority of Sri Lanka is required to set up in pursuance of Section 116 of the Civil Aviation Act No. 14 of 2010.

Purpose

The enforcement policy of Civil Aviation Authority of Sri Lanka (CAASL) is aimed at promoting compliance with aviation safety regulations and requirements through enforcement functions in an equitable manner.

The implementation of safety management systems (SMS) requires the CAASL to have an equitable and discretionary enforcement approach in order to support the SSP-SMS framework. In order to develop enforcement policies and procedures that allow service providers or operators and individual license holders to deal with, and resolve, certain events involving safety deviations, internally, within the context of the service provider's and operators SMS, and to the satisfaction of the Authority. Intentional contraventions of the Civil Aviation Act and Regulations, Rules, Implementing Standards, Directives and Directions made thereunder will be investigated and may be subject to conventional enforcement action where appropriate. There should be clear provisions in the enforcement framework for due consideration and segregation between premeditated violations from unintentional errors or deviations.

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The enforcement policy statement and associated enforcement procedures apply to service providers, operators and individual license holders operating in accordance with ICAO Annex 1 — Personnel Licensing; Annex 6 — Operation of Aircraft, Part I — International Commercial Air Transport — Aeroplanes, and Part III — International Operations — Helicopters; Annex 8— Airworthiness of Aircraft; Annex 11 — Air Traffic Services; and Annex 14 — Aerodromes, Volume I — Aerodrome Design and Operations and Annex-18-Safe Transport of Dangerous Goods by Air and Annex 19 – Safety Management.

Policy

Each Service provider or an Operator will establish, maintain and adhere to an SMS that is commensurate with the size, nature and complexity of the operations authorized to be conducted under the approval/ certificate issued to him.

To maintain this enforcement policy that supports the implementation of SMS, CAASL inspectors will maintain an open communication channel with service providers and operators.

No information derived from safety data collection and processing systems established under a SMS relating to reports classified as confidential, voluntary or equivalent category, shall be used as the basis for enforcement action, unless in the case of premeditated violations.

When a service provider or an operator operating under a SMS unintentionally contravenes Civil Aviation Act and Regulations, Rules, Implementing Standards, Directives and Directions, specific review procedures will be used. These procedures will allow the CAASL inspector responsible for the oversight of the service provider the opportunity to engage in dialogue with the SMS approved organization.

The objective of this dialogue is to agree on proposed corrective measures and an action plan that adequately addresses the deficiencies that led to the contravention and to afford the service provider or an operator a reasonable time to implement them. This approach aims to

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nurture and sustain effective safety reporting, whereby employees of the Service Provider or Operator, as the case may be, can report safety deficiencies and hazards without fear of punitive action. A service provider or an operator can therefore, without apportioning blame, and without fear of enforcement action, analyze the event and the organizational or individual factors that may have led to it, in order to incorporate remedial measures that will best help prevent recurrence.

CAASL, through the inspector responsible for the oversight of the service provider or operator, will evaluate the corrective measures proposed by the service provider, and/or the systems currently in place to address the event underlying the contravention. If the corrective measures (including any appropriate internal disciplinary actions) proposed are considered satisfactory and likely to prevent recurrence and foster future compliance, the review of the violation should then be concluded with no further punitive enforcement action by the CAASL.

In cases where either the corrective measures or the systems in place are considered inappropriate, CAASL will continue to interact with the service provider and /or Operator to find a satisfactory resolution that would prevent enforcement action. However, in cases where the service provider or operator refuses to address the event and provide effective corrective measures, CAASL will consider taking enforcement action or other administrative action deemed appropriate.

Breaches of aviation regulations may occur for many different reasons, from a genuine misunderstanding of the regulations, to disregard for aviation safety. CAASL has a range of enforcement procedures in order to effectively address safety obligations under the Civil Aviation Act in light of different circumstances. These procedures may result in a variety of actions such as:

1. Counselling;
2. Remedial training; or
3. Issuing warning letters
4. Monetary Penalties

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5. Imposing Conditions (Limitations on the Licenses).
6. Variation, suspension and revocation of license /certificate/ Permit/ authorizations

Enforcement decisions must not be influenced by:

- i. personal conflict;
- ii. personal gain
- iii. considerations such as gender, race, religion, political views or affiliation; or
- iv. personal, political or financial power of those involved.

Proportionality of Responses

Enforcement decisions must be proportional to the identified breaches and the safety risks they underlie, based on three principles:

- a. CAASL will take action against those who consistently and deliberately operate outside Civil Aviation legal framework; and
- b. CAASL will seek to educate and promote training or supervision of those who show commitment to resolving safety deficiencies.
- c. CAASL will give due and equitable consideration to distinguish between premeditated violations from unintentional errors or deviations.

Natural Justice and Accountability

Enforcement decisions must:

- a. be fair and follow due process;
- b. be transparent to those involved;
- c. take into account the circumstances of the case and the attitude/ actions of the service provider, operator or individual when considering action;
- d. be consistent actions/ decisions for like/ similar circumstances; and
- e. be subject to appropriate internal and external review.

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Exceptions

This policy is not applicable if there is evidence of a deliberate effort to conceal non-compliance.

This policy is not applicable if the service provider or an operator fails to maintain an acceptable SMS or its agreed safety performance.

This policy is not applicable if the service provider or an operator is deemed by the CAASL as a recurrent violator.

In the above circumstances, the CAASL may deal with such noncompliance or violations according to established enforcement procedures as deemed appropriate.

Civil Aviation Authority of Sri Lanka

(Name)

Director General of Civil Aviation and Chief Executive Officer

(This policy was approved by the Civil Aviation Authority on 09th April 2013 and hence forms part of the Staff Rules and Administrative Procedures)

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Appendix J – State’s Safety Goals, Safety Performance Targets & Safety Performance Indicators

Safety Goal	Safety Performance Target	Safety Performance Indicators
1. Achieve a continuous reduction of operational safety risks	<p>1.1. No fatal accident (CAT)</p> <p>1.2. No ground fatalities as a result of an aviation accident</p> <p>1.3. No accident with aircraft structural damage (CAT)</p> <p>1.4. 50% reduction of serious incidents</p> <p>1.5. No RI occurrences.</p> <p>1.6. No RE occurrences</p> <p>1.7. No ARC occurrences</p>	<p>A. Fatal accident (CAT) per 10,000 take offs and landings</p> <p>B. Number of ground fatalities per year</p> <p>C. Accident with aircraft structural damage (CAT) per 10,000 take offs and landings .</p> <p>D. Serious incident (CAT) per 10,000 take offs and landings.</p> <p>E. Number of RI per 10,000 take offs and landings.</p> <p>F. Number of RE per 10,000 take offs and landings.</p> <p>G. Number of ARC per 10,000 take offs and landings.</p>
2. Strengthen the State’s safety oversight capabilities based data driven approach	<p>2.1 Sri Lanka to improve its score for the effective implementation (EI) of the critical elements (CEs) of the State’s safety oversight system (with focus on priority PQs) as follows: by 2025 – up to 89 per cent by 2028 –up to 93 per cent by 2030 – up to 95 per</p>	<p>A. Achieving of overall EI score as per the timelines.</p> <p>B. Percentage of required corrective action plans (CAPs) submitted by Sri Lanka (using OLF).</p> <p>C. Percentage of completed CAPs.</p> <p>D. Percentage of filling of differences.</p>



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	cent 2.2 100% completion of all Priority PQs self-assessment.	E. Number self -assessments completed for priority PQs by Sri Lanka.
	2.3 Sri Lanka to ensure no Significant Safety Concerns (SSCs) raised under the USOAP Continuous Monitoring Approach (CMA).	A. Number of ICAO significant safety concern Audit findings.
	2.4 100% Safety surveillance achieved against schedule.	Safety surveillance events completed per year.
	2.5 Develop and maintain a mechanism for data collection, analysis and sharing among all stake holders by 2025.	Number of MOR received each year Number of Voluntary reports each year Industry Safety data reports Surveillance Reports per year
	2.6 Sri Lanka to establish an independent accident and incident investigation authority (AAIB) as required by ICAO Annex 13 by 2025.	A. Establishment of an independent accident and incident investigation Bureau (AAIB) as required by ICAO Annex 13.
Goal 3: Implement effective State safety programmes (SSPs) and Safety Management System (SMS)	3.1: Sri Lanka to implement the foundation of SSP by 2023.	A. Foundational SSP PQs self-assessment (%) B. Percentage of satisfactory SSP foundational PQs
	3.2: Sri Lanka to attain 100% SSP PQs implementation at “present” level by 2025. - 40% completion by 2023 - 100% completion by 2025	A. Number of completed SSP PQs (self-assessment) by 2023. B. Number of completed SSP PQ (self-assessment) by 2025.

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	<p>3.3 Sri Lanka to implement an effective SSP at maturity level “present & effective” by 2028.</p> <p>- 40% completion by 2025 -100% completion by 2028</p>	<p>A. Number of SSP PQ effectively implemented by 2025.</p> <p>B. Number of SSP PQ effectively implemented by 2028.</p>
Goal 4: Increase collaboration at the regional level	<p>4.1: Sri Lanka to achieve Goal 2 and 3, may use a regional safety oversight mechanism or other safety oversight organizations’ ICAO recognized functions in seeking assistance to strengthen the safety oversight capabilities.</p>	<p>A. Sri Lanka has requested assistance from EU-SA in the following areas;</p> <ul style="list-style-type: none"> a. Aerodrome Regulation b. Operations c. Personnel Licensing
	<p>4.2: Sri Lanka to share information on operational safety risks, including SSP Safety Performance Indicators (SPIs), and emerging issues to Asia Pacific Regional Aviation Safety Group (AP- RASG) on request.</p>	<p>A. Sri Lanka to share information on safety risks to RASGs</p> <p>B. Sri Lanka sharing its SSP SPIs with RASGs</p> <p>C. Sri Lanka forwarding information on safety matters to ICAO, RASGs, States or other stakeholders.</p>
Goal 5: Expand the use of industry programmes and safety information sharing networks by service providers	<p>5.1: Establish a national safety information sharing networks by 2025.</p>	<p>A. Establishment of safety data collection and processing systems (SDCPS) to facilitate participation in a safety information-sharing network.</p> <p>B. Number of service providers & Operators contributing to an SDCPS or a safety information sharing network.</p> <p>C. Percentage of service providers participating in the corresponding ICAO-recognized industry assessment programmes.</p>
Goal 6: Ensure Sri Lanka has the appropriate	<p>6.1: Sri Lanka to implement the Air Navigation Plan and</p>	<p>A. Implementation of first phase of Air Navigation Plan by end of 2024.</p>

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infrastructure (physical and institutional) to support safe operations	airport infrastructure development by 2025.	B. Completion of Terminal II development project by end of 2025.
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Appendix K – Legislation, Regulation, Aviation Safety Notices (ASNs), Implementing Standards (IS), SLCAP Manuals, and Advisory Circulars (ACs) issued by CAASL

K-1. Legislation and Regulations on Safety Oversight

Subject	Gazette No.	Issue Date
Civil Aviation Authority of Sri Lanka Act No 34 of 2002		18 Dec 2002
Civil Aviation Act No 14 of 2010		03 Nov 2010
Civil Aviation (amendment) Act No 12 of 2018		21 May 2018
Carriage by Air Act, No. 29 of 2018		28 Sept 2018
Ceylon Air Navigation Regulations, 1955	10812	01 Jul 1955
Air Navigation Regulations, 1956	10946	15 Jun 1956
Air Navigation Regulations, 1957	11128	07 Jun 1957
Colombo International Airport (Katunayake) Regulations of 1968	14/851	25 Apr 1969
Sri Lanka Aerodromes (Zoning) Regulations of 1975	160	15 Apr 1975
Civil Aviation (Interim) Regulations No of 2001	1264/33	28 Nov 2002
Bandaranaike International Airport, Colombo Regulations of 2002	1292/7	10 Jun 2003
Air Navigation (Air Defence) Regulations, No. 01 of 2007	1518/12	09 Oct 2007
Air Transport (Passenger) Tariff Regulations No. 01 of 2008	150/7	22 May 2008
Aircraft Accident Investigation Regulations of Sri Lanka	1742/19	25 Jan 2012
VCRI Protected Area Order No. 01 of 2012	1777/40	26 Sep 2012
Zoning Instructions VCRI No. 01 of 2012		03 Oct 2012
Commissioning of Mattala Rajapaksa International Airport	1795/52	01 Feb 2013
Fees and Charges	1869/32	02 July 2014
The Charges Regulations for the usage of BIA, MRIA and RMA	1869/33	02 July 2014

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Regulations on Grant of Exemptions from the specified requirements relating to Civil Aviation No. 01 of 2014	1273/22	31 Jul 2014
The Charges Regulations for the usage of all Aerodromes except BIA, MRIA and RMA	1972/31	22 June 2016
Regulations on Civil Aviation Safety Management No. 01 of 2018	2065/38	05 Apr 2018
Civil Aviation (Licensing of Personnel and Training Institutions) Regulation No 1 of 2018	2078/22	3 July 2018
Civil Aviation (Classification of Aerodromes) Regulations of 2018	2087/27	06 Sept 2018

K-2. Aviation Safety Notices (ASNs)

ASN no.	Reference no.	Title	Remarks
001	ASN/GEN/1999/00 2	Issue of Aviation Safety Notices	Obsolete
002	ASN/AWS/2010/04	Airworthiness Certification Requirement	Replaced by IS 084
003	ASN/OPS/2000/001	State Limitations in Flight Time, Duty Periods and rest Periods for Flight Crewmembers and Cabin crewmembers and Cabin Crewmembers employed in aircraft/ airlines registered in Sri Lanka for public air transport.	Obsolete
004	ASN/OPS/2001/001	Procedure to be followed by pilot in command in the event of a suspected or actual tyre burst on takeoff	
005	ASN/AWS/2001/00 1	Conversion of the Aircraft Maintenance Engineers (AME) Basic Licence Without Type Rating issued	

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		prior to May 2000 to a AME Basic Licence specific to an aircraft on request.	
006	ASN/AWS/2000/00 7	Personnel Licensing and Training Requirements and Standards Respecting Aircraft Maintenance Engineer Licenses and Ratings.	Obsolete
007	ASN/OPS/2001/002	Mandatory carriage of ACAS II and pressure altitude reporting Transponders in Sri Lanka airspace.	
008	ASN/WS/2006/04	Administrative Procedures for the conduct of Aircraft Maintenance Engineer – Basic Licence (AME-BL) examinations	
009	ASN/AWS/2002/00 1	Flight permits.	Replaced by IS 084
010	ASN/AWS/2002/00 2	Changes to Approved Maintenance Schedule of Aircraft.	Replaced by IS 080
011	ASN/AWS/2002/00 3	Certificate of Airworthiness for Export.	Replaced by IS 61
012	ASN/AWS/2002/00 4	Weight and balance requirements for aircraft.	Replaced by IS 085
013	ASN/OPS/2002/001	Introduction of Safety and Security measures to prevent any person having access to the flight deck to interfere with the safe operation of the aircraft.	
014	ASN/AWS/2002/00 5	Service Difficulty Reporting (SDR) Programme	Replaced by Directive 014
015	ASN/AWS/2002/00	Mandatory Bulletins and Notices.	Replaced

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	6		by IS 094
016	ASN/AWS/2002/00 7	Operations Derived Equipment Requirements	Replaced by IS 095
017	ASN/AWS/2005/00 1	Approval Procedures- Modification /Repairs	Replaced by IS 084
018	ASN/OPS/2002/002	Development of a regulatory frame work for implementation of GPS for the use in Sri Lanka airspace as an Navigational /approach aid.	
019	ASN/AWS/2002/00 9	Validation of Foreign Approved Maintenance Organizations.	
020	ASN/AWS/2002/10	Aircraft Maintenance Engineers "Basic Licence, AME (BL),Examination 01st June 2002	Obsolete
021	ASN/AWS/2002/01 1	Personnel Certification for Non Destructive Testing of Aircraft Engines, Components and materials	Replaced by Directive 008
022	ASN/AWS/2002/01 2	Certification of Aircraft Welders.	Replaced by Directive 012
023	ASN/OPS/2010/011	Limitations for flight time, flight duty periods, duty periods and Rest periods for fatigue management of Flight Crew members and Cabin Crew Members employed in aircraft/airlines registered in Sri Lanka for public air transport.	Amended by IS 054
024	ASN/GEN/2002/00 1	Voluntary Disclosure Reporting Procedures.	
025	ASN/ATS/2010/20	Issue of Aviation Safety Notices.	

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026	ASN/GEN/2002/03	Standardization of the serial numbers of the ASN.	
027	ASN/AWS/2002/13	Manned Hot air Balloons	Replaced by IS 093
028	ASN/PEL/2010/07	Requirements to be satisfied in the Establishment, Operation and Maintenance of a Flying School in Sri Lanka.	Replaced by IS 067
029	ASN/OPS/2003/01	Requirements to be satisfied by applicants seeking authorization from DGCA for aerial work operations special Aviation Events-Balloon Festival.	
030	ASN/OPS/2003/02	Mandatory carriage of EGPWS{(Enhanced Ground Proximity Warning System) GPWS with predictive terrain hazard Warning} in aircraft landing/taking off from any airfield in Sri Lanka.	
031	ASN/OPS/2003/03	Disinfection of Aircraft operating to Sri Lanka	
032	ASN/OPS/2003/04	Communication, Navigation and Surveillance equipment to be carried in Sri Lanka registered aircraft and foreign registered aircraft operated by Sri Lanka AOC holder/Flying School Licence holder/Private operator authorization holder.	
033	ASN/AWS/2003/01	Guidelines for Aircraft Registration air Craft Nationality and Registration Marks	Replaced by IS 086
034	ASN/AWS/2003/02	Import / Export of Aircraft Spares.	Replaced by Directive 011
035	ASN/OPS/2003/05	State limitations for Duty Time, Flight time and Rest periods for Flight Crew members, Cabin Crew members and Cabin Wardens employed by holders	

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		of Airline Licences issued by the DGCA for Operations of Domestic passenger Air Services.	
036	ASN/PEL/2011/06	General provisions and requirements and procedures to render valid a Flight Crew Licence and Ratings and convert a Foreign Flight Crew Licence and Ratings into a a Sri Lankan Flight Crew Licence and Ratings.	Replaced by IS 08
037	ASN/AWS/2003/03	Guidelines for aircraft acceptance for importation.	Replaced by Directive 09
038	ASN/GEN/2010/01	Application for Joint Aviation Requirements in Sri Lanka to secure compliance with ICAO requirement relating to Personnel Licensing, Operation of Aircraft and Airworthiness.	
039	ASN/OPS/2004/01	General Requirements to be satisfied by Aircraft Engaged in Commercial Air Transport Operations.	Replaced by IS 12
040	ASN/OPS/2004/02	Standardization of the serial numbers of Manuals published by CAA.	
041	ASN/GEN/2004/02	Banning smoking on Civil Aircraft.	Replaced by IS 74
042	ASN/OPS/2004/03	Requirements for Flight Operation of aircraft used for Commercial Air Transport Operation.	Replaced by I S 13
043	ASN/OPS/2004/04	a. Introduction of safety and security measures to prevent unauthorized persons having access to the flight deck to interfere with a safe OPS of Aircraft. b. Occupation of flight deck observer	Replaced by IS 33

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		seats and cabin crew seats by non revenue passengers , other than members of operating crew	
044	ASN/OPS/2010/01	Requirement for Operating Limitations of aircraft used for commercial Air Transport Operations	Replaced by IS 14
045	ASN/OPS/2006/13	Requirements for Maintenance of aircraft engaged in Commercial Air Transport Operations.	Replaced by IS 17
046	ASN/OPS/2010/04	Requirements for Aircraft Communication and Navigation equipment for Commercial Air transport Operations.	Replaced by IS 16
047	ASN/OPS/2010/02	Requirement for Flight Crew of Commercial Air Transport Operations.	Replaced by IS 18
048	ASN/OPS/2010/13	Requirement for flight Operations Officer/Flight dispatcher for Commercial Air transport Operations	Replaced by IS 19
049	ASN/OPS/2010/14	Requirements for Manuals, Logs and Records used for Commercial Air Transport of Operations.	Replaced by IS 20
050	ASN/OPS/2004/11	Requirement for Flight Operation of aircraft used for Commercial Air transport of Operations	Obsolete
051	ASN/OPS/2004/12	Requirements for Cabin Crew used for Commercial Air Transport of Operations	Replaced by IS 21
052	ASN/OPS/2010/15	Requirements for Security used for Commercial Air Transport of Operations.	Replaced by IS 22
053	ASN/OPS/2010/06	Requirements for Aircraft Instruments, Equipment and Flight Documents for Commercial Air Transport Operations.	Replaced by IS 15
054	ASN/PEL/2011/02	Personnel Licensing Requirements – Definitions & General Rules	Replaced by IS 50
055	ASN/PEL/2011/03	Personal Licensing Requirements - Licences and	Replaced

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		Ratings for pilots	by IS 51
056	ASN/PEL/2009/05	Personnel Licensing Requirements and procedures - Licenses for Flight Navigators, Flight Engineers & Flight Radio Telephone Operators	Replaced by IS 43
057	ASN/PEL/2011/04	Personnel Licensing Requirements - Flight Operations Officers/Flight Dispatcher License	Replaced by IS 49
058	ASN/PEL/2009/06	Personnel Licensing Requirements & Procedures - Specifications for Personnel Licences.	Replaced by IS 68
059	ASN/PEL/2009/11	Personnel Licensing Requirements – Medical Provisions for licensing	Replaced by IS 036
060	ASN/AWS/2010/03	Aircraft Noise Certification	Replaced by IS 081
061	ASN/AWS/2004/02	Procedure for Certification and Continuing Airworthiness	Replaced by IS 080
062	ASN/PEL/2010/09	Issuance of Civil Pilot License on Recognition of Military Flying Experience.	Replaced by IS 69
063	ASN/OPS/2009/02	Guidance for operators for conducting constant descent final approach (CDFA) / stabilized approach for Non-precision approaches	
064	ASN/OPS/2005/01	Requirements to prepare Minimum Equipment List (MEL) as per ASN 053 paragraph 1.2.	Obsolete
065	ASN/AWS/2005/02	Airworthiness Directives (AD) Mandatory Modifications / Inspections	Replaced by IS 080 and IS 094
066	ASN/OPS/2005/03	Guidance for operations on training programmes for the use of terrain awareness and warning	

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		systems (TAWS)	
067	ASN/OPS/2005/04	Standard operating procedures for Flight Deck Crew Members	
068	ASN/OPS/2005/05	Crew Resource Management Training	
069	ASN/OPS/2005/06	Communication And coordination Between Flight and Cabin Crews members.	
070	ASN/OPS/2005/07	Line Operational Simulations: Line Oriented Flight Training, Special Purpose Operational Training.	
071	ASN/OPS/2005/08	Dispatcher / Flight Operations Officer Resource Management Training	
072	ASN/OPS/2005/09	Development of Safety Department	
073	ASN/OPS/2005/10	Establishment of a Flight Data Analysis (FDA) Programme	
074	ASN/OPS/2005/11	Requirements to be considered in establishment of a Flight Safety Documents System	
075	ASN/OPS/2005/12	Information to Operators on RNAV (GNSS) Non Precision Approach Procedures based on GPS	
076	ASN/OPS/2005/13	Requirements to be considered for Approach and Landing Accident Reduction (ALAR) and Controlled Flight into Terrain (CFIT) Prevention Training	
077	ASN/OPS/2009/01	Requirements for handling or carriage of Dangerous Goods by air.	Replaced by IS 09
078	ASN/OPS/2005/18	Access to information on Aircraft Manufacturer's Website	
079	ASN/AWS/2010/01	Aircraft engine emissions	Replaced by IS 082
080	ASN/OPS/2010/09	Requirements for Operators engaged in general	Replaced

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		aviation operating into, out of or within Sri Lanka	by IS 23
081	ASN/OPS/2010/05	Definitions for terms used in Aviation Safety Notices issued by DGCA for Commercial Air Transport Operations	Replaced by IS 11
082	ASN/OPS/2005/17	Guidance for operators for the issuance of Cabin Crewmember Certificates	Replaced by IS 21
083	PEL/2011/01	Requirements and Standards Relating to Issue and Renewal of Aircraft Maintenance Licenses and Aircraft Type Ratings	Replaced by IS 066
084	ASN/AWS/2005/05	Requirements for the Establishment and Operation of Approved Maintenance Training Organizations(AMTO)	Replaced by IS 065
085	ASN/AWS/2006/01	Requirements for the Establishment of facilities for the maintenance of aircraft registered in Sri Lanka.	Replaced by IS 080
086	ASN/ATS/2010/10	Rules of the Air in Sri Lanka Airspace	Replaced by IS 26
087	ASN/ATS/2006/02	Visual Signals to be used in Aerodrome Traffic	Replaced by IS 26
088	ASN/ATS/2006/03	General Operating rules for the Unmanned free balloons	Replaced by IS 26
089	ASN/OPS/2006/06	Requirements for grant of Basic RNAV (RNP-5) Approval	
090	ASN/ATS/2010/19	Requirements to be satisfied for the provision of Aeronautical Information Services in Sri Lanka	Replaced by IS 28
091	ASN/ATS/2006/05	Requirements to be satisfied for the provision of Air Traffic Services in Sri Lanka	Replaced by IS 25
092	ASN/GEN/2007/01	Safety Management Requirements to be satisfied by the ATS Service Providers, Aerodrome	Superseded by IS 70

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		Operators, Aircraft Operators and Aircraft maintenance Organization in Sri Lanka	
093	ASN/ATS/2010/04	Implementation of the standards of the ICAO Annex 05, “Units of Measurement to be used in Air and Ground Operations”	Replaced by IS 03
094	ASN/AWS/2006/02	Requirements for the Establishment of an Approved maintenance Organization (145 Approval)	Replaced by IS 056
095	ASN/OPS/2006/07	Requirements for the approval of reduced vertical separation minimum (RVSM) as per ASN 046 paragraph 2.4	
096	ASN/ATS/2007/02	Requirement to be satisfied by the aerodrome operators for the certification of aerodrome in Sri Lanka	Replaced by IS 37
097	ASN/AWS/2010/01	Administrative procedures for the conduct of Aircraft maintenance license examination (AML) and conversion of existing aircraft maintenance engineers basic License (AME-BL) to AML	
098	ASN/ATS/2007/01	Requirements to be satisfied by the Aeronautical Information Service Provider for provision of Electronic Terrain and Obstacle data	Replaced by IS 28
099	ASN/ATS/2007/02	Aerodrome Standards to be satisfied by the Aerodrome Operators in Sri Lanka.	Replaced by IS 30
100	ASN/ATS/2007/04	Standards on Aeronautical Charts to be satisfied by the Air Navigation Service Providers and Aerodrome Operators in Sri Lanka	Replaced by IS 31
101	ASN/PEL/2008/02	Language proficiency requirement for a radio telephony communication	Replaced by IS 92

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102	ASN/AWS/2008/01	Requirements for calibration of flight data recorders and cockpit voice recorders	Replaced by IS 063
103	ASN/OPS/2008/01	Guidance for maintaining the effectiveness of ground proximity warning system (GPWS) equipment	
104	ASN/OPS/2008/03	Guidance for operational procedures and training requirements of airborne collisions avoidance system (ACAS) equipment	
105	ASN/ATS/2008/06	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 observation.	Replaced by IS 42
106	ASN/ATS/2008/07	Registration of 406MHz Beacons used in aircraft registered in Sri Lanka	
107	ASN/ATS/2010/01	Aviation Occurrences Reporting System Mandatory/ Voluntary occurrence reporting system for all Operations and establishment of an accident and incident reporting system and Data Base	Replaced by IS 06
108	ASN/ATS/2010/18	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	Replaced by IS 87
109	ASN/OPS/2009/08	Guidance on Flight crew procedures during taxi operations	
110	ASN/OPS/2009/09	Guidance on single pilot procedures during taxi operations.	
111	ASN/PEL/2010/04	Personnel Licensing requirements – Aeronautical	Replaced

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		station operators	by IS 48
112	ASN/PEL/2011/05	Personnel licensing requirements –License and ratings for Air traffic Controllers	Replaced by IS 55
113	ASN/ATS/2010/01	Requirements to be satisfied for the provisions of Aeronautical Telecommunication in Sri Lanka.	Replaced IS 38
114	ASN/ATS/2010/02	Requirements to be satisfied for the provision of Radio Navigational Aids in Sri Lanka	Replaced IS 34
115	ASN/ATS/2010/03	Requirements to be satisfied for the provision of Digital Data Communication Systems in Sri Lanka.	Replaced by IS 39
116	ASN/ATS/2010/04	Requirements to be satisfied for the provision of Voice Communication System in Sri Lanka	Replaced by IS 40
117	ASN/ATS/2010/05	Requirements to be satisfied for the Utilization of Aeronautical Radio Frequency Spectrum in Sri Lanka	Replaced IS 44
118	ASN/ATS/2010/06	Requirements to be satisfied in Surveillance and Collisions Avoidance system in Sri Lanka	Replaced IS 047
119	ASN/OPS/2010/08	Requirements and Guidelines for Lease and Charter Operations of Aircraft Engaged in Commercial Air Transport Operations	This ASN shall be read with IS 004 Replaced by IS 91
120	ASN/AWS/2010/02	Authenticity and Serviceability of Aircraft Parts	Superseded by Directive 13
121	ASN/OPS/2010/10	Requirements for Documents, Equipment, Number and description of the Operating Crew	Replaced by IS 20
122	ASN/PEL/2010/06	Requirements for Maintenance of Continuous	Replaced



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		Validity, Renewal and Reactivation of Pilot License (Aero Plane, Helicopter, Powered – Lift, Air Ship, Balloon and Glider) and Ratings	by IS 71
123	ASN/OPS/2010/17	Requirements for Helicopters engaged in Commercial and General Aviation Operations.	
124	ASN/ATS/2010/11	Standards of Search and Rescue in Sri Lanka	Replaced by IS 29
125	ASN/ATS/2010/15	Requirements to be Satisfied by the Service Provider responsible for the Provisions of Aeronautical Meteorology Service	Replaced by IS 87
126	ASN/ATS/2010/16	The entities responsible for the Establishment of Rescue coordination centers in Sri Lanka	Replaced by IS 87
127	ASN/OPS/2010/16	Requirements for Approval of Safety Training Instructors and Safety Training Programmes	Replaced by GD 007
128	ASN/AWS/2010/05	Replacement of JAR Ops 1 by EU OPs	Replaced by IS 095
129	ASN/OPS/2010/18	Requirements to comply with the instructions in the event of an interception /flying over airspace of foreign State	
130	ASN/ATS/2010/22	Criteria to be followed to establishment of Aerodrome operating minima in Development of Instrument Flight Procedures	Replaced by IS 87



K.3. Implementing Standards

Serial No.	Title	Current Edition	Effective Date	Remarks
SN.001 (CA-IS-2010-GEN-)	General	Rev. 00	27.10.2010	New
SN.002 (IS-6-(I)-3.3.4)	Implementation of Flight Safety Documents System	Rev. 01	05.04.2018	New
SN.003 (IS-05-All)	Units of Measurements to be used in Air and Ground Operations	Rev. 01	26.05.2020	Replaced Implementing Standard No. 003, First Edition, 2005
SN.004 (IS-6-(I)-3.3.4)	Recognition of Licenses and Certificates issued for Aircraft Operating under Article 83 Biz Agreements	Rev. 00	28.04.2011	Supplements Aviation safety Notice no. 119
SN.005 (CA-IS-2016-GEN-)	Exemptions from the Application of Requirements	Rev. 01	28.07.2016	Replaced Implementing Standard no. 005, Rev.
SN.006 (CA-IS-2011-GEN-004)	Aviation Occurrence Reporting System	Rev. 00	12.09.2011	Replaced Aviation safety Notice no. 107
SN.007 (CA-IS-2012-OPS-001)	Compliance to Annex 09 - Facilitation	Rev. 00	15.03.2012	New
SN.008 (IS-1-1.2.2)	General Provisions and Requirements and Procedures to render valid a Foreign Flight Crew License and Ratings and, to Convert a Foreign License and Ratings into a Sri Lankan Flight Crew License and Ratings.	02nd ed., Rev. 01	31.07.2020	Replaced Implementing Standard no. 008, 02nd Ed., Rev.00
SN.009 (IS-18-all,IS-6-(i)-14)	Compliance to Annex 18 – The Safe Transport of Dangerous Goods by Air, Annex 6 Part I Chapter 14 - Dangerous Goods	02nd Ed Rev. 01	30.04.2022	Replaces Implementing Standards No. 009, 2nd Ed, Rev 01
SN.010 (CA-IS-OPS-)	Flight Simulator Approvals & Qualification	Rev. 00	02.10.2012	New

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SN.011 (IS-6-(i)-1)	Compliance to Annex 06 - Part 1– Chapter 01 - Definitions	Rev. 00, 2 nd Ed.	28.11.2022	Replaced Implementing Standard no. 011, 01 st Ed., Rev.02
SN.012 (IS-6-(I)-3)	Compliance to Annex 06 - Part I– Chapter 03 - General Requirements	Rev.00, 2 nd Ed.	28.11.2022	Replaced Implementing Standard no. 012, 01 st Ed., Rev.01
SN.013 (CA-IS-6-(I)-04)	Compliance to Annex 06 - Part I– Chapter 04 - Flight Operations	Rev.00, 2 nd Ed	28.11.2022	Replaced Implementing Standard no. 013, 01 st Ed., Rev.01
SN.014 (IS-6-(I)-5)	Compliance to Annex 06 - Part I– Chapter 05 - Aero Plane Performance Operating Limitations	Rev. 00 2 nd Ed	10.01.2023	Replaced Implementing Standard no. 014, 01 st Ed., Rev.01
SN.015 (CA-IS-6-(i)-06)	Compliance to Annex 06 - Part I– Chapter 06 - Aero Plane Instruments, Equipment and Flight Documents	Rev. 01	14.03.2018	Superseded Implementing Standard no. 058
SN.016 (IS-6-(i)-7)	Compliance to Annex 06 - Part I– Chapter 07 - Requirements for Aircraft Communication and Navigation Equipment	Rev. 00 2 nd Ed	10.01.2023	Implementing Standard no. 016, 1 st Ed., Rev 01
SN.017 (IS-6-(i)-8)	Compliance to Annex 06 - Part I– Chapter 08 - Aircraft Maintenance	Rev. 00 2 nd Edition	10.01.2023	Implementing Standard no. 017, 1 st Ed., Rev 02
SN.018 (IS-6-(i)-9)	Compliance to Annex 06 - Part I– Chapter 09 - Aero Plane Flight Crew	Rev. 00	10.01.2023	Implementing Standard no. 018, 1 st Ed., Rev 02
SN.019 (IS-6-(i)-10)	Compliance to Annex 06 - Part I– Chapter 10 - Flight Operations Officer/ Flight Dispatcher	Rev. 00	10.01.2023	Implementing Standard no. 019, 1 st Ed., Rev 01
SN.020 (IS-6-(i)-11)	Compliance to Annex 06 - Part I– Chapter 11 - Manuals, Logs & Records	Rev. 00 2 nd Ed	10.01.2023	Implementing Standard no. 020, 1 st Ed., Rev 01
SN.021 (IS-6-(I)-12)	Conformance to Annex 06 - Part I– Chapter 12 - Cabin Crew Members	Rev. 00	20.05.2018	Superseded Implementing Standard no. 058

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SN.022 (IS-6(i)-13)	Compliance to Annex 06 - Part I- Chapter 13 - Security	Rev. 00 2 nd Ed	15.02.2018	Implementing Standard no. 022, 1 st Ed., Rev 01
SN.023 (IS-6 (ii))	Compliance to Annex 06 - Part II- International General Aviation – Aero planes	02nd ed.	23.02.2018	Replaced Implementing Standard no.023, Rev 00
SN.024 (CA-IS- 2013-OPS- 002)	Performance Based Navigation	Rev. 00	31.10.2013	New
SN.025 (IS-11-all)	Compliance to Annex 11- Air Traffic Services	03rd Ed., Rev.00.	05.04.2021	Replaced Implementing Standard no. 025, 2nd
SN.026 (IS-2-all)	Compliance to Annex-2 – Rules of the Air	02nd ed. Rev.01	27.05.2020	Replaced Implementing Standard no. 26, 2nd
SN.027 (CA-IS- 2013-OPS- 002)	Electronic Flight Bag	Rev. 00	04.07.2013	New
SN.028 (IS-15-ALL)	Compliance to Annex 15 – Aeronautical Information Services	04th Ed., Rev. 00	09.12.2021	Replaced Implementing Standard no.028 03rd Ed., Rev. 00
SN.029 (IS-12-all)	Compliance to Annex 12 – Search & Rescue	02nd Ed., Rev.01	22.05.2020	Replaced Implementing Standard no.029,2nd
SN.030 (IS-14(I)- ALL)	Aerodrome Standards in Sri Lanka	04th Ed., Rev.00	04.11.2021	Replaced Implementing Standard no.030 3rd
SN.031 (IS-4-all)	Compliance to Annex 04 – CAASL Standards on Aeronautical Charts	Rev. 00 3 rd Ed	16.12.2022	Replaced Implementing Standard no. 31, 2 nd Ed., Rev. 00
SN.032 (CA-IS- 2014-ANS- 005)	Criteria to Regulate the Use of a Pavement by an Aircraft with ACN Higher than the Reported PCN (Overload Operations)	Rev. 00	11.08.2014	New
SN.033 (CA-IS- 2015-OPS- 002)	Admission to Flight Crew Compartment.	Rev.00	11.03.2015	Replaced Aviation Safety Notice 43

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SN.034 (IS-10-(i)-all)	Conformance to Annex-10- Aeronautical Telecommunications Vol. I (Radio Navigation Aids)	03rd Ed., Rev.00	31.03.2021	Replaced Implementing Standard no.034, 2nd Ed., Rev.02
SN.035 (CA-IS- 2015-PEL- 001)	Prohibition of use of Alcohol or Psychoactive substances by personnel holding Licence, Rating or Certificates, engaged in safety and /or security sensitive activities relating to civil aviation	Rev. 01	29.04.2015	Replaced Implementing Standard no. 035,Rev.00
SN.036 (IS-01-06)	Compliance with Annex – 1 - Chapter 6 , Personnel Licensing Medical Requirements	3 rd Ed., Rev. 00	15.03.2022	Replaced Implementing Standard no. 036, 2 nd Ed,Rev.00
SN.037 (CA-IS- 2015-ANS- 001)	Requirements to be Satisfied by the Aerodrome Operators for the Certification of Aerodromes in Sri Lanka	Rev.00 2 nd Ed	15.09.2022	Replaced Implementing Standard no. 037, 1 st Ed,Rev.00
SN.038 (IS-10-(ii) - all)	Conformance to Annex-10- Aeronautical Telecommunications Vol. II (Communication Procedures including those with PANS status)	03rd Ed., Rev.00	01.03.2021	Replaced Implementing Standard no. 038,2nd Ed., Rev.00
SN.039 (IS-10-(iii)- 1)	Conformance to Annex - 10 - Aeronautical Telecommunications Vol. 111 (Part 1) (Digital Data Communication Systems)	03 rd Ed. Rev 00	04.03.2022	Replaced Implementing Standard no. 39,Rev.00, 2 nd Ed
SN.040 (IS-10-(iii)- II-all)	Conformance to Annex - 10 - Aeronautical Telecommunications Vol. 111 (Part 11) (Voice Communication Systems)	03rd Ed., Rev.01	30.04.2021	Replaced Implementing Standard no. 040, 03rd Ed., Rev.00
SN.041 (IS-14(II)- all)	Heliport Standards in Sri Lanka	Rev.00	08.11.2018	Replaced Implementing Standard no. 41,1st Ed.,Rev.00

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SN.042 (IS-03-all)	Conformance to Annex - 3 - Meteorological Service for International Air Navigation	2nd Ed., Rev.00	04.05.2020	Replaced Implementing Standard no. 042, 1st Ed., Rev. 01
SN.043 (CA-IS- 2013-PEL- 003)	Personnel Requirements – Licenses for Flight Navigators, Flight Engineers & Flight Radio Telephone Operators : Compliance to Annex 01 – Chapter 3	Rev. 00	18.11.2013	Replaced Aviation Safety Notice no. 56
SN.044 (IS-10-(v)- all)	Conformance to Annex-10 Aeronautical Telecommunications vol. v (Aeronautical Radio Frequency Spectrum Utilization)	3 rd Ed., Rev.00	01.03.2022	Replaced Implementing Standard no. 044, 2 nd Ed., Rev. 00
SN.045 (IS-6-(i)- 6.2.2, IS 9- 2.11,8.15)	Public Health Emergencies involving Operation of aircraft	02nd ed.	20.12.2019	Replaced Implementing Standard No.45, First Ed.,Rev.00
S.N.046 (CA-IS- 2016-OPS- 001)	Part A - Requirements for Issue of Licence for Ground Handling Arrangements, Facilities and / or Services to Aircraft & Part B - Requirements for Issue of Certificate for Self Ground Handling Arrangements, Facilities and / or Services to Aircraft	2nd Ed., Rev. 00	01.12.2021	Replaced Implementing Standard No. 046, First Edition, Rev 00
SN.047 (IS-10-(iv)- all)	Conformance to Annex-10 Aeronautical Telecommunications vol. IV (Surveillance and Collision Avoidance Systems)	3 rd Ed., Rev. 00	15.11.2022	Superseded Implementing Standard No. 047, 2 nd Edition, Rev 00

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SN.048 (CA-IS-2019-PEL-004)	Compliance with Annex 01-Chapter 4,4.7-4.8- Personal Licensing Requirements - Aeronautical Station Operator License & Aeronautical Meteorological Personnel	Rev.01	06.05.2019	Replaced Implementing Standard No. 048, First Edition, Rev 00
SN.049 (IS-01-4.6)	Compliance with Annex 1 - Chapter - 4, Personnel Licensing Requirements - Flight Operations Officer/Flight Dispatcher Licence	1st Ed., Rev. 02	29.03.2021	Replaced Implementing Standard No.049, First Edition, Rev.01
SN.050 (IS - 1 - 1)	Compliance with Annex 1- Chapter 1, Personnel Licensing Requirements - Definitions and General Rules	03 rd ed., Rev.03	01.04.2022	Replaced Implementing Standard No.050, Second Edition, Rev.03
SN.051 (CA-IS-2015-PEL-003)	Personnel Licensing Requirements- Licence and Rating for Pilots	Rev. 00	29.09.2015	Superseded by Implementing Standard no. 072, First Ed., Rev.00
S.N.052 (CA-IS-2016-GEN-	Voluntary and Confidential Aviation Incident Reporting System	Rev.00	28.11.2016	New
SN.053 (UAS-IS-2022)	Requirements for Operation of Pilotless Aircraft (Unmanned Aerial Vehicles/Unmanned Aircraft Systems/Remotely Piloted Aircraft/Drones)	1st Ed., Rev.03	06.01.2022	Replaced Implementing Standard no. 053,First Edition, Rev.02
SN.054 (IS-6-(I)-4.10)	Limitations on Flight Time, Duty Periods and Rest Periods of Flight Crew Members and Cabin Crew Members Conducting commercial operations	02nd ed. Rev 01	28.11.2022	Replaced Implementing Standard no.054,Rev.00, 2 nd Ed
S.N.055 (IS -1-4)	Compliance with Annex 1- Chapter 4,4.3 -4.5- Personnel Licensing Requirements - Licence and Ratings for Air Traffic Controllers.	1st Ed., Rev.02	29.03.2021	Replaced Implementing Standard No.055 First Edition, Rev 01

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S.N 056 (IS-145)	Requirements to be satisfied by Aircraft Maintenance Organizations for Approval.	Rev.00	01.10.2017	Replaced Aviation Safety Notice no. 094
SN.057 (6-(I)-14)	Compliance to Annex 06 -Part (01) - Chapter 14 - Dangerous Goods	Rev.00	16.01.2017	Replaced by Implementing Standard no.009
S.N.058 (IS 6-(I)-all)	ICAO Annex 6 Part (1) - Operation of Aircraft International Air Transport- Aeroplanes	Rev.00	01.05.2017	Replaced by Implementing Standards no. 11, 12, 13,14,15, 16,17,18, 19, 20, 21, and 22.
S.N.059 (IS 6-(III)-all)	ICAO Annex -6 Part (iii)- Operation of Aircraft International Operations- Helicopters- Helicopters	Rev.00	01.06.2017	New
S.N.060 (IS-09- (1,2,3,6,7,8)	Requirement for Facilities and Services to be Provided Aerodrome Operator	Rev.00	25.07.2017	New
S.N 061 (IS-8-(3)	Certificate of Airworthiness for Export	Rev. 00	19.03.2018	Superseded Aviation Safety Notice No. 11
S.N 062 (IS 6-(i)-4)	Continuing Airworthiness Requirements for EDTO	Rev. 00	21.03.2018	New
S.N 063 (IS 6-(i)-6)	Requirements for Calibration of Flight Data Recorders & Cockpit Voice Recorders	Rev.00	16.03.2018	Superseded Aviation Safety Notice No. 102
S.N.064 (IS-06(i), 10(iii&iv) & 11	Automatic Dependent Surveillance Broadcast Out (ADS-B OUT) Operations	2nd Ed., Rev.00	05.11.2021	Replaced Implementing Standard no.64, First Ed., Rev 00
S.N.065 (SLCAIS- 147)	Requirements to b satisfied by Maintenance Training Organization for Approval	Rev.00	01.12.2017	Replaced Aviation Safety Notice no. 084



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S.N.066 (IS-066)	Personnel Licensing Requirements- Aircraft Maintenance Licence	02nd Ed.	01.11.2017	Replaced Implementing Standard no.066, Rev.00
S.N.067 (IS-ORA)	Requirements for Establishment, Operations and Maintenance of a Flying Training Organization	2nd Ed. Rev.00	11.09.2020	Replaced Implementing Standard no.067, First Ed., Rev.00
S.N.068 (IS-1-5)	Specifications for Personnel Licences	Rev.00 2 nd Ed	09.09.2022. 2017	Replaced Implementing Standard no.068 1 st Ed , Rev.00
S.N.069 (IS – SLAF (ASN 62)	Issuance of Civil Pilot Licences on Recognition of Military Flying Experience	Rev.00	18.01.2018	Replaced Aviation Safety Notice No. 62
S.N.070 (CAA-IS- ASM-2021- 001)	Framework for a Safety Management System (SMS)	2nd Ed., Rev.00	10.11.2021	Replaced Implementing Standard no. 70, First Ed., Rev.00
S.N.071	Requirements for Maintenance of Continuous Validity, Renewal and Re-activation of Pilots Licences (Aeroplane, Helicopter, Powered-lift, Airship, Balloon and Glider) and Ratings. Re-activation of Pilots Licences (Aeroplane, Helicopter, Powered-lift, Airship, Balloon	Rev.00	26.04.2018	Superseded by Implementing Standard no. 072, First Ed., Rev.00
S.N.072 (IS-FCL)	Requirements for Flight Crew Licensing	Rev.00	01.04.2021	Supersedes Implementing Standard no.051 & 071
S.N.074 (CA-IS- 2021-OPS- 074)	Banning smoking on civil aircraft	1st Ed., rev.00	01.12.2021	Supersedes Aviation Safety Notice No. 041
S.N.076	Conduct of Knowledge Examinations for Issuance of Pilot Licences	Rev.00	28.05.2018	New



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S.N.080 (IS-M)	Requirements for Continuing Airworthiness	03rd Ed.	29.10.2021	Replaced Implementing Standard no.080 2nd Ed., Rev.00
S.N.081 (IS-16(i) all	Aircraft Noise	Rev.00	01.01.2018	Repealed and incorporated into Implementing Standard No. 081
S.N.082 (IS-16(ii)-all	Aircraft Engine Emissions	Rev.00	01.01.2018	Repealed and incorporated into Implementing Standard No. 082
S.N.084 IS-21	Technical Requirements and Administrative Procedures for the Airworthiness and Environmental Certification of Aircraft and the acceptability of related products, Parts and appliances (Airworthiness Code of Sri Lanka)	2nd Ed., Rev.00	25.06.2020	Replaced Implementing Standard No.084, First Ed.,Rev.00
S.N.085 (IS-6-(i)-App.2)	Mass and Balance requirements for Aircrafts	Rev.00	01.01.2018	Replaced Aviation Safety Notice no.12.
S.N.086 (IS-7-all)	Aircraft Nationality & Registration Marks	01st Ed. Rev.01	07.06.2018	Replaced Aviation Safety Notice no.33
S.N.087 (CA-IS-2018-ANS-087)	Requirements to be Satisfied for the Certification of Air Navigation Service Providers	02nd ed.	04.05.2018	Replaced Implementing Standard no.087Rev.00
S.N.090 (IS-6-(i)-4)	Requirements for Approval of Instructors and Training Programmes	Rev.00	05.01.2018	Replaced General Direction no.007 (GD-007)
S.N.091 (IS-6-(I)-3)	Requirements and Guidelines for lease and charter operations of aircraft engaged in Commercial Air Transport	Rev.00	18.04.2018	Replaced Aviation Safety Notice no. 119
S.N.092 (IS-1-(I)-1.2.9)	English Language Proficiency Requirements for Radiotelephony Communication	Rev.00	21.04.2018	Replaced Aviation Safety Notice no. 101
S.N.093 (IS 8-(ii)-3)	Manned Hot Air Balloons	Rev.00	07.03.2018	Replaced Aviation Safety Notice no. 27.

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S.N.094 (IS-8-(II)-4.2)	Airworthiness Directives (AD), Mandatory Modifications/Mandatory Inspections	Rev.00	07.03.2018	Replaced Aviation Safety Notice no. 15 & 65.
S.N.095 (IS-6-(I)-(6))	Operations Derived Equipment Requirements	Rev. 00	15.03.2018	Replaced Aviation Safety Notice no. 016 and 128
S.N.096 (IS-11-2.28, App.05 & 06)	Management of Fatigue in the provision of Air Traffic Control Services	Rev.00 1 st Ed	19.08.2022	Replaced Implementing Standard no. 096, 1 st Ed. Rev 00
S.N.097 (CA-IS- 2018-OPS- 007)	Requirements for Medical Examination of Cabin Crew Members	Rev. 00	25.01.2019	Replaced Directive 007
S.N.098 (IS-16-(iv)- All)	Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)	Rev.00	01.12.2018	New
S.N.099 (IS-11-2.34 & App.07)	Instrument Flight Procedure Design service in Sri Lanka	1st Ed., Rev.00	25.02.2021	New



K. 3 General Directions

Serial No.	Title	Current Edition	Effective Edition	Remarks
SN.001	Crew Resources Management Training for Flight Crew, Cabin Crew Members and Flight Dispatchers	Rev. 00	18.04.2016	New
SN.002	Mode Awareness and Energy State Management Aspects of Flight Deck Automation.	Rev. 00	01.07.2016	New
SN.003	Guidance for Air Operators in Establishing a Flight Safety Documents System.	Rev. 00	30.06.2016	New
SN.004	Flight Crew Initial and Recurrent Training on Approach and Landing Accidents (ALA) and CFIT Prevention	Rev. 00	20.02.2017	New
SN.005	Instrument Approach Procedures Using Continuous Descent Final Approach Techniques	Rev.00	20.07.2016	New
SN.006	Information and Instructions for Passenger Safety and Brace for Impact Positions during an Emergency for Aircraft and Helicopter Occupants	Rev.00	01.03.2019	New
SN.007	Requirements for Approval of Instructors and Training Programmes	Rev.00	10.02.2017	Replaced by Implementing Standard No. 090
SN.008	Requirements to be obtain a Private Aircraft Operator Permit	Rev.00	01.06.2017	New
SN.009	Guidelines for Airlines on Management of Crew Members in Relation to the COVID 19 Pandemic	Rev.00	30.04.2020	Replaced by General Direction 011
SN.010	Guideline for all Airports in Sri Lanka on Airport Operations in relation to COVID-19 Pandemic situation	Rev.00	11.05.2020	Replaced by General Direction 011
SN.011	COVID-19 Special Air Travel Operational Procedures Applicable to Sri Lanka	2nd Ed., Rev.00	21.10.2021	Superseded General Direction 009 & General Direction 10



K.4. Directives

Ref. No.	Subject
OSS/01/2009	Air Transport (Passenger) Tariff Regulations No. 01 of 2008
CAASL/AT/01/2009	Provision of GDS Connections
SLCAD 18	Limits of Liability & Insurance Requirements for Aircraft Operators
2010/D-003	Procedure For Maintenance of Technical Libraries
2010/D-004	CAA Inspector Credentials and Uniforms
2010/	Air Operator / Service Provider – Surveillance Policy and Plan
EL/01/2012	Collection of embarkation levy
EL/01/2012-Supplement 01	Collection of embarkation levy
OSS/01/2013	Air Transport (Passenger) Traffic regulations no. 01 of 2008
OSS/01/2014	Collection and remittance of overseas sales surcharge
CAASLAT/01/2015	Requirements for registering of Air Transport Providers (Travel Agents)
D-002	Making New Laws or Amendments to the Existing Laws, Relating to Civil Aviation
CAA/OM/01/002	Instrument of Delegation of Authority (Air Navigation Regulation 20)
SLCAD-008	Personnel Certification for Non Destructive Testing of Aircraft, Engines, Components and materials
SLCAD-009	Guidelines for Aircraft Acceptance for Importation
SLCAD-010	Light Aircraft Piston Engine Overhaul Periods
SLCAD-011	Import/Export of Aircraft Spares
SLCAD-012	Certification of Aircraft Welders
SLCAD-013	Authenticity and Serviceability of Aircraft Parts
SLCAD-014	Service Difficulty Reporting System
SLCAD-015	Aircraft Leasing
SLCAD-016	Aircraft Tracking Implementation Guidelines
SLCAD-017	Carriage of Lithium Battery Powered Electronic Devices Civil Aviation Requirements

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K-5. SLCAP Manuals

SLCAP No.	Name	Edition and Year
3010	Personnel Licensing Procedures Manual	03 rd ed., 2018
3020	Medical Procedures Manual	02 nd ed., 2018
3030	Personnel Licensing Office Procedures Manual	02 nd ed., 2007
3040	English Language Proficiency Check Procedures Manual	02 nd ed., 2018
3050	Flight test Examiner Manual	02 nd ed., 2018
3060	Air Traffic Control Assessment Procedures Manual	02 nd ed., 2018
3070	Aircraft Maintenance License Assessment Procedure Manual	02 nd ed., 2018
3080	Examination Procedures Manual	02 nd ed., 2018
3090	Flying School Certification Manual	02 nd ed., 2018
3100	Perpetual Licence Assessment Procedures Manual	02 nd ed., 2018
4010	Manual of Regulatory Audit	02 nd ed., 2004
4100	Air Operator Certification Manual	04 th ed., 2018
4105	Foreign Air Operator Certification Manual	02 nd ed., 2018
4200	Operation Inspector Manual	02 nd ed., 2018
4205	Designated Check Pilot Manual	04 th ed., 2018
4210	State Limitation of Flight Time Duty Periods & Rest Periods of Flight Crew Members & Cabin Crew Member s	02 nd ed., 2015
4215	Master Minimum Equipment List/Minimum Equipment List Policy and Procedures Manual	02 nd ed., 2018
4220	Flight Data Analysis Programme	02 nd ed., 2018
4225	Flight Operation Inspector Training Manual	02 nd ed., 2018
4300	Cabin Crew Members Manual Standards	03 rd ed., 2018
4305	Cabin Crew Members Training Standards	04 th ed., 2018
4400	Manual on Transport of Dangerous Goods	04 th ed., 2018
4410	Dangerous Goods Inspector Guidance Manual	02 nd ed., 2018

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SLCAP No.	Name	Edition and Year
4500	Preparation and Certification of Operations Manual	2 nd ed., 2018
4510	Manual of all Weather Operations	1 st ed., 2010
4515	Aircraft Performance Coder	1 st ed., 2010
4520	Performance Based Navigation Manual	1 st ed., 2015
4525	Manual for Extended Diversion Time Operation	1 st ed., 2021
4550	Ground Handling Certification Manual	01 st ed., 2019
5000	Staff Rules & Administrative Procedures Manual	01 st ed., 2008
5005	Scheme of Recruitment	
5010	Job Descriptions	
5050	CAASL Disciplinary Procedures Manual	01 st ed., 2004
5100	Code for Conduct of Business of the CAASL	
5150	Record Management Manual	01 st ed., 2004
5250	Office Manual	04 th ed., 2010
5350	Aviation Enforcement policy and procedures manual	01 st ed., 2010
6100	Airworthiness Office Procedures Manual	02 nd ed., 2021
6200	Airworthiness Inspectors Hand Book	01 st ed., 2018
7100	Fees & Charges levied by CAASL	
9000	Citizen's /Client's Charter	01 st ed., 2008
9999	Aircraft Accident Investigation Procedure Manual	02 nd ed., 2010
9990	Accident Investigation Unit (AIU) Policy Manual	01 st ed., 2010
9999_10	Aircraft Accident Investigation Management System	01 st ed., 2005
2000	Manual of Aerodrome Certification Procedures	01 st ed., 2008
2100	Airside Operation Safety Manual	02 nd ed., 2018
2150	Runway Safety Programme	01 st ed., 2017
2200	Aerodrome Inspector Hand Book	02 nd ed., 2010
2400	Manual On Exemption Procedures for Non Compliances at Aerodromes	01 st ed., 2010

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SLCAP No.	Name	Edition and Year
2900	Guidance Material for Aerodrome Operators on Conducting Aeronautical Studies / Safety Risk Assessments	01 st ed., 2018
2300	Air Navigation Services (ANS) Inspector's Hand Book	03 rd ed., 2022
2500	Safety Risk Assessment Manual	01 st ed., 2010
2600	State's Safety Programme Sri Lanka	01 st ed., 2010
2700	Search and Rescue Manual	01 st ed., 2010
9500	Internal Audit Programme	01 st ed., 2010
1000	Manual on State Safety Oversight System Policies and Principles	01 st ed., 2018



Appendix L: SMS Acceptance Checklist

Name of organization		
Physical address		
Postal address		
Phone number		
Organization Email		
Date of inspection/audit		
Services/operations Inspected		
	Accountable Manager Name	Safety Manager
Name		
Designation		
Mobile number		
Signature / Date		
	CAA Lead Inspector	CAA Inspector
Name		
Designation		
Mobile number		
Signature / Date		



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Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
1	Regulation and Management	Is there a documented procedure for identifying applicable regulatory requirements?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2		Does the company periodically review regulations, standards and other guidance material to ensure that the most current information is available?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3		Is the pertinent technical and regulatory information readily accessible and available to personnel as appropriate?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4		Are there specific triggers in place that initiate review of company documentation in response to regulatory requirements?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	Documentation	Is there a publication that clearly describes the safety management system and the interaction of the various elements, including?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6		Is the safety management system incorporated by reference in company operations directives and/or is there a separate controlled safety management system document?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7		Does the SMS process and documentation include all the operational systems including:		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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				S	US	NA	
		Flight Operations?					
		Dispatch & Flight Scheduling?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Maintenance & Inspection?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Cabin Safety?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Ground Handling & Servicing?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Cargo Handling?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Training?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8	Documentation	Is the SMS documented in published manuals or electronic media?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9		Is the safety management system documentation readily available to all personnel?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10		Is there a process to periodically review the SMS documentation to ensure that it remains adequate, effective, updated and suitable?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
11		Does this review include procedures to ensure that changes to company documentation are implemented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12		Is this procedure clearly documented in company media at all levels?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13		Does the system reflect functional coordination within the organization to ensure that the SMS works as an integrated system not a group of separate or fragmented units?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14		Does the documentation show lines of authority, accountability, and responsibility for safety management at the various corporate management levels?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15		Is the authority, responsibility and accountability reflected in organizational charts, job descriptions, or other written material that clearly and explicitly defines the authority and responsibility individuals within the organization have for ensuring safe operations?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16		Is there a clearly defined process to identify and analyze organizational changes that could affect company documentation?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
17	Record Management	Does the organization have a records system that ensures that all records required to document and support operational requirements by regulation are generated and properly maintained?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
18		Does the system have control processes which ensure appropriate identification, legibility, storage, protection archiving, retrieval, retention period and disposition of records?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19	Policy	Is there a formal safety policy statement published?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
20		Does the policy explicitly address aviation safety, in particular, to reduce aviation risks as far as reasonably practical?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
21		Does the policy confirm the intent to maintain or improve current safety performance?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
22		Does top management define the safety policy?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
23		Is the policy endorsed and promoted by senior management?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
24		Is the policy reviewed periodically (at least once a year)?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
25		Does the policy explicitly charge all employees with an obligation to actively support safety in their jobs?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
26		Is the safety policy readily available to all employees?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
27		Does the policy statement explicitly insist upon compliance with safety and operational standards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
28		Is the safety policy understood and accepted by all levels in the company?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
29		Do senior managers clearly state the importance of safety in their communications with employees and in their daily actions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
30		Does the safety policy explicitly hold managers at all levels accountable for supporting the safety management system in their areas of responsibility?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
31		Is there a policy in place that grants immunity from		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
		disciplinary action to employees who report safety deficiencies, hazards or occurrences?					
32		Are conditions where immunity is not granted (illegal activity, substance abuse, willful negligence or misconduct) clearly stated in the policy?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
33		Is the non-punitive reporting policy published and understood throughout the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
34		Is it accepted and trusted by people in the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
35		Is there evidence that the non-punitive reporting policy is actually applied?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
36	Goals and Objectives	Have a set of clear safety objectives been established and published?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
37		Is there a formal process to develop a coherent set of safety goals necessary to achieve the published safety objectives?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
38		Do the safety objectives express the organization's commitment to achieving continuous improvements in safety?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
39		Have resources been adequately allocated to achieve the		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
		published safety objectives and goals?					
40		Are the safety objectives and goals reviewed and updated periodically (at least annually)?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
41		Are the published goals specific, measurable, achievable, agreed to, relevant and time-based?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
42		Are all personnel within the organization aware of the goals?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
43		Do the safety goals encompass all areas of the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
44	Organization	Has an Accountable Executive, someone with the authority and resources to take action, for the organization, been appointed to ensure that the SMS is properly implemented and performing to requirements in all areas of the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
45		Has a qualified person been appointed to manage the day-to-day operation of the SMS (Safety Manager)?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
46		Are the roles and responsibilities of the Safety Manager and safety staff clearly defined and documented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
47		Are the safety responsibilities, accountabilities, and authority		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
		for each functional manager clearly and explicitly defined and documented?					
48		Are the safety responsibilities, accountabilities, and authority of employees at all levels clearly defined and documented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
49		Is there evidence that the accountable executive understands his or her ultimate responsibility for safety and demonstrates commitment to the SMS in daily actions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
50		Has a safety committee been appointed ?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
51		Does the safety committee have a written charter that clearly defines committee roles, responsibilities, authority and accountability		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
52		Does the committee meet regularly (at least quarterly)?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
53		Are safety committee reports published and reviewed regularly by senior management?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
54		Does management at all levels demonstrate understanding and support of the Safety Manager and the SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
55	Risk Management	Is there a structured, documented process for assessment of risk associated with identified hazards, expressed in terms of severity, probability of occurrence and level of exposure?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
56		Is there a documented process to define acceptable and unacceptable risk, for example a risk matrix?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
57		Is there a documented process to ensure that none of the following are implemented without having completed a risk assessment of identified hazards: New system designs?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		New operations or procedures?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Modifications to existing operations or procedures?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
58		Is there a documented procedure that allows for interim controls to mitigate an existing risk?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
59		Does the risk management procedure define the levels of management that can make risk acceptance decisions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
60		Does the risk management process include the requirement for system and task analysis?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
61		Does this process require system and task descriptions sufficiently detailed to identify hazards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
62		Do these system and task analyses consider the following:		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The systems interactions with other systems in the air transportation system?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The systems functions for each of the seven subsystems: flight operations, dispatch/flight following, maintenance and inspection, cabin safety, ground handling and servicing, cargo handling, and training?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The required human factors considerations for operations?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The required human factors considerations for maintenance?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The hardware components of the system?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The software components of the system?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Related procedures that define guidance for the operation and use of the system?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
		The external environment?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The operational environment?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The maintenance environment?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Contracted and purchased products and services?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		The interactions of the above?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Any assumptions made about the system?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Any assumptions made about the system interactions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
63		Any assumptions made about existing risk controls		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Are there controls in place to ensure that task analyses are completed for all functional areas in the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Is there a documented procedure that requires system and task analyses to be reviewed periodically?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
64							
65		Are the results of the risk management program incorporated into the organizational methods and procedures?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
66		Is there a requirement that risk analysis documentation is periodically reviewed, particularly the effectiveness of controls?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
67		Does the risk management program documentation clearly identify who is responsible for the quality of the risk analysis and assessment process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
68		Does the program documentation clearly identify who has the authority and responsibility to establish and/or modify the policies, procedures, instructions and information for the risk analysis and assessment process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
69		Does the program documentation define the duties and responsibilities of those who manage the work (controls) directed by the risk management program?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
70		Does the organization risk management program require a risk control/mitigation plan for any hazard identified as having unacceptable risk?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
71		Are risk controls: Clearly described?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
		Evaluated to be sure that risk reduction requirements have been met?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Ready to be used in the operational environment as intended?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Periodically reviewed for effectiveness and sustainability?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
		Fully documented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
72	Hazard Identification System	Does the organization have a process that provides for the capture of internal information on accidents, incidents and other occurrences relevant to SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
73		Does the organization have a process for the capture of internal information on hazards and other data relevant to SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
74		Are the reporting systems simple, accessible and understood by personnel throughout the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
75		Is there a clearly documented process to ensure confidentiality of reports?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
76		Is there a documented process to validate reports for accuracy prior to analysis?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
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77		Is there clear, explicit documentation of who in the organization is responsible for the quality of the hazard identification process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
78		Does this documentation identify who has the authority to establish and modify the policies, procedures, instructions and information for the hazard identification process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
79		Is the range and scope of reportable safety-related occurrences or deficiencies clearly defined and explained in documentation and training?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
80		Are all parts of the operation included in the hazard identification process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
81	Investigation Capabilities	Does the organization have a clearly documented procedure for conducting investigations?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
82		Is there a requirement that all reported occurrences and deficiencies be investigated?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
83		Are the investigation findings assessed for risk and forwarded to management for corrective action decisions as appropriate?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
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84		Are those in the organization charged with conducting investigations properly and competently trained?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
85		Do the investigations seek root causes in human, environmental, supervisory and organizational factors?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
86		Is there a documented emergency response action plan?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
87		Does this plan include all appropriate functions in the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
88		Is someone clearly identified as responsible for the quality of the emergency preparedness and response process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
89		Does the documentation clearly identify who has the authority to establish, modify the policies, procedures instructions and information for the emergency preparedness and response process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
90		Is there a documented process for periodic review of the emergency response procedures?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
91		Are the emergency response procedures regularly tested for accuracy and effectiveness?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
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92		Are there appropriate periodic emergency response training and drills for all personnel?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
93	Analysis Capabilities	Is there a documented procedure and process in place to identify and analyze trends in critical areas of the operation?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
94		Are there people in the organization trained and qualified to perform safety analysis duties?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
95		Are the results of the analysis program subjected to review and presented to management on a regular basis?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
96		Does the analysis process include the capability and requirement to monitor implemented corrective actions for effectiveness?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
97		Does the documentation of the analysis process clearly identify who is responsible for the quality of the analyses		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
98		Does the documentation clearly identify who has the authority to establish and modify the policies, procedures, instructions and information for the data analysis and system assessment processes?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
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99		Does the analysis process include the capability to incorporate information and lessons learned from appropriate external sources?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
100		Is the safety data-base properly secured and confidentiality of data adequately protected?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
101		Does the analysis process have adequate controls to ensure that identified hazards are reported to and considered by management?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
102	Promotion, Training and Education	Is there a documented process to identify training requirements to ensure that people are competent to perform their duties?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
103		Do all job descriptions define competency standards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
104		Are there adequate provisions for initial recurrent and update training, as applicable?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
105		Has a formal and objective training needs analysis been completed?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
106		Does training include human and organizational factors issues?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



CIVIL AVIATION AUTHORITY OF SRI LANKA

Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
107		Is SMS training included in all indoctrination training?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
108		Have all employees been given training in SM policies procedures and responsibilities as appropriate?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
109		Is there a training file for each employee including management, with required training identified and documented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
110		Is SMS a subject frequently addressed by management in informal training sessions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
111		Is there a validation process that measures the effectiveness of training?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
112		Does the organization have an effective program for the timely promotion of safety issues, including things like safety meetings, bulletins, etc.?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
113	Information Management	Are there controls in place to ensure that all appropriate outputs of the SMS are communicated to employees?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
114		Does management policy explicitly enforce the need for careful documentation and data control for all safety critical processes?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
115		Is there a process to ensure that important documents are reviewed and updated regularly?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
116		Is the SMS is well documented in a readily accessible manual?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
117	Oversight & Performance Monitoring	Has a quality assurance program been established?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
118		Is there an independent audit function with the authority to carry out an effective internal evaluation program?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
119		Are there process measurements in place that would identify a failure to collect data necessary to demonstrate the effectiveness of operational processes and the SMS?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
120		Do the performance measurement standards cover all the important functions of the organization?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
121		Does the process measurement or audit system have the capability to identify failures in collecting data or investigating occurrences, deficiencies or regulatory non-compliances?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
122		Does the performance measurement or audit system measure whether the safety reporting system is effectively identifying potential hazards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
123		Does the performance measurement or audit system measure whether the organizations documentation and records are properly maintained?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
124		Does the performance measurement or audit system evaluate the effectiveness of the organizations emergency response plan, to include review of exercises and identification of potential accidents and incidents?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
125		Does the performance measurement or audit system review the operational system and task descriptions to ensure that hazards are being properly identified?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
126		Does the performance measurement or audit system review the hazard identification procedure to ensure that hazard information is properly identified, documented, tracked and managed throughout the risk management process?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
127		Does the performance measurement or audit system review the risk management process to ensure that a risk analysis is conducted for all identified hazards and these hazards are always assessed for risk acceptability using the published risk		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
				S	US	NA	
		levels?					
128		Does the performance measurement or audit system review the risk control plan and feedback process for every hazard with an unacceptable risk level? Does this review include an evaluation of the effectiveness of the control?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
129		Does the performance measurement or audit system evaluate how well the safety analysis process collects, analyzes and uses the data available?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
130		Does the performance measurement or audit system evaluate the organizations safety-related functions relative to operational and SMS activities and requirements?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
131		Does the performance measurement or audit system evaluate the performance of upper management in the review of the SMS including the risk management process and safety lessons learned?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
132		Does the performance measurement or audit system identify whether the organization has an effective process to develop, prioritize, and implement corrective actions for identified hazards?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Index	SMS Area	Question	Manual Reference	Observations			Remarks
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133		Does the performance measurement or audit system identify whether the organization has an effective process to develop, prioritize, and implement corrective actions for failures to conform to published risk controls?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
134		Does the performance measurement or audit system evaluate the effectiveness of the communications output of the SMS to the employees?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
135		Does the performance measurement and audit system include information from all available sources, including safety assessments, safety surveys, trend analyses, investigations, audits, and safety assurance reviews?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	