



Issued: 17 January 2014

SMS Phase 2 Evaluation and Assessment for EASA Aerodromes

This Information Notice contains information that is for guidance and/or awareness.

Recipients are asked ensure that this Information Notice is copied to all members of their staff who may have an interest in the information (including any 'in-house' or contracted maintenance organisations and relevant outside contractors).

Applicability:	
Aerodromes:	All in scope EASA Aerodrome Licence Holders
Air Traffic:	All Air Navigation Service Providers
Airspace:	Not Primarily Affected
Airworthiness:	Not Primarily Affected
Flight Operations:	Not Primarily Affected
Licensed/Unlicensed Personnel:	Not Primarily Affected

1. Introduction

- 1.1 Under the European Aviation Safety Agency (EASA) regulation (EC) No. 216/2008, aerodromes that fall within the scope of EASA are required to have an effective Management System which includes a Safety Management System (SMS). The draft EASA Implementing Rules, associated draft Acceptable Means of Compliance and Guidance Material defines the scope of the Management System which broadly aligns with the International Civil Aviation Organisation (ICAO) framework for SMS.
- 1.2 The Civil Aviation Authority (CAA) has developed SMS guidance material and SMS Evaluation tools in order to assess the effectiveness of an organisation's SMS. The Evaluation tools are split into two phases.
- 1.3 The Phase 1 Evaluation tool was designed as a gap analysis tool to help an organisation check that the key components of their SMS are in place. All aerodromes which fall into scope for EASA certification have completed the Phase 1 Evaluation tool.
- 1.4 The Phase 2 Evaluation tool is designed to test the effectiveness of an organisation's SMS. The Phase 2 evaluation is evidence based to verify that all the elements of the SMS are working.
- 1.5 A small number of aerodromes have already been assessed and we intend to assess the effectiveness of the SMS for all remaining aerodromes within EASA scope throughout 2014. Aerodromes that are assessed as having an effective SMS will be compliant with the EASA Implementing rule ADR.OR.D.005 Management System (excluding compliance monitoring).

2. Phase 2 SMS Assessment

- 2.1 The Phase 2 assessment will require EASA aerodromes to complete the CAA Phase 2 SMS Evaluation tool. Organisations that fall within the scope of this IN are defined as complex organisations and should therefore download the Phase 2 SMS Evaluation tool for complex organisations from the CAA website at the following link www.caa.co.uk/sms.
- 2.2 The Phase 2 Evaluation tool consists of a number of Compliance and Performance Markers related to each of the 12 ICAO SMS elements. It also consists of a number of Excellence and Best Practice Markers. For each of the markers you should assess and indicate the level that has been achieved. Specific examples to support your assessment of the level achieved for each marker should be provided. Your examples should only relate to operational safety management and not occupational health and safety management. The Phase 2 Evaluation tool provides further guidance on how it should be completed.
- 2.3 We will conduct an assessment of your completed Evaluation tool to assess the effectiveness of your SMS. Our assessment will include an 'on-site' visit which, where possible, will be combined with routine oversight audits/visits during 2014.
- 2.4 We will contact you at least 6 weeks prior to the assessment to confirm the intended assessment date and confirm the date we require the completed Phase 2 Evaluation tool to be returned to us.
- 2.5 Where the Aerodrome Operator and Air Navigation Service Provider (ANSP) share a common SMS, the assessment will encompass both parts of the organisation. Where the Aerodrome Operator and the ANSP use a different SMS, the assessment will focus on the Aerodrome SMS but may look for alignment with the ANSP's SMS. Where ANSPs are utilising their own SMS, the Phase 2 assessment will be carried out by the ATS Inspectorate in accordance with the planned routine ATS oversight schedule. We expect to be able to complete these additional ANSP assessments by the end of January 2015.
- 2.6 Irrespective of the date for the assessment, all Aerodrome Licence Holders are encouraged to download and complete the CAA Phase 2 SMS Evaluation tool for complex organisations as soon as possible.

3. Further Information

- 3.1 Further guidance can be found on the CAA website SMS page at www.caa.co.uk/sms.

4. Queries

- 4.1 Any queries or further guidance required as a result of this Information Notice should be addressed to your aerodrome inspector (Ops or RFF).

5. Cancellation

- 5.1 This Information Notice shall remain in force until further notice.