



Civil Aviation Authority Information Notice Number: IN-2016/089



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Compliance Monitoring – Certificated Aerodromes

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

Recipients are asked to 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 EASA Certificated Aerodrome Operators
Air Traffic:	Not primarily affected
Airspace:	Not primarily affected
Airworthiness:	Not primarily affected
Flight Operations:	Not primarily affected
Licensed/Unlicensed Personnel:	Not primarily affected

1 Introduction

- 1.1 To help you meet your requirements with regard to compliance monitoring this guidance is designed to provide you with the means to develop a process that complies with Commission Regulation (EU) No. 139/2014 (herein known as the Aerodrome Regulation).
- 1.2 Up to now, the CAA regulatory approach to oversight has resulted in an audit process whereby we audit the aerodrome roughly every fifteen months and assess it against [CAP 168](#) and the ANO (referencing relevant CAPs as required). The result of the audits normally includes a number of observations relating to safety (Category 3) and on rare occasions, findings resulting from non-compliances (Categories 1 and 2).
- 1.3 Adopting a more performance-based approach as described in the Aerodrome Regulation requires us to change our emphasis to take a more 'holistic' view of the aerodrome; the Regulation requires that "the Competent Authority (us) should assess the aerodrome operator and monitor its continued competence to conduct safe operations in compliance with the applicable requirements and the certification basis."

2 Compliance Monitoring (CM) System

Aerodrome Requirements

- 2.1 The Aerodrome Regulation, at ADR.OR.D.005 (b)(11) requires that:

“The aerodrome management system shall include a formal system to monitor compliance of the organisation with the relevant requirements” (which are the relevant requirements of the Part-ADR.OR, Part-ADR.OPS, as well as any other applicable regulatory requirements, or requirements established by the aerodrome operator).

- 2.2 The IR has two large AMC's that break down the process into relevant sections, which include the various elements needed for effective compliance monitoring. These describe the organisational structure to manage the procedures and include:
- the nomination of a person responsible for compliance monitoring;
 - the compliance monitoring documentation required to support the process including a compliance monitoring programme reflecting the audit schedule, audit procedures, reporting procedures, follow-up and corrective action procedures and a recording system;
 - the training required to ensure personnel are able to carry out their compliance monitoring duties;
 - what the audit scheduling process should look like, timescales and coordination with the Competent Authority.
- 2.3 Your compliance monitoring procedure, once developed, needs to be included in the aerodrome manual.

CAA Requirement

- 2.4 As the Aerodrome Regulation requires that you assess and demonstrate compliance with the regulation, it includes a requirement on us to 'verify' your compliance and take on a more performance based view of your ability to maintain the safe operational environment.

Process

So how do we bring these two elements together?

- 2.5 The CAA will gradually move to an audit process that monitors the safety performance of the aerodrome operator over the whole Oversight Planning Cycle (OPC = 48mths). The OPC begins from the date the aerodrome is awarded its Certificate.
- 2.6 The aerodrome regulation provides for much more flexibility in our oversight activity, which will take the form of Annual Reviews (on each anniversary of the awarding of the certificate), annual audits, including desk top audits, inspections and visits. So as to ensure that we conduct oversight of all the applicable requirements (the IRs and their supporting AMC) that you have to comply with, we have broken down the OPC into four separate years. We will cover all the IRs over a three year cycle and use the fourth year of the OPC to cover any outstanding issues found during the 36 months to ensure all activities have been included in our OPC.
- 2.7 We have built a set of question banks which will shortly be published on the CAA website; these show which areas we will cover in each year. Please note that this might change as a result of intelligence or events that require us to focus on a particular area or areas, but basically, the “running order” will be as shown in the three batches.
- 2.8 As indicated above the central piece of the OPC is the annual review of safety (ARoS); this is an internal CAA process that takes place around 2-3 months after each audit. At the review we will be looking at the past year's safety performance of the aerodromes using all the intelligence we have gathered over the period (e.g. audit reports, MORs, meetings, inspections). We will also determine the oversight for the next year (which subjects we are