



Civil Aviation Authority Information Notice Number: IN-2017/027



Issued: 29 June 2017

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 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 The CAA is aware that the system of compliance monitoring for aerodromes, introduced with the transition to a Certificate, would benefit from further guidance to complement the EU Regulation.
- 1.2 The regulation (Commission Regulation (EU) No. 139/2014) requires that aerodrome operators have a Compliance Monitoring System (CMS) in place. Specifically, 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"*.
- 1.3 The EU Implementing Rules (IRs), EASA Acceptable Means of Compliance (AMC) and Guidance Material (GM) contain all the information you need to develop and maintain a successful CMS. The purpose of this Information Notice is to summarise the main components of such a System and provides a sample matrix (see [Appendix A](#)) to help guide you in developing your own matrix, dependent upon the size and complexity of your operation.
- 1.4 We encourage you to review the EASA material relating to compliance monitoring, to ensure your CMS matures as specified in the IRs and AMC.

2 Competent Authority Verification

- 2.1 We will, as part of our continuing regulatory oversight, verify your system of compliance monitoring.

3 Process

- 3.1 You should ensure your CMS becomes operational upon issue of the EASA certificate and it will need to be effective within 12 months of issue of the Certificate.

4 Question Banks and Oversight Planning Cycle

- 4.1 As part of the CAA's continuing regulatory oversight, we have developed a series of Question Banks (QBs) based on the IRs and AMC, which we will ask you to complete over a 3 year 'Oversight Planning Cycle' (OPC), commencing at the date of your transition to an EASA certificate. These QBs form an integral part of our verification of compliance.
- 4.2 To further assist you with your own CMS, we have now published the QBs on the [CAA website](#). Prior to a scheduled CAA audit, we will notify you which QBs will need to be completed and returned as part of the audit preparation. Irrespective of this, you may find the QBs helpful as part of your own CMS.

5 Compliance Manager

- 5.1 The Aerodrome Operator should appoint a Compliance Manager who has responsibility for the delivery of the CMS. This person should have direct access to the Accountable Manager and should ideally be independent to the Safety Manager. In order for the Compliance Manager to be able to deliver on his/her responsibilities, it is imperative that the individual has access to all subjects that require compliance monitoring.

6 Compliance Monitoring System (CMS)

- 6.1 The CMS should include a structured audit programme, including the policy on intervals between audits, which should be set out in the Aerodrome Manual. The process should provide for continuous monitoring, including the actions to be taken when a trend has been identified, for example when the number of findings has increased etc.
- 6.2 The independence of the CMS should be established by ensuring that audits and inspections are carried out by personnel not responsible for the function being audited.
- 6.3 The CMS should include a method to feed back findings to the Accountable Manager.
- 6.4 Provision should be made for follow-up audits if necessary, to ensure any findings are actioned and closed.

7 Queries

- 7.1 Any queries or requests for further guidance as a result of this communication should be addressed to:

Airspace, ATM and Aerodromes
Aerodromes Sector
Safety and Airspace Regulation Group
Civil Aviation Authority
1NE Aviation House
Gatwick Airport South
RH6 0YR
E-mail: aerodromes@caa.co.uk.

8 Cancellation

- 8.1 This Information Notice will remain in force until further notice.