Effective Compliance Monitoring
Understanding how to implement a compliance monitoring programme

An effective Compliance Monitoring function must be able to demonstrate the effectiveness of its own activities and provide the organisation’s stakeholders with an accurate indicator of the level of management system compliance and performance.

Are you obtaining maximum benefit from your Compliance Monitoring function so that it is a powerful asset to your organisation?

How will this course benefit me?
Placing clear priority on the identification of systemic failures rather than mere compliance-type findings, this course focuses on developing your ability to contribute to your organisation’s performance.

Having the ability to interact effectively with, and where necessary, challenge your organisation’s Management Systems, will help to:

- Reduce corporate risk through improved risk mitigation
- Develop efficient processes that are compliant with regulations
- Challenge processes to demonstrate not only compliance but systematic improvements
- Speak the same ‘language’ as the Regulator

Key areas of focus

- What does an ‘effective’ Compliance Monitoring function look like
- Compliance Monitoring Management System requirements
- Measuring performance of the Compliance Monitoring function
- Consequences of ignoring what your System might be telling you
- The philosophy of auditing
- The Management System approach
- Scope of Compliance Monitoring, including a look at Regulatory Compliance, Human Factors and Error Management and Safety Risk Management

This course is up to date and aligned with ISO 19011 and ICAO 9859 concepts, and the AMC1 ORO.GEN.200(a)(6) Management System.

Prerequisites:
There are no prerequisites for attendance on this course however an understanding of the concepts of Safety Management, the applicable rules and the audit process would be advantageous.
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Is this course right for me?
Specifically designed for current and future compliance monitoring personnel, this course is aimed at managers and staff who require an understanding of the compliance monitoring concept and who require the skills to audit or manage audits of aviation management systems. This course is suitable for personnel who are either new or who require a refresher in understanding the EASA Compliance Monitoring requirement, who work in:

- Air Operations, primarily CAT operators
- Part 145 or Part M approval holders
- Air Navigation Service Providers
- Aerodromes

This course would also benefit:
- Accountable Managers
- Responsible Managers
- Safety Managers
- Any personnel who require an understanding of Compliance Monitoring

Frequently asked questions
Q. I am a trained auditor and have just joined the Compliance Monitoring function and would like to understand how I can deliver real benefit in my new role. Is this course suitable for me?
A. Yes, understanding the intent of the regulations, the management system approach and the role of the Compliance Monitoring function is vital. Your output (audit reports) in this new role must inform your management team about the level of compliance within your organisation. Understanding the intent and not just the content of the Compliance Monitoring regulations will allow you to deliver this.

Q. As a Responsible Manager I want to improve my understanding of what the role of the Compliance Monitoring function is and what they should be doing to help protect our organisation. Is this course suitable for me?
A. Yes, this course examines the required competencies, purposes and interactions that need to be defined so that the Compliance Monitoring function can protect both you and your organisation. It examines in detail all the indicators required to establish, implement and maintain an effective Compliance Monitoring function.

Q. I work in a non-CAT environment but am very interested in doing something different from the day to day box ticking audits. Will this course provide me with a different way of thinking?
A. Yes, delivering benefit from your audit programme is what this course is all about. Understanding this refreshed approach will provide you with a reinvigorated view on the role of this ‘assurance’ function. You will leave this course with an understanding of what an effective oversight programme looks like. It will seriously challenge the common box ticking audit approach.
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Course details

Course format: This course is a balanced mix of group discussions, flipchart work and PowerPoint presentations. Managed syndicate exercises give you the opportunity to practise the application and evaluation of new processes and techniques.

Course level: Practitioner Level Training (P) is suitable for those who have worked in the subject for some time, are familiar with core terminologies and concepts and are looking to develop or update their level of knowledge and practical understanding.

Assessment process: No formal assessment. Two-way dialogue and exercises enable the facilitator to assess and optimise delegate learning.

Course size: 16 persons maximum at our Aviation Safety Academy or on-site at your facility

Courses you might also like to consider

TR35  EASA Air Operations Requirements- Effective Implementation
TQ02  Practical Skills for Auditors
TS02  Practical Application of Safety Management Systems
TS30  Practical Skills for Investigators

Contact us

Visit our website www.bainessimmons.com to find out more about this course and to book and pay online. Alternatively, please call our learning advisor team on +44 (0)1276 859 519 to discuss your needs and for assistance with your booking.

A performing Compliance Monitoring Management System is the third line of defence in your compliance protection system, and provides the independent confidence to an organisation’s stakeholders that the Regulatory Compliance Management System is continually meeting safety performance standards mandated by law, regulation and the organisation itself.

In so doing, it complements the organisation’s safety risk management system by assuring it is operating suitably and that safety interventions and risk mitigations generated are proven to be effective.