



Compliance Management Training (CMT)

Syllabus

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Compliance Management Training (5 Days)

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1 Day 1

1.1 Module 01: Introduction to Compliance Management System		
Objectives	Contents of module	Practical Training/Discussion
Objective 1: Get familiar with the different terms and system relations within an organization	1. Definition of Management System	
	2. Integrated Management System <ul style="list-style-type: none"> • Definition • Relations among IMS elements 	
	3. Compliance Management System <ul style="list-style-type: none"> • Definition • Systematic and Independent Comparison • Compliance Levels 	

1.2 Module 02: Terminology		
Objectives	Contents of module	Practical Training/Discussion
Objective 2: Understand the different terms in regards to Compliance Management	1. Management / Leadership	
	2. Accountability / Responsibility / Authority / Delegation <ul style="list-style-type: none"> • Differences • Definitions • Relationship 	Define 2 Accountabilities / 5 responsibilities / 2 Authorities for 1. Accountable Manager 2. Flight Ops Manager 3. Technical Director (145) 4. Ground Ops Manager
	3. Policy / Program / Process / Procedure	
	4. Compliance / Conformity	
	5. Compliance Monitoring / Compliance Management	

1.3 Module 03: Process Approach and Methodology		
Objectives	Contents of Module	Practical Training/Discussion
<p>Objective 3: Understand the process oriented approach and its importance for compliance management</p> <p>Objective 4: Get to know the different types of processes</p>	<ul style="list-style-type: none"> • Process oriented approach – ISO 9000 • Why process management? • Definition of process • Process approach in Management • Process approach in Compliance Monitoring • Who is the customer? • Differentiation of achievement – identification of process types • Control of a process • Why process key figures? • Key performance indicator (KPI) system 	<p>Group workshop:</p> <ol style="list-style-type: none"> 1. Develop process for controlled documentation 2. Prepare the checklist for auditing the controlled documentation process <p>3. Develop parameters for process measuring for</p> <ol style="list-style-type: none"> 1. Ground Ops process – related to A/C turnaround 2. Documentation Management process 3. Flight planning / preparation process 4. Base Maintenance Project

2 Day 2

2.1 Module 04: Management System Working Elements		
Objectives	Contents of module	Practical Training/Discussion
Objective 5: Get familiar with the basic idea of controlled processes Objective 6: Understand the Management System Structure and its elements.	1. Policy <ul style="list-style-type: none"> Forms of policies Compliance policy 	
	2. Processes <ul style="list-style-type: none"> Basic idea of controlled processes Norms & Customer Satisfaction Product & Service Customer & Supplier Conscious Process Management Documentation Structure 	Create a list of Management Processes for your organization
	3. Procedures	
	4. Documentation & Records <ul style="list-style-type: none"> Controlled vs. uncontrolled Documents & Records 	Develop requirements for Records Keeping System

2.2 Module 05: Compliance Management Principles		
Objectives	Contents of module	Practical Training/Discussion
Objective 7: Understand the Compliance Management Principles Objective 8: Get familiar with the Components of a Compliance System	1. Definitions <ul style="list-style-type: none"> Compliance Compliance Management 	
	2. History of Compliance Management <ul style="list-style-type: none"> Key individuals Kaizen principles CM stages 	
	3. Principles of Compliance Management <ul style="list-style-type: none"> 8 principles according to ISO 9000 	
	4. Components of a Compliance System <ul style="list-style-type: none"> Compliance Statements Documentation Compliance Assurance 	

	Programme(s) <ul style="list-style-type: none"> • Reviews / Improvement Programmes • Management Commitments 	
	5. Documentation <ul style="list-style-type: none"> • Compliance Management Manual 	

2.3 Module 06: Roles & Responsibilities in a CMS

Objectives	Contents of module	Practical Training/Discussion
Objective 9: Understand who are the main actors within the Compliance Management System	1. Roles and responsibilities in a CMS <ul style="list-style-type: none"> • Roles & Responsibilities • Senior Management/MD/CEO • Departmental Managers • Process Owners • Staff • Compliance Manager • Compliance Assurance Manager • Auditors 	Develop Accountabilities Responsibilities Authorities for Compliance Manager

3 Day 3

3.1 Module 07: Regulatory Requirements & Compliance Standards		
Objectives	Contents of module	Practical Training/Discussion
Objective 10: Understand regulatory requirements and standards for the Compliance Management System	1. Regulatory Requirements: <ul style="list-style-type: none"> • ICAO SARPs • EC Regulations (EASA) • FAA Regulations FAR 	
	2. Compliance Standards <ul style="list-style-type: none"> • ISO • IOSA 	
	3. Compliance Monitoring System <ul style="list-style-type: none"> • AMC1 ORO.GEN.200(a)(6) 	
	4. Organizational Structure <ul style="list-style-type: none"> • ORO.AOC.135 • Management / Postholder 	
	5. Responsibilities/Competence <ul style="list-style-type: none"> • Management Responsibilities • Accountable Manager • Organizational Chart • Post-holder competence 	

3.2 Module 08: Compliance Monitoring		
Objectives	Contents of Module	Practical Training/Discussion
<p>Objective 11: Gain a deep knowledge of the compliance monitoring</p> <p>Objective 12: Get familiar with the different audit types and the principles of auditing</p> <p>Objective 13: Understand the Follow-up process</p> <p>Objective 14: Understand the Root Cause Analysis</p>	<ul style="list-style-type: none"> • Definition of Audit • Audit criteria • Audit evidence • Audit findings • Audit conclusion • Audit Programme • Audit types for compliance • Principles of auditing • Checklists • Audit Follow-up • Root Cause Analysis Methods • Corrective action Proposal 	<p>Exercise: Checklist preparation and process development</p> <p>Perform the Root Cause Analysis: 3 groups</p>

4 Day 4

4.1 Module 09: Evaluation & Continuous Improvement		
Objectives	Contents of Module	Practical Training/Discussion
Objective 15: Differentiate the elements of Compliance and safety management	1. Setting Objectives <ul style="list-style-type: none"> • Policies • Vision • Measuring the output 	
	2. Compliance & Safety Assurance <ul style="list-style-type: none"> • Business risk versus safety risk • Key & Safety Performance Indicators (KPI & SPI) 	
	3. Compliance & Safety Committee <ul style="list-style-type: none"> • Kaizen and Compliance Circles • Safety Action Groups 	
	4. Management Reviews & Revising Objectives <ul style="list-style-type: none"> • Safety Review Board • Examples and Agenda 	Exercise: Develop 5 objectives in relation to Compliance and Safety for your organization

4.2 Module 10: How much may Compliance cost?		
Objectives	Contents of module	Practical Training/Discussion
Objective 16: Understand the costs caused by Compliance and a lack thereof	1. Internal-External Customer <ul style="list-style-type: none"> • Categories of customers • Internal customers • Customer management 	
	2. How can Compliance (or a lack of...) generate costs? <ul style="list-style-type: none"> • Conformance costs • Non-conformance costs • Internal and external failure costs • Prevention and appraisal costs • Chain of events • The power of the image 	

4.3 Module 11: Law		
Objectives	Contents of module	Practical Training/Discussion
Objective 17: Get familiar with the different fields of law	1. Fields of Law <ul style="list-style-type: none"> • Civil • Penal • Public 	Discussion: Consequence of non-compliance
	2. Penal Law (inclusive criminal offences)	
	3. Public Law	
Objective 18: Understand the Corporate Responsibility and Authority	4. Responsibility & Authority <ul style="list-style-type: none"> • EASA Air OPS OR.GEN210 • Corporate Responsibility • Delegation of Duties • EASA Air OPS OR.GEN.200 (a) (3) 	Exercise: Create a process for the delegation of duties for your position

4.4 Module 12: Compliance with SMS Requirements		
Objectives	Contents of Module	Practical Training/Discussion
Objective 19: Understand requirements, context and drivers of the SMS	1. Requirements: <ul style="list-style-type: none"> • ICAO Standards and Reference Documents • Regulatory SMS requirements • Compliance with SMS requirements 	Group discussion on “how to ensure compliance with SMS requirements” Models Methods
	2. Framework: <ul style="list-style-type: none"> • SMS Definition • Definition of Safety, Risk and Risk Assessment • Concept of a Safety Management System • SMS Risk Management Process 	Group discussion on “what is safety, risk and risk assessment?” How are these linked to CMS.
	3. Orientation & Safety Culture: <ul style="list-style-type: none"> • Reactive, proactive and predictive Safety Measures • Safety Culture Definition 	Group discussion on “meaning of safety culture?” Are we compliant?

5 Day 5

5.1 Module 13: CMS-SMS Integration & auditing SMS		
Objectives	Contents of module	Practical Training/Discussion
Objective 20: Understand links between safety management system and compliance management system Objective 21: Understand the way how to audit the SMS	1. Integration of an SMS: <ul style="list-style-type: none"> Integration according to the Definition 	Discussion on “Organizational impact of SMS implementation”
	2. Organizational Structures: <ul style="list-style-type: none"> SMS as Part of the Management System 	
	3. Accountabilities: <ul style="list-style-type: none"> Safety Review Board (SRB) Safety Action Group (SAG) Safety Service Office (SSO) Senior Management 	
	4. Policies: <ul style="list-style-type: none"> Safety Policy Requirements Safety Policy Guidance Material 	
	5. SMS Processes <ul style="list-style-type: none"> Processes required for an SMS Processes of Systematic Risk Assessment Requirements for Management of Change 	
	6. Linking SMS Processes into Compliance Monitoring Processes <ul style="list-style-type: none"> What is common and what is complementing each other 	
	7. How to audit SMS	Practical exercise on auditing the SMS. Preparing checklists in groups.

5.2 Module 14: Integrated Airline Management System – Definition & Structure		
Objectives	Contents of Module	Practical Training/Discussion
Objective 22: Understand how to prove compliance in a system Objective 23: Gain a deep knowledge of the compliance management system	1. Introduction	Group Discussion: What does integrated management mean?
	2. Formal Definition	
	3. Why do we need it?	
	4. Principal Characteristics <ul style="list-style-type: none"> • Different types of Management Systems (MS) • Typical ISM features • Integrated vs. Non Integrated MS 	
	5. What are the benefits?	

5.3 Module 15: Course Summary		
Objectives	Contents of module	Practical Training/Discussion
	1. Summary of the Course	
	2. Discussion	
	3. Exam and Feedback	