

# Organisation Approval Support Services



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## Introduction

If you are seeking an organisational approval for the first time or need some help with an extension to the scope of your current approval, you may find the regulatory landscape a minefield to navigate or need a boost to your internal resources. Our team of regulatory experts will be able to guide and assist you through as much or as little of the process as you want, to help you achieve an approval that is complaint, safe, fit-for-purpose and importantly, efficient.

Increasingly, customers are requiring their suppliers to gain approvals in place of traditional sub-contracting arrangements. Whilst these demands may appear disruptive to an organisation, there are likely to be commercial and competitive benefits to holding an independent approval.

Baines Simmons offers an extensive team of highly experienced organisation approval specialists that will bring best-practice knowledge and an independent perspective to ensure that the process is as painless as possible and achieve approval in the timeliest manner.

## Service overview

Building on our extensive experience, we apply project and working methodologies that help you to build from solid foundations, not merely demonstrating compliance, but creating a management system aligned with operational reliability and efficiency.



Our recommendations will be based on industry best-practice and reflect any emerging revised regulatory requirements – future-proofing your management system, processes and competences.

We re-use or adapt pre-existing arrangements/systems/processes wherever possible and will always aim to build on pre-existing arrangements that are proven to work in your organisation.

The following modules outline the range of support services that we offer to supplement your internal capabilities and capacity. We will be happy to provide ROM costs for the modules you think may be useful and to discuss how we can adapt our services to meet your specific needs.

## Modules offered

### 1. Approval Discovery Workshop

We will validate your ideas and plans and enable you to discover what's possible and what's involved with gaining the approval. We will identify the initial steps, key challenges and how to get started.

### 2. Project Management

We can manage the entire approval preparation process for you or with you and deliver or guide you through each step. In all cases, we seek to deliver knowledge and expertise transfer, ensuring that you can sustain the approval once it is granted.

### 3. Gap Analysis – Policy/Process/Procedures, Facilities/Infrastructure, and Competence

As a significant element of the Understand phase, we will complete an assessment of the differences between your current state and that required for approval. This encompasses high-level reviews of your facilities, resources, policies & procedures and staff competence, providing a clear understanding of what needs to be addressed during the preparation stage.

Our report will provide you with phased recommendations, forming a checklist for the project.

### 4. Application Preparation

#### Forms completion

We will support the completion or review of the necessary application forms for the approval.

#### Authority engagement coaching

We will advise you how to engage with your Regulator, to build their confidence in your ability to manage compliance with the rules and operate safely.

### 5. Management Structure Review or Development

We will review or provide guidance on the optimal organisation management structure, considering all relevant business activities and company structures. Our methodology includes an assessment of the clarity of ownership of responsibilities and functions, reporting lines, efficiency and independence, where necessary.

### 6. Exposition/Handbook/Procedures Development Support or Independent Review

#### Drafting

We will support you to draft your Exposition/Handbook/Manuals and Procedures, embedding suitable pre-existing processes and other systems/material, wherever possible. The format/template for any documents will be agreed, and content may be integrated into any document management, information system or document hierarchy system that you may use.

#### Independent review

We will complete an independent review of your Policies, Processes and Procedures in readiness for your Regulator's review, should you choose to draft them in-house.

### 7. Compliance Statement Generation

We recommend the compilation of a compliance statement, used for internal governance and demonstration of conformance to your Accountable Manager and your Regulator. This may be developed as part of any independent pre-audit, separate compliance verification activity or preferably, as a living document used as a guide throughout the project.

## 8. Independent Pre-Audit

We will complete an independent pre-audit, where internal governance, time or the relationship with the Regulator is critical. The pre-audit aims to provide confidence to internal stakeholders and minimise the number of audit findings raised by the Regulator during their assessment, thereby minimising the time taken to achieve approval.

## 9. Training

We offer training at Foundation, Practitioner and Advanced levels to support the desired competence development of your team in the following broad areas;

- Leadership/Nominated Persons personal development
- Regulations
- Audit/Compliance Monitoring
- Safety
- Specialist technical competence development

Training may be delivered in one of two ways;

- For small numbers of people, our academy runs around 200 courses per year
- For larger groups and a bespoke delivery, we can deliver training at your premises.

## 10. Enabler Development

The Baines Simmons SMARRT MAP™ includes both the management system, as required by the regulations, and organisational enablers as follows;

- Leadership
- Competence
- Capability (Systems and resources)
- Culture, and
- Assured Performance

In our experience it is these enablers that engage the organisation's management system to perform at its best.



## 11. Authority Audit Response Support

Should you receive any findings as a result of the Authority's assessment, we will help you to;

- develop a robust response including, where necessary;
  - a root cause analysis
  - Exposition/Procedure amendment, or
- review/validate your draft closure proposals.

## 12. SMARRT ASSIST™ – Help-Desk Services

We offer an on-line Help-Desk service as part of any approval support service, providing access to our team of specialists to answer any questions or provide an independent perspective on any area covered by the SMARRT MAP. In other words, anything affecting the management of Regulatory Compliance, Quality or Safety performance.

## Methodology

We will support you with the delivery of the modules that you choose, working with you to grow the maturity and readiness of your organisation. Baines Simmons utilises the maturity model shown below, being increasingly used by Regulatory Authorities to provide a clear picture of the ability of the organisation to perform.



<b>Present (P):</b>	Evidence that the 'indicator' is clearly visible and is documented
<b>Suitable (S):</b>	Evidence that it is suitable based on the size, nature and complexity of the organisation
<b>Operating (O):</b>	Evidence that the indicator is in use and a clear output is being produced
<b>Effective (E):</b>	Evidence that the indicator is effective and achieving the desired outcome

## Summary

With our proven methodology, we will help you build a performing management system, with continuous improvement and learning embedded.

**Contact us to find out more about our services and discuss which modules are of interest to you.**