

Optimising Compliance – A Performance-based Approach



Meeting your compliance obligations whilst ensuring operational effectiveness is a constant challenge, with compliance traditionally viewed as a necessary burden rather than an asset that can deliver performance benefits. The move towards performance-based regulation¹ has driven a sharper focus in organisations on how to address integrating business and compliance activities more effectively². To that end, many organisations are now taking a proactive stance to set themselves up for success, enabling them to assure themselves and their stakeholders that they truly own, delegate and demonstrate compliance in their workplace. However, for many, the question is where to start?

Benefits

An effective regulatory management system will enable you as an organisation to:

- ▶ Gain efficiencies by integrating compliance and safety with business processes and operations so that they are not regarded as separate and parallel activities with separate lines of costs and resourcing
- ▶ Increase confidence in your stakeholders by demonstrating how you are both performing and meeting your compliance obligations, thereby lowering organisational risk
- ▶ Reduce regulatory oversight visits or the Regulator's Level of Involvement (LOI)
- ▶ Realise the benefits from compliance management software investments (e.g. AMOS, SAP, etc.) by ensuring that there is a clear line between processes to support regulatory compliance and the procedures managed by the software
- ▶ Improve your decision-making and prioritisation on where you need to focus effort with reliable measures and reporting mechanisms

Our approach

Our management system improvement programmes work with all organisations, irrespective of the approval held. Using our 3 Lines of Defence risk governance model³, which we use to clarify accountabilities and responsibilities, we adopt a staged approach of introducing ownership, delegation and demonstration of compliance.

Our methodology aims to build collective competence and increased engagement amongst stakeholders. We achieve this by using key models and concepts such as the PSOE maturity scale and Key Performance Questions and indicators to help you and your organisation prioritise and give focus to your improvement activities. The programme culminates in a learning transfer stage to ensure that the improvements made are sustained.



Delegates building processes in one of our workshops

¹ EASA; A Harmonised European Approach to a Performance-Based Environment (PBE)

² "...SMS as something implemented not solely to prevent incidents and accidents but to ensure the success of as many elements of an organisation's business as possible, any investment in safety should be seen as an investment in productivity and organisational success." EASA Opinion 06/2016 - Embodiment of safety management system (SMS) requirements into Commission Regulation (EU) No 1321/2014 - SMS in Part-M

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Key areas of focus

Through a series of workshops and tasks, we will explore and help your organisation to address the following:

- ▶ Compliance framework/s – interpreting the intent for your context
- ▶ Roles – ownership, delegation and demonstration of regulatory compliance
- ▶ Building an effective regulatory organisational structure that allows business integration
- ▶ Developing processes, standards and controls that are owned throughout the organisation
- ▶ Developing meaningful measurement and reporting capabilities that demonstrate how well compliance is being managed
- ▶ Expositions - development and integration activities



About Baines Simmons

We are passionate about aviation safety and trusted by the world’s leading civil and defence aviation organisations to help improve regulatory compliance and safety performance through training and consulting programmes that are designed to make a real and lasting impact on aviation safety.

With our skilled people, world-class methodologies and management system approach, we are able to provide agile Compliance Management solutions for organisations of any size.

- ▶ Improve compliance, organisational safety performance and operational capability
- ▶ Protect lives, assets, profitability and reputation
- ▶ Reduce risk, re-work, error, inefficiency and incidents.

“Together with the Engineering & Maintenance Division, [Baines Simmons] are working to develop Regulatory Performance initiatives that integrate compliance with business as usual to produce improved safety and operational performance. Thank you to the team ... for a great series of workshops to date.”

Malaysia Airlines



Jeff Fieldhouse
Subject Leader

Jeff leads the development of our Regulatory Compliance proposition, specialising in the emerging EASA management system philosophies. As a member of the EASA cross-domain working group, he is at the forefront of Performance Based Regulation (PBR) development.

Working with a diverse global Civil and Military client base, Jeff manages consulting programmes in Quality, Safety Culture, Regulatory Compliance and Airworthiness Management, resulting in demonstrable safety improvement initiatives.