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1. Introduction

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3.1

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1.1. Introduction

1.1.0.1.

This audit process and its associated question sets have been developed for use by OCs/DTs undertaking ASEMS related audits. Depending on the audit requirement, the question sets should be tailored to ensure the correct focus for the audit is maintained. Whilst the majority of the questions have been developed in accordance with ASEMS - Part 2 Instructions, Guidance and Support and incorporated as generic safety and environmental related questions, there will be some domain specific requirements that will apply (e.g. Airworthiness or Ordnance, Munitions and Explosives (OME) responsibilities). These are not covered in these procedures and will have to be added as required

1.1.0.2.

Internally, within DE&S, Audit and Assurance is conducted at two levels:

1. **External Audit.** External system audits of DE&S OCs/DTs are conducted by, or on behalf of, the Quality Safety and Environmental Protection (QSEP) Audit and Assurance Team. QSEP is responsible for managing and coordinating all activities related to the organisation and control of the DE&S level Safety and Environment audit programme. The QSEP Audit Team has its own audit process which is a variation of the one described in this manual. It differs mainly because it incorporates a themed risk based approach and utilises a two tier approach where a team specific audit report is provided to OCs/DTs and a corporate level report to the DE&S Safety Committee.
2. **Internal Audit.** OCs/DTs are to conduct internal safety and environment management system audits in accordance with their risk profile and published audit programme. When conducting these audits, OCs/DTs are to use this manual and the procedures detailed herein to ensure that ASEMS related audits are undertaken in a consistent manner. DTs are to conduct internal audits of their own ASEMS compliance and OCs to conduct audits of their DTs SEMS.

1.1.1. Audit

1.1.1.1.

The primary objective of undertaking ASEMS related audits is to provide assurance to the Chief Executive Officer and the DE&S Safety Committee, that the Acquisition Safety and Environmental Management System is suitable and sufficient and is effective in delivering safe equipment.

1.1.1.2.

The secondary objectives of undertaking audits are to:

1. Provide objective evidence and assurance that the DT Safety and Environmental Management System(s) is operating in accordance with MOD and applicable safety and environmental legal and non-legal requirements;
2. Provide objective evidence that the DT Safety and Environmental Management System(s) is compliant with the requirements of ASEMS Part 2, Instructions, Guidance and Support and Defence Regulations;
3. Identify opportunities to improve the Safety and Environmental Management System(s);
4. Identify opportunities to improve Safety and Environmental performance;
5. Identify opportunities to raise awareness, provide training and increase competency of staff dealing with safety and environmental issues;
6. Recognise and share good practice;
7. Inform the Management Review process; and

8. Inform policy development.

1.1.2. Audit Process

1.1.2.1.

Each Operational Centre & Delivery Team's Safety and Environmental Management System should be reviewed at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Reviews should include assessing opportunities for improvement and the need for changes to the Safety and Environmental Management System, including the Safety and Environmental Management policy and objectives.

1.1.2.2.

The ASEMS Audit Process is set out in the diagram below which represents the audit methodology that should be applied. It is important that all parties involved in the audit understand the importance of the audit and agree on a schedule that ensures the audit and assurance process can be maintained, without causing unnecessary disruption to the DT activities.

□

1.2. Version Control

1.2.1. Version 2.3 to 3.0 Uplift

1.2.1.1.

Major uplift from the Acquisition System Guidance (ASG) to online version. POEMS has undergone major revision. Refer to the POEMS Transition Document for details.

1.2.2. Version 3.0 to 3.1 Uplift

1.2.2.1.

Text change replacing Project Team with Delivery Team.

Source URL: <https://www.asems.mod.uk/assurance/introduction>