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1. Audit Question Set Section 1.1 Conform to Secretary of State for Defence's Policy

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Summary:
The Audit Question Set used as assurance in order to adhere to the policy described in policy clause 1.1.
audit_body_Text:

1.1. These questions address ASEMS Part 1, Clause 1.1 and DSA 01.1, Elements A, C and K

1.1.1. Applicable legislation, defence regulations, policy and guidance

1.1.1.1.

1. What legislative, regulatory, certification and standards requirements are applicable to your project and where are they recorded? (SMP01 & EMP01 refer)
2. What processes were followed to generate the lists of requirements and where are they documented?
3. What checks have been carried out to assure the adequacy and completeness of the requirement lists? (Generic assurance Q)
4. How did you confirm the competence of those tasked with generating the lists? (Generic SQEP Q)
5. How are changes to legislation, standards, etc, tracked and used to update your requirements lists?
6. How are waivers or exemptions from requirements managed and where are their outcomes recorded?
7. How are details of requirements retained and protected against loss throughout the life of the project? (Generic Document Control Q)

1.1.2. Organisational leadership, culture, capability and change management

1.1.2.1.

1. How were the safety responsibilities of the Team Leader and individual team members established?
2. What processes were followed?
3. Where are the outputs of such processes recorded? (Generic Document Control Q)
4. How are changes to individual's safety responsibilities tracked and recorded?
5. What processes are in place to identify and record the safety responsibilities of key project stakeholders, including Duty Holders? (SMP01 & EMP01 refer)
6. Where are the outputs of such processes recorded? (Generic Document Control Q)
7. How are significant safety related occurrences and faults reported and addressed?
8. What arrangements are in place to enable decision making and the communication of safety related issues between all involved?
9. Where are the outputs of such discussions documented? (Generic Document Control Q)
10. What arrangements are in place to enable the upward and downward flow of safety related information within the organisation?

1.1.3. Self - assurance

1.1.3.1.

1. What internal and / or external oversight has been carried out to assure the adequacy and effectiveness of the above arrangements and their outcomes?