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2. Policy Clause Overview

ASEMS Document Version:

3.1

Effective From:

Monday, 3 July, 2017 - 00:15

Summary:

List of Part 1 Policy Clauses

2.1. Overview

2.1.0.1.

ASEMS Part 1 - Policy comprises 43 policy statements grouped in 6 loosely related sections as follows:

2.2. Part 1 - General Clauses

2.2.0.1.

These clauses represent those overarching general requirements that shall be used in all instances. If the clause is self-explanatory, there may not be explicit Instructions in ASEMS - Part 2 Instructions, Guidance and Support to support them but where these are provided, the Instructions and Guidance will provide a best practice method for compliance.

2.2.1. Clause 1.1 Conform to Secretary of State for Defence's Policy

2.2.1.1.

Those holding safety and environmental protection delegations shall ensure that in the procuring or supporting Products, Systems or Services, they conform to the Secretary of State's Health, Safety and Environmental Protection Policy Statement.

2.2.2. Clause 1.2 Instructions

2.2.2.1.

The instructions defined in ASEMS - Part 2 Instructions, Guidance and Support should be used to manage safety and environmental impact within DE&S.

2.2.3. Clause 1.3 Duty Holders

2.2.3.1.

Duty Holders shall be appointed and Letters of Delegation issued in accordance with the DE&S Chief Executive Officer's Organisation and Arrangements.

2.2.4. Clause 1.4 Interfaces

2.2.4.1.

Interfaces between organisations shall be identified so that risks across them can be appropriately managed and effectively communicated.

2.2.5. Clause 1.5 Data and Record Format

2.2.5.1.

Data shall be maintained in a format which satisfies the reporting requirements of senior management within DE&S. Auditable records shall be made and kept under review in accordance with relevant legislation.

2.2.6. Clause 1.6 Significant Occurrences and Fault Reporting

2.2.6.1.

All Project Teams shall record and report significant Product, System or Service faults, accidents, incidents and near misses to the DE&S Safety Committee through the Quality, Safety and Environmental Protection Team.

2.2.7. Clause 1.7 Learning From Experience

2.2.7.1.

Operating Centres, Project Teams or equivalents shall ensure accidents and incidents are investigated to identify opportunities to reduce the likelihood and impact of recurrence. Lessons learned shall be shared amongst all relevant stakeholders to maximise benefit.

2.2.8. Clause 1.8 Training

2.2.8.1.

DE&S sponsored courses for system safety and environmental protection shall be the recognised route for achieving suitable and sufficient competence throughout DE&S.

2.3. Part 2 - Leadership Responsibilities

2.3.0.1.

Leadership responsibilities for safety and environmental protection permeate through every Clause, and are the heart of any successful safety and environmental management system; however these Clauses confer specific requirements upon management and make compliance easier to measure.

2.3.1. Clause 2.1 Organisation and Arrangements

2.3.1.1.

Operating Centre Directors or equivalent shall document their Organisation and Arrangements that shall communicate their commitment to Secretary of State for Defence's policy statement, continual improvement, positive safety and environmental culture, to minimise adverse effects on the environment, and comply with legal and other appropriate requirements.

2.3.2. Clause 2.2 Communication

2.3.2.1.

Operating Centres, Project Teams or equivalents shall ensure that communication procedures are implemented that provide an effective flow of safety and environmental protection information upwards, downwards and across their organisation.

2.3.3. Clause 2.3 Organisational Change Management

2.3.3.1.

Operating Centre Directors or equivalent shall identify any increased safety risk associated with organisational change and manage it appropriately.

2.4. Part 3 - Safety and Environmental Management System

2.4.0.1.

These Clauses place specific requirements upon organisations and individuals and represent the minimum requirements for a safety and environmental management system. They include the requirement to plan for safety and environmental protection, to enact that plan, check that the plan is working and to make changes where necessary to improve the system

2.4.1. Clause 3.1 Safety and Environmental Management System

2.4.1.1.

Operating Centres, Project Teams or equivalents shall operate in compliance with established Safety and Environmental Management Systems.

2.4.2. Clause 3.2 Safety and Environmental Management Plan

2.4.2.1.

Operating Centres or equivalent shall ensure that all Products, Systems or Services have a suitable and sufficient through life safety and environmental management plan.

2.4.3. Clause 3.3 Stakeholder Agreements

2.4.3.1.

Agreements between Stakeholders shall define and document system safety and environmental protection responsibilities.

2.4.4. Clause 3.4 Availability of Resources

2.4.4.1.

Operating Centres, Project Teams or equivalents shall ensure the availability of resources necessary to establish, implement and maintain the safety and environmental management system and detail these in a through life safety and environmental management plan.

2.4.5. Clause 3.5 Core Element Documentation

2.4.5.1.

Operating Centres, Project Teams or equivalents shall establish, maintain and retain suitable and sufficient information that describes the core elements of the safety and environmental management system(s), their interaction and any related documentation.

2.4.6. Clause 3.6 Accountability

2.4.6.1.

Within Operating Centres, Project Teams or their equivalents, named individuals shall be appointed who shall have defined roles, responsibilities, accountabilities and authority for ensuring safety and environmental management systems are established, implemented and maintained in accordance with the requirements of ASEMS.

2.4.7. Clause 3.7 Monitoring

2.4.7.1.

Operating Centres, Project Teams or equivalents shall establish, implement and maintain a suitable and sufficient procedure to monitor and measure safety and environmental performance of their safety and environmental management system on a regular basis.

2.4.8. Clause 3.8 Audit Frequency

2.4.8.1.

Compliance with the documented safety and environmental management system shall be verified via audit at planned intervals according to a published schedule, and as required.

2.4.9. Clause 3.9 Internal Audit

2.4.9.1.

At planned intervals commensurate with the risk:

1. Operating Centres shall audit their Project Teams' or equivalents' safety and environmental management systems.
2. Project Teams or equivalents shall audit the safety and environmental management systems of their projects.
3. The DE&S Quality, Safety and Environmental Protection Team shall audit the safety and environmental management systems of Operating Centres and Project Teams.

2.4.10. Policy Clause 3.10 Review

2.4.10.1.

Operating Centres, Project Teams or equivalents shall review their safety and environmental management systems, at planned intervals commensurate with the risk, to ensure their continuing suitability, adequacy and effectiveness.

2.5. Part 4 - Safety and Environmental Cases/Assessments

2.5.0.1.

These Clauses contain the requirements that each safety and environmental case/assessment shall contain. Defence Regulators may require further, additional, requirements to what is contained in these clauses. Adherence to these Clauses will ensure safety and environmental cases/assessments contain the minimum evidence necessary to support safety and environmental arguments that Products, Systems and Services are safe to use.

2.5.1. Clause 4.1 Safety Cases

2.5.1.1.

Project Teams or equivalents shall establish and maintain through-life safety cases that provide a compelling, comprehensible and valid argument that a Product, System or Service is safe for a given application in a given operating environment.

2.5.2. Clause 4.2 Environmental Cases

2.5.2.1.

Project Teams or equivalents shall establish and maintain through-life environmental cases that provide a compelling, comprehensible and valid argument that the environmental impact of a Product, System or Service is reduced or Best Practicable Environmental Option (BPEO).

2.5.3. Clause 4.3 Legislation Identification

2.5.3.1.

Operating Centres or equivalent shall establish and maintain a procedure for identifying and accessing the safety and environmental legislative and other requirements that are applicable to their projects.

2.5.4. Clause 4.4 Legislation Compliance and other Requirements

2.5.4.1.

Project Teams or equivalents shall establish, and demonstrate compliance with, relevant legislation and other requirements.

2.5.5. Clause 4.5 Environmental Impact Identification

2.5.5.1.

Operating Centres, Project Teams or equivalent shall establish, implement and maintain a procedure for the on-going proactive identification of environmental impacts.

2.5.6. Clause 4.6 Safety Hazard Identification

2.5.6.1.

Operating Centres, Project Teams or equivalent shall establish, implement and maintain a procedure for the on-going proactive identification of safety hazards.

2.5.7. Clause 4.7 Safety and Environmental Objectives and Targets

2.5.7.1.

Operating Centres, Project Teams or equivalents shall establish and maintain relevant safety and environmental objectives with a resourced programme to achieve targets.

2.5.8. Clause 4.8 Accident and Incident Records

2.5.8.1.

Operating Centres, Project Teams or equivalent shall monitor and record accidents and incidents, including near misses, where the performance of their Product, Systems or Services results in harm to individuals or damage to the environment and use this information to keep their risk assessments valid.

2.5.9. Clause 4.9 Assessment Approval

2.5.9.1.

Project Team Leaders or equivalent shall personally approve safety and environmental case reports to confirm their acceptance with the progress of the safety case/assessment and of the risks associated with the project.

2.5.10. Clause 4.10 Independent Assurance

2.5.10.1.

The Project Team Leader or equivalent shall ensure independent review of the Safety and Environmental Management System as appropriate and commensurate to the risk

2.6. Part 5 - Risk management

2.6.0.1.

Risk Management is an essential function of safety and environmental protection and these Clauses reflect that importance. They set both general safety and environmental protection standards and specific DE&S requirements that support the need for assurance and performance monitoring to the Defence Board. The requirement to refer risks through Line management is included here.

2.6.1. Clause 5.1 Risk and Impact Assessment

2.6.1.1.

All foreseeable Safety Risks and Environmental impacts shall be identified, assessed, prioritised and managed.

2.6.2. Clause 5.2 Change Management

2.6.2.1.

Operating Centres, Project Teams or equivalents are to ensure that all new or increased safety risks arising from changes to Products, Systems or Services or to their operating environment are managed appropriately

2.6.3. Clause 5.3 Hierarchy of Controls

2.6.3.1.

Operating Centres, Project Teams or equivalent shall adopt a recognised hierarchical approach for achieving a reduction in safety risk and environmental impact.

2.6.4. Clause 5.4 Consultation

2.6.4.1.

Operating Centres, Project Teams or equivalent shall ensure that all stakeholders are identified and consulted so that their views and responsibilities are considered when managing safety and environmental risks.

2.6.5. Clause 5.5 Safety Risk

2.6.5.1.

Products, Systems or Services shall not have safety risks that have not been formally assessed, justified and declared to be Tolerable and As Low As Reasonably Practicable (ALARP), unless communicated and accepted by a Duty Holder (DH).

2.6.6. Clause 5.6 Environmental Impact

2.6.6.1.

Significant environmental impacts shall be minimised utilizing BPEO.

2.6.7. Clause 5.7 Non-compliance Reporting

2.6.7.1.

Operating Centres, Project Teams or equivalentents shall take immediate steps to correct situations where there is any lack of clarity in the authority, instructions or the responsibilities they give rise to, insufficiency of resources or deficiency in any practice or procedure being followed that may compromise safety and environmental standards. Where it lies outside the control of the delegation holder, they are to refer the matter through the line management chain. This requirement is to be placed on any further delegation of this authority.

2.6.8. Clause 5.8 Referral Requirements

2.6.8.1.

Where risks cannot be managed within an individual's delegated responsibility, the risk shall be formally referred using the [DE&S Risk Referral procedure](#) [1]. [2]

2.7. Part 6 - Competence

2.7.0.1.

It is necessary that those involved in safety and environmental protection are suitably qualified and experienced in order for them to perform their roles. These Clauses detail the way that competence is to be captured and assessed.

2.7.1. Clause 6.1 Roles and Responsibilities

2.7.1.1.

Operating Centres, Project Teams or equivalentents shall demonstrate that competence requirements have been established for all roles in accordance with the DE&S System Safety & Environmental Protection Role Profiles.

2.7.2. Clause 6.2 Suitably Qualified and Experienced Personnel

2.7.2.1.

Operating Centres, Project Teams or equivalentents shall ensure that those engaged in safety and environmental protection are suitably qualified and experienced to discharge their safety and environmental responsibilities.

2.7.3. Clause 6.3 Competence

2.7.3.1.

The system safety and environmental competence of all staff in posts with system safety and environmental responsibilities shall be regularly assessed, monitored and recorded.

2.8. Version Control

2.8.1. Version 2.3 to 3.0 Uplift

2.8.1.1.

Major uplift from the Acquisition System Guidance (ASG) to online version.

2.8.2. Version 3.0 to 3.1 Uplift

2.8.2.1.

Minor version uplift - GMP reference to Risk Referral leaflet updated to reflect changes to GMP org-structure.
7/7/18

Source URL: <https://www.asems.mod.uk/policy/section/policy-clauses-nutshell>

Links

[1] http://www.asems.mod.uk/sites/default/files/documents/SEP%20Leaflets/GMP00/20160809-SEP_Leaflet_032011%20Risk%20Referral.pdf

[2] <https://www.asems.mod.uk/Gmp04>