JSP 815 Volume 1
Defence Safety Management System (Framework)

Contents

Amendment record

This framework has been reviewed by the Directorate of Defence Safety (DDS) together with relevant subject matter experts and key safety stakeholders. Any suggestions for amendments **should** be sent to COO-DDS-GroupMailbox@mod.gov.uk.

Version No	Date Published	Text Affected	Authority
1.0	Sep 22	Release of new Defence SMS Part 1	Dir HS&EP
1.1	7 June 23	Restructure to Defence SMS Volume 1	DDS

Terms and definitions

General safety terms and definitions are provide in the Master Terms and Definitions Glossary which can also be accessed via the GOV.UK page.

Note: JSP 815 Volume 1 must be read in conjunction with JSP 815 Volume 2 which provides further clarity and information on the corresponding 12 Elements.

Must and should

Where this framework says **must**, this means that the action is a compulsory requirement.

Where this framework says **should**, this means that the action is not a compulsory requirement but is considered good practice to comply with the policy.

Scope

This policy applies to all those employed by Defence (military or civilian) as well as those working on behalf of Defence (for example, contractors). It applies to all Defence activities carried out in any location (UK or overseas).

Introduction

1.   The Defence Safety Management System (SMS) is the system by which all Defence organisations manage the interrelated parts of their business in order to conduct and manage activities safely. Each Defence organisation is expected to develop and maintain an organisational SMS that reflects their activities and support the Defence vision for Safety. Each organisational SMS should relate back to this overarching policy document.

2.   Responsibility for the management of health, safety, and environmental protection (HS&EP) is derived from the Secretary of State for Defence's (SofS) Policy Statement. The SofS Policy Statement sets out the commitment and role of the Defence organisations senior leaders to ensure that safety policies and regulations are applied throughout Defence and that their Defence activities are delivered in line with the Defence Safety Management Systems (SMS) and their own Organisational SMS.

3.   The amplification of the SofS Policy Statement is contained in Defence policy for Health Safety and Environmental Protection (HS&EP) which also sets out the general Organisation and Arrangements (O&A) for Defence to manage HS&EP. The minimum necessary management arrangements for safety policy are laid out in JSP 815. The management arrangements for Environmental Protection policy are laid out in JSP 816.

4.   The term **safety** is used throughout JSP 815 Volumes 1 and 2. Safety in this context encompasses **health** by providing safe systems of work and thus protecting people from harm and ill-health. However, there will be some references to health and safety throughout both documents where statute (for example the Health and Safety at Work etc Act 1974 (HSWA74)) or Defence policy and regulation defines them.

5.   Other aspects of health are covered by the Healthcare & Medical Operational Capability Function set out in JSP 950 (Medical Policy) and the People Function set out in JSP 661 (Health and Wellbeing).

Purpose

6.   This policy document, JSP 815 Volume 1 provides the framework that Defence should meet to deliver its 'duty of care' responsibilities towards personnel. It also contributes towards demonstrating compliance both with the requirements of the HSWA74 and relevant Government policy, Defence policy and regulations.

7.   Assurance of Defence activities, the Defence SMS and the Defence organisations SMS are carried out in line with the principles of the three Lines of Defence (LOD) as set out in the HMT Orange Book – Management of Risk – Principles and Concepts and further detailed in JSP 815 Volume 2 Element 12.

8.   Defence organisations can prevent acute ill-health issues to their personnel from occurring by implementing safety control measures in order to reduce risks to 'as low as is reasonably practicable (ALARP). Some safety risks for example; exposure to asbestos, noise and vibration may take a long time before ill-health becomes apparent and therefore Defence organisations can also understand chronic ill-health issues by implementing health surveillance and monitoring.

9.   The Defence SMS Framework is structured around 12 Elements. The direction that must be followed and the guidance and good practice that should be followed on implementation of the SMS, can be found in JSP 815 Volume 2.

10.   The Defence SMS comprises of JSP 815 Volume 1 Framework and JSP 815 Volume 2 Guidance together, with the Defence Safety Function Operating Model and JSP 375 (Figure 1).

		Responsibility
DSA Charter	SofS HS&EP Policy Statement	DDS
Defence Safety and Environmental Management System (Defence SEMS) Defence SMS (JSP 815) + Defence EMS (JSP 816)		DG DSA
DSA Operating Model (DSA 01)	Defence Safety & EP Policy	Defence Organisations
	JSP 375 Management of Health and Safety	
DSA Regulations (DSA 02)	JSP 418 Management of Environmental Protection	
	JSP 426 Defence Fire Safety & Risk Management Policy	
DSA Regulatory Guidance (DSA 03)	JSP 392 Management of Radiation Protection	
Defence Organisations - Safety and Environmental Management Systems (SEMS)		

Figure 1: Defence Safety & EP policy and regulation framework

11.   Where possible, the Defence SMS Framework seeks to avoid prescribing approaches or requirements, as these may not be generally applicable or relevant for all users but sets goals and provides direction on what good would look like.

12.   This framework covers both safety and system safety and as such for the purposes of this JSP the elements and expectations apply equally.

Management system approach

13.   A management system comprises a range of practices, processes, documents, and information systems used to organise, direct and control safety management within an organisation.

14.   The Defence SMS Framework provides direction on the components needed for a cohesive and appropriate safety management system. The framework encompasses the safety management elements required to operate in an effective and consistent manner throughout the Department.

15.   The Defence SMS Framework is based on the four-stage 'Plan-Do-Check-Act' approach (Figure 2) which helps to deliver and continually improve the Department's performance relating to safety):
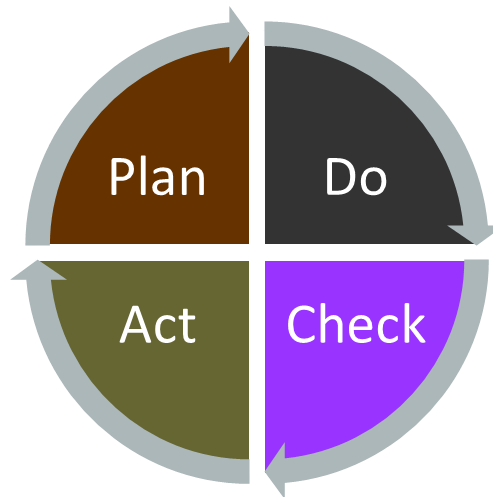
Figure 2: Plan-Do-Check-Act Cycle

16.   The Director for Defence Safety (Director DS) will oversee the process of implementing the Defence SMS as part of the wider Defence Safety Functional strategy.

17.   The Defence SMS Framework:

a.   is non-prescriptive and based on a devolved accountability model of safety management, allowing each Defence organisation to manage safety consistent with Defence requirements, through their own specific organisational governance and operational context;

b.   outlines responsibilities and obligations each Defence organisation must consider when managing safety, and includes a set of expectations and performance statements that all Defence organisations must conform to when establishing governance frameworks, developing safety management strategies, processes and performance indicators to regularly monitor and improve their safety management; including the need to establish systems to identify and address performance failures;

c.   is aligned to ISO 45001, the international standard for safety management, but has some additional and different requirements to meet the specific needs of Defence.

18.   Because JSP 815 Volume 1 is a more goal-based approach to managing safety in Defence setting the safety ambition of Defence; it enables each Defence organisation the flexibility to develop their own tailored SMS and pathways to meeting that ambition.

Role of the Defence Safety Function

19.   Defence function owners – including the Director DS – are responsible for developing the relevant mechanisms to support their Functional Strategy and are empowered to implement these mechanisms across Defence to drive improvement including:

a.   responsibility for Defence Safety Functional Leadership across Defence, on behalf of the Chief Operating Officer (COO).

b.   responsibility for the corporate governance of Defence Safety, on behalf of the Permanent Secretary.

c.   owning the Defence Safety Functional Strategy, the Safety Operating Model and the overarching Defence Safety Management System (SMS).

20.   The Defence Safety Function checks safety performance through the appointed persons within the Defence organisation who are responsible for Second Line of Defence (2LOD) assurance including through undertaking an annual assessment of their organisation's performance against the Defence SMS Framework. Organisations which consistently meet and can evidence the performance statements at substantial and full assurance level are likely to perform more strongly under scrutiny.

Structure

21.   The Defence SMS Framework is divided into 12 **elements** to cover Defence organisation activities. Together, the elements provide those conducting their own SMS with a holistic approach to consider how they will control, manage and respond to relevant safety risks. The 12 elements which form the Defence SMS Framework are shown in Figure 3.

Figure 3 - Defence SMS Framework 12 Elements

22.   Each element is supported by a series of **expectations** which describe the activities expected to be in place within each Defence organisation's safety management systems. They outline typical processes, governance arrangements and other behaviours which are indicators of successful management systems.

23.   Each expectation is further articulated by **performance statements** which set out how compliance and continual improvement is demonstrated. Examples are given of performance across a maturity continuum, from those that would lead to no assurance, through limited, substantial, to full assurance. The 12 elements and their supporting expectations are shown in Figure 4.

E1 Leadership, Governance and Culture	**E1.1** Tone from the top **E1.2** Continual improvement **E1.3** Accountabilities and responsibilities **E1.4** Leadership visibility **E1.5** Strategic objectives **E1.6** Resilient safety management	Element 1
E2 Organisation and Dependencies	**E2.1** Safety Management System **E2.2** Roles, responsibilities, and accountabilities **E2.3** Allocation of resources **E2.4** Sharing information **E2.5** Standards of Safety Management **E2.6** Consultation with the workforce **E2.7** Changes to structure and personnel **E2.8** Dependencies and interfaces	Element 2
E3 Legislation, Policy, Regulations and Guidance	**E3.1** Compliance with legislation **E3.2** Compliance with expectations **E3.3** Defence organisation's policy and guidance **E3.4** Communicating compliance requirements **E3.5** Review of policies and guidance **E3.6** Exemptions, waivers, and concessions	Element 3
E4 Risk Assessments and Safety Cases	**E4.1** Risk Profiles and Hazard Identification **E4.2** Managing risks **E4.3** Management of risk **E4.4** Communicating risks and controls **E4.5** Improving risk management **E4.6** Changes affecting the Defence organisation **E4.7** Safety cases	Element 4
E5 Supervision, Contracting and Control Activities	**E5.1** Delegation of authority **E5.2** Competence of delegated authority **E5.3** Risk elevation **E5.4** Letter of delegation **E5.5** Mitigation of risks to ALARP **E5.6** Ceasing activities **E5.7** Safe Systems of Work (SSW)	Element 5
E6 Personnel Competence, Resources and Training	**E6.1** Resources **E6.2** Responsibilities, accountabilities, and delegation **E6.3** People development **E6.4** Training programme **E6.5** Competency assessment	Element 6
E7 Equipment Design, Manufacture and Maintenance	**E7.1** Equipment lifecycle risks **E7.2** Risk mitigation **E7.3** Compliance with statute and Defence regulation **E7.4** Equipment maintenance **E7.5** Physical equipment changes **E7.6** Supply chain risks and dependencies **E7.7** Lessons learned **E7.8** Equipment and systems integration risk	Element 7

E8 Infrastructure Design, Build and Maintenance	**E8.1** Infrastructure lifecycle risks **E8.2** Risk mitigation **E8.3** Compliance with statute and Defence regulation **E8.4** Infrastructure maintenance **E8.5** Physical infrastructure changes **E8.6** Supply chain risks and dependencies **E8.7** Lessons learned	Element 8
E9 Performance, Management Information and Reporting	**E9.1** Monitoring performance **E9.2** Reviewing performance **E9.3** Management information review **E9.4** Leadership performance decisions	Element 9
E10 Accident / Incident Management and Emergency Response	**E10.1** Accident / Incident reporting **E10.2** Accident / Incident recording **E10.3** Accident / incident investigation **E10.4** Implementation of actions and learning **E10.5** Emergency and business continuity plans tested	Element 10
E11 Communications and Stakeholder Engagement	**E11.1** Stakeholder identification **E11.2** Stakeholder engagement **E11.3** Stakeholder collaboration **E11.4** Accessing information **E11.5** Raising concerns anonymously	Element 11
E12 Assurance	**E12.1** 1st Line of Defence (LOD) assurance **E12.2** 2LOD and 3LOD assurance **E12.3** Annual self-assessment **E12.4** Leadership review of SMS **E12.5** Corrective action	Element 12

Figure 4: Defence SMS Framework 12 Elements and supporting Expectations

Using the SMS

24.   It is the responsibility of each Defence organisation to develop and implement an SMS that meets the 12 elements, and accompanying expectations, for their organisation.

25.   Defence organisations should adopt an evidence-based approach to their own SMS. Several data sources, information and knowledge are likely to be used to measure an organisation's current safety performance.

26.   The documentation listed within each element, provide Defence organisations and assessors with an initial starting point to assess an SMS; the evidence to support performance assessment against each expectation and to determine overall performance against each element.

Relationship to the Defence Environmental Management System (EMS)

27.   JSP 815 Volume 1 contains the Defence Safety Management System Framework. The Defence Environmental Management System (EMS) Framework can be found in JSP 816 Volume 1.

28.   The JSP 816 Defence EMS Framework contains 12 element titles supported by expectations and performance statements aligned to the SMS but with the content amended to reflect environmental management and policy requirements. In so far as is practicable, both JSP 815 and JSP 816 have been similarly structed.

29.   JSP 816 must be read in conjunction with other Defence policy where appropriate; such as, but not limited to JSP 418, JSP 426, JSP 392 and JSP 850.

Authority of this Defence SMS

30.   The document takes its authority from the Secretary of State's (SofS) Policy Statement for Health, Safety and Environmental Protection (HS&EP) in Defence. All Defence organisations should be aware of the Defence SMS requirements and demonstrate their compliance with it.

Jurisdiction and legislation

31.   Any reference within the SMS to compliance with legislation generally refers to UK law. Where organisations conduct overseas activity or have an overseas presence, compliance with legislation requires them to consider the latest Defence policy, guidance on applying UK standards and the host nation's relevant safety expectations, particularly where these are not aligned.

Assurance stages

32.   Performance statements are provided on a maturity continuum aligned with the MOD's assurance stages. These stages are sequential and build on all previous stages i.e., an Organisation can only achieve "substantial assurance" once the expectations and requirements of "limited assurance" have been achieved, in addition to the new performance statements contained insubstantial assurance.

33.   Figure 5 sets out some of the typical characteristics of processes and controls for each level.

Figure 5: Assurance Stages

The figure shows four assurance stages:

Full Assurance
System of internal control established and operating effectively.

For example, processes deliver the characteristics of Substantial, with an added focus on continual improvement and control performance. A blend of incremental improvements and innovative technological changes are identified through proactive engagement with industry and sector good practice.

Substantial Assurance
System of internal control established and operating effectively with some minor weaknesses.

For example, processes are repeatable and consistently applied, with management able to articulate and report on current activities through consistent process metrics and indicators. Management can adjust and adapt processes to suit particular projects, maintaining quality and delivery. Repeatable outputs to be delivered to the desired level.

Limited Assurance
System of internal control established and operating effectively except for some areas where significant weaknesses have been identified.

For example, processes are typically repeatable with a degree of consistency. Process has some structure, however there is unlikely to be a review of the quality and consistency of control activity. There is limited documentation and evidence of control operation and outputs are not delivered to the desired level.

No Assurance
System of internal control poorly developed or non-existent or major levels of non-compliance identified.

For example, processes are typically undocumented and operate inconsistently. They may have been introduced through ad-hoc and reactive arrangements, rather than being designed to incorporate controls to manage known risks. This leads to undesired outputs and an inconsistent control environment between areas of the Defence organisation, teams and individuals.

12 Elements, Expectations and Performance Statements

34. The 12 Elements, Expectations and corresponding Performance Statements and are listed on the following pages.

Element 1: Leadership, Governance and Culture

Purpose

This element focuses on the extent to which a Defence organisation has a vision, clear aims and objectives about what it can and wants to achieve in terms of safety. Together with effective leadership, governance methods promote a consistent approach to safety management at all levels and support a positive, proactive culture of reporting and learning. This is supported by establishing accountability based on well-defined authority levels, acceptance of decision-making and a clear understanding of responsibilities.

The expectations in this element are:

E1.1 Leadership sets the "tone from the top" and actively demonstrate their commitment to safety.

E1.2 Leadership promotes a culture of continual improvement, speaking up and embedding transparent and open reporting.

E1.3 Leadership sets clear safety responsibilities by which the Defence organisation is measured and held to account.

E1.4 Leadership is visible at all levels of the Defence organisation; including through direct interactions with the wider workforce and other stakeholders on matters of safety.

E1.5 Corporate governance holds safety as an equal partner to other strategic objectives such as capability, cost and schedule.

E1.6 A culture is in place which fosters resilient safety management, engages people, and promotes effective safety behaviours.

Documents often associated with this element:

- Agenda and minutes of the safety committee meetings (Strategic, Tactical and Working)
- Annual Budget Cycle (ABC) planning (for inclusion of safety requirements)
- Command / Corporate plan
- Continual Improvement (CI) logs
- Contract management and supply chain management plans
- Corrective action plans
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- Delegations / letters of appointment and formal acceptance
- Establishment Management Plans
- Safety Organisation and Arrangement (O&A) statement
- Safety cultural surveys
- Joint Basing Arrangements (JBAs)
- Key Performance Indicator (KPI) targets and metrics
- Memorandums of Understanding (MOUs)
- People survey or equivalent e.g., Attitude Survey
- Review period of KPIs by a governance forum
- Senior Leadership Team (SLT) walk arounds & townhall briefings
- Service Level Agreements (SLAs)

Expectation 1.1 Leadership sets the "tone from the top" and actively demonstrate their commitment to safety.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no evidence of effective leadership relating to safety. • Employees are not consistently aware of the Defence organisation's safety goals.	• There is limited evidence of leadership messaging relating to safety that inspire others within the Defence organisation. • There is limited evidence to show that employees understand how they contribute to achieving the Defence organisation's safety goals and act accordingly.	• There is some evidence of leadership behaviours that inspire others within the Defence organisation to work to deliver against the safety vision of the organisation. • There is evidence to show that employees know how they contribute to achieving the organisation's safety goals but with minor weaknesses in understanding the organisation's relevant policies and vision of the senior team and acting accordingly.	• Leadership have set a vision and a clear tone for the top on safety. • Leadership is visible in the workplace and demonstrate their commitment to safety not just through words but via their individual actions and behaviours that clearly demonstrate to the workforce that they prioritise safety alongside other business objectives.

Expectation 1.2 Leadership promotes a culture of continual improvement, speaking up and embedding transparent and open reporting.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
- Leadership do no not value open and transparent reporting. - There is no systematic process for open reporting and ensuring that corrective actions are completed. As such, the Defence organisation does not know if lessons are being learned from incidents and cannot demonstrate continual improvement or a learning culture.	- Leadership speaks about the importance of open and transparent reporting, but this messaging is not consistent across the Defence organisation. - There is limited evidence of the use of open reporting systems leading to effective corrective action, but this is not consistent.	- Leadership consistently takes responsibility for developing and promoting an open and transparent reporting culture across the Defence organisation that supports effective safety risk management. - There is evidence of effective use of open reporting systems, with only minor weaknesses in the effectiveness of corrective actions undertaken.	- Leaders support fairness, openness and learning by making personnel feel confident to speak up when things go wrong, rather than fearing blame. - Actions and decisions are understood before they are judged, and people are supported to learn from their actions. - People are asked for their advice to help with designing the systems that could help change things for the better. - Those responsible for managing incidents draw on human factors (things which influence people's actions and decisions) investigations, skills and expertise to fully understand how an incident happened, the lessons that can be learned and how to adapt in the future.

Expectation 1.3 Leadership sets clear safety responsibilities by which the Defence organisation is measured and held to account.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Some of the Defence organisation workforce do not have defined safety roles and responsibilities. • Performance on safety is not considered during the performance appraisal process.	• Some of the Defence organisation workforce have defined safety roles and responsibilities. • Some of the Defence organisation workforce have safety objectives defined in their annual objectives, but this is not done consistently. • Performance on safety is considered during the performance appraisal process, but this is not done consistently.	• Most of the Defence organisation workforce, but not all, have defined safety roles and responsibilities. • Most, but not all, of the Defence organisation workforce have safety objectives defined in their annual objectives, and this is partially applied consistently. • Performance on safety is consistently considered during the performance appraisal process. • Leadership takes responsibility for ensuring required safety requirements are met in the Defence organisation's outputs / deliverables.	• Everyone in the Defence organisation has defined safety roles and responsibilities. • All of the Defence organisation workforce have safety objectives defined in their annual objectives, and this is applied consistently. • Driving continual improvement in safety is valued, rewarded, and recognised by leadership.

Expectation 1.4 Leadership is visible at all levels of the Defence organisation; including through direct interactions with the wider workforce and other stakeholders on matters of safety.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Leadership shows little or no consideration of safety issues or effect on outputs. Throughout the Defence organisation, individuals do not believe that leadership are interested in their safety. • There is no communication from leadership to stakeholders regarding safety performance and issues.	• Leadership considers safety risk management, but not in a consistent manner or its effects on outputs. Individuals across the Defence organisation believe that leadership are interested in their safety and are taking the necessary steps to reduce risks. • Leadership communicates on safety performance and issues to stakeholders but does not welcome challenge.	• Leadership shows a clear, wide-ranging understanding of the Defence organisation, including safety management and effects on outputs. • Individuals across the Defence organisation express confidence that safety matters are formally discussed by leadership and regularly assessed to reduce risks. • Leadership take action to equip stakeholders with sufficient and relevant information to allow them to challenge on safety issues as appropriate.	• Leadership has continuous engagement with the wider workforce and other stakeholders on safety. • Leadership meet and regularly review safety performance at leadership meetings beyond formal safety committee meetings. This is evident to the workforce. • Leadership encourages stakeholders to identify areas for improvement, leading to continual improvement in risk management through collaboration and innovation, including providing necessary resources.

Expectation 1.5 Corporate governance holds safety as an equal partner to other strategic objectives such as capability, cost and schedule.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is little or no evidence of understanding, at any level, of the importance of governance and reviews so that risk management objectives are delivered. • There are no governance arrangements in place to demonstrate that the SMS has delivered the intended objectives, and there is no analysis of the findings of monitoring and audits by leadership.	• There is limited evidence of understanding and support for the role of corporate governance in setting and reviewing safety performance, but it is inconsistent. • There are governance arrangements in place, but these do not always align with the organisational risk profile and strategies. Reviews are limited to simple data such as outcomes and status of actions from previous management reviews.	• There is widespread evidence that reviews result in effective changes to control safety risks. • Corporate governance arrangements systematically include lessons learned from events in other Defence organisations and other industries and include measures to assess the outcome of changes made. • Corporate governance sometimes holds safety equally to other strategic objectives.	• Corporate governance arrangements encourage suggestions for improvement, and these routinely trigger leadership reviews. • Reviews are carried out routinely and result in continual improvement of risk management. Outputs are shared widely to improve processes and encourage positive behaviours. • Defence organisations considers safety as equal to other strategic objectives.

Expectation 1.6 A culture is in place which fosters resilient safety management, engages people and promotes effective safety behaviours.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is little evidence to demonstrate that senior leadership are truly interested in safety. Rather, it appears to be viewed as a 'tick box' requirement which hinders rather than enables delivery of Defence organisation priorities. • There is no evidence that the SMS is seen as important or has been communicated outside of the team of safety specialists.	• Leadership gathers anecdotal evidence about the wider Defence organisation's culture and behaviour towards safety risk and considers this when designing and implementing policy. • There is limited evidence of effective safety behaviours among the workforce, with limited participation in safety management activities.	• Safety culture and behaviour surveys are issued and completed on an ad-hoc basis; results are reviewed by the team commissioning and organising the survey(s); and corrective actions are proposed to leadership. • There is some evidence of effective safety behaviours and engagement in safety management.	• Safety culture and behaviour surveys are completed and responded to on a regular basis. The outcomes are reviewed by leadership of appropriate seniority. Corrective actions are identified, implemented, and their impact is monitored. • There is clear evidence of widespread effective safety behaviours and active engagement in safety management.

Element 2: Organisation and Dependencies

Purpose

This element ensures that the Defence organisation's structure facilitates and encourages flexibility and collaborative working, while managing the associated safety risks and dependencies. This includes:

- Intra-organisation working between Defence organisations, with teams that are formed to best meet delivery requirements and mitigate safety risks rather than aligned with organisational boundaries;

- Inter-organisational working, such as with other government departments and the supply chain, which brings in experience and expertise from external parties; and

- Clear understanding on dependencies and appropriate delegations are in place across internal and external boundaries.

The Expectations in this element are:

E2.1 Defence organisations develop and maintain an SMS that is specific to their area of responsibility. It sets out how the Defence SMS and underpinning policy and regulations will be delivered in a way specific to the Defence organisation.

E2.2 The Defence organisation defines its safety roles, responsibilities, and accountabilities in its SMS.

E2.3 The Defence organisation has a system in place to allocate appropriate resources (i.e., budget and people).

E2.4 The Defence organisation has arrangements in place to share information about safety risks, supporting effective risk management and continual improvement.

E2.5 The Defence organisation checks that the standards of safety management of its contractors and suppliers meet or exceed Defence standards.

E2.6 The Defence organisation has mechanisms for joint consultation with the workforce, contractors and supply chain.

E2.7 Changes to an organisational structure or changes to personnel with specific knowledge or experience are evaluated, risk assessed, approved and documented.

E2.8 Mechanisms are in place to identify functional and organisational dependencies and interfaces, and how safety risks are managed across these.

Documents often associated with this element:

- Annual Budget Cycle (ABC) planning
- Agenda and minutes of the safety committee meetings (Strategic, Tactical and Working)
- Command / Corporate plan
- Contract management and supply chain management plans
- Communication plans
- Defence organisation Operating Model
- Defence organisation SMS
- Joint Basing Arrangements (JBAs)
- Management of change process (for H&S inclusion)
- Memorandums of Understanding (MOUs)
- Organisation and Arrangements
- Organisational Safety Assessments (OSAs)
- RACI (Responsible, Accountable, Consulted, Informed) matrix
- Risk management process
- Service Level Agreements (SLAs)
- Suitably Qualified Experienced Person (SQEP) gaps

Expectation 2.1 Defence organisations develop and maintain an SMS that is specific to their area of responsibility. It sets out how the Defence SMS and underpinning policy and regulations will be delivered in a way specific to the Defence organisation.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Defence organisations do not maintain an up to date SMS which is specific to their area of responsibility.	• Defence organisations maintain an SMS which is specific to their area of responsibility. However, this is reviewed on an ad-hoc basis only and does not clearly set out how the SMS, underpinning policy and regulations will be delivered.	• Defence organisations maintain an SMS which is specific to their area of responsibility. This is reviewed on an annual basis and clearly sets out how the SMS and underpinning policy, regulations will be delivered. This is communicated to all stakeholders across the organisation.	• Defence organisations maintain an SMS which is specific to their area of responsibility. This is reviewed on an annual basis and clearly demonstrates how the organisation is kept aware of good practice within underpinning policy and regulations so that continual improvement can be maintained. All stakeholders in the organisation can explain their role or how they might be involved in the SMS.

Expectation 2.2 The Defence organisation defines its safety roles, responsibilities and accountabilities in its SMS.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• A SMS has not been finalised and widely communicated. • Safety roles, responsibilities and accountabilities are not clearly explained or understood.	• Safety roles are broadly documented in the SMS but are not well understood by or communicated to those responsible. They do not accurately reflect the ways that teams work in practice. • Little or no evidence of cross-department safety arrangements with other Defence organisations.	• There is a clear understanding of safety roles across the Defence organisation, and these are clearly documented in the SMS. • Roles and responsibilities are consistent in practice with those set out in policy documents. They are reviewed and updated each year as a minimum.	• Safety roles across the Defence organisation are clearly documented in the SMS, supported by robust evidence that the workforce understand the importance of their responsibilities and accountability for reducing safety risks. • Roles and responsibilities are reviewed and updated regularly following any lessons learned or changes to Defence organisation's resources and activities.

Expectation 2.3 The Defence organisation has a system in place to allocate appropriate resources (i.e budget and people).

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• No evidence that leadership considers safety risks in the allocation of budgets and resources. • The extent of budget and resource allocated towards addressing safety risks is not defined, impacting the Defence organisation's ability to address safety risks.	• There is limited evidence that leadership considers safety risks during budget and resource reviews. • The extent of budget and resource allocation to address safety risks is not based on a clear risk-based rationale.	• There is evidence that leadership formally discusses safety risks during budget and resource reviews. • The extent of budget and resource allocation to address safety risks is based on risk and regularly reviewed to reflect the Defence organisation's activity.	• Leadership demonstrates an understanding that the management of safety risks is an integral part of a productive Defence organisation. • The Defence organisation safety risk profile is directly linked to resource and budget allocation to manage these risks. Regular reviews are discussed at senior governance forums to inform decision making and continual improvement.

Expectation 2.4 The Defence organisation has arrangements in place to share information about safety risks, supporting effective risk management and continual improvement.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• People work in isolation with little understanding or concern about information dependencies and how their activities may influence and affect others. Safety information requirements of other teams are not identified or shared across the Department or with the supply chain. • Safety risk management is not governed by a clear framework for sharing information about risks and continual improvement is not considered.	• Information is generally shared only at working levels, on an ad hoc basis without clearly documented dependencies and defined information requirements. Communication with the supply chain is governed by contractual agreements and is open and honest however the contractor / supplier and Defence organisation are clearly separated. • Safety risk management processes are defined by decentralised teams without a consistent cross-organisation set of frameworks and definitions for sharing information (such as risk impact, likelihood assessments and approaches to mitigation) and continual improvement.	• Evidence to show that emerging risks are proactively managed across internal organisational boundaries and with the supply chain. There is an environment of open and honest communication between teams and with the supply chain. • Safety risk management and continual improvement is consistently implemented, using a cross-organisation information sharing, risk management and reporting framework. This enables dependencies between teams and the supply chain to be identified and included.	• Clear evidence to show that the Defence organisation understands the importance of sharing information with the supply chain to continually improve the control of shared, common, and emerging risks. • Clear evidence that safety risk management drives the organisation to strive for continual improvement and look for good practice from other organisations and industries in the UK and internationally.

Expectation 2.5 The Defence organisation checks that the standards of safety management of its contractors and suppliers meet or exceed Defence standards.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There are no formal processes or systems to identify the safety management activities of contractors, and suppliers There is no monitoring of their performance against the Defence organisation's own policies and practices. • Contractor and supplier contracts do not specify safety policies or reporting requirements.	• There is limited evidence of a managed system and processes to identify and monitor the safety management activities of contractors, and suppliers. Management does not have consistent data to assess the safety status of contracts, particularly for long-running contracts. • There is limited evidence of safety-related communication with contractors, and suppliers.	• Evidence of effective arrangements for the selection of contractors, and suppliers, considering safety performance of the contractor or supplier. • Effective processes exist for the ongoing safety performance management of contractors at all stages of the relationship. • There are performance measures and post-contract reviews in place to help guide decisions on the choice of contractor and other Defence organisations for further work.	• Clear evidence that effective processes exist for safety-related pre-qualification, selection, induction, management and post-contract review of contractors and suppliers These processes are under regular review and improvement; there is evidence of effective interventions as required.

Expectation 2.6 The Defence organisation has mechanisms for joint consultation with the workforce, contractors and supply chain.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Leadership is not familiar with the detail of safety working requirements for workforce, contractors and the supply chain. • No evidence of joint consultation with the workforce or supply chain on safety matters.	• There is evidence of consultation on safety matters, but with little effect.	• Leadership collaborates effectively with workforce, contractors and the supply chain. • There is evidence of effective two-way communication regarding working arrangements and the associated safety risks, both in policy and practice.	• Leadership collaborates regularly with workforce, contractors and suppliers and there is evidence of transparent and effective two-way communication. As a result, safety risks related to working arrangements are proactively identified and managed, with cooperation across organisational boundaries and with the supply chain.

Expectation 2.7 Changes to an organisational structure or changes to personnel with specific knowledge or experience are evaluated, risk assessed, approved and documented.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The safety implications of changes to the organisational structure or changes to personnel with specific knowledge are not evaluated, risk assessed, approved and documented. • No evidence of Organisational Safety Assessments (OSA) being carried out.	• The safety implications of changes to the organisational structure or changes to personnel with specific knowledge are evaluated and approved but are not risk assessed or documented. • Limited evidence of OSAs being carried out.	• The safety implications of changes to the organisational structure or changes to personnel with specific knowledge are evaluated, risk assessed, approved and documented. • Evidence of the use and effective exploitation of OSAs.	• The safety implications of changes to the organisational structure or changes to personnel with specific knowledge are evaluated, risk assessed, approved, documented, and reviewed regularly. • OSAs are carried out for all organisational and personnel changes that require them and are used as live documents and tools for management of safety through change.

Expectation 2.8 Mechanisms are in place to identify functional and organisational dependencies and interfaces, and how safety risks are managed across these.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Coordination within the Defence organisation and across interfaces occurs only on an ad-hoc basis and outcomes are not implemented into the safety framework. • Leadership receive safety advice and requirements from external bodies, such as regulators, but do not proactively identify good practice from third parties or other industries.	• There is coordination of practical safety issues at the working level between individuals and organisations, but there is no overall organisational oversight of dependencies and interfaces, resulting in inconsistent planning and execution. • Some procedures identify interfaces between business units at a working level but this is inconsistent across the Defence organisation. There is limited liaison with other organisations over safety procedures and standards implemented but this does not include all stakeholders.	• There are regular safety-related discussions with other organisations to agree objectives, standards, processes, and arrangements in relation to dependencies and interfaces. • There is effective use of industry knowledge and collaboration leading to clear understanding and control of shared and common safety risks.	• Dependencies and interfaces are managed so that safety good practice is drawn from, implemented, and shared with other organisations. • The Defence organisation looks to other industries to identify safety good practice and there is evidence that this has led to continual improvement.

Element 3: Legislation, Policy, Regulations and Guidance

Purpose

This element ensures that the Defence organisation identifies and communicates the requirements of legislation, policy and guidance surrounding safety. Leadership sets out how safety contributes to the organisation's success and achievement of objectives and puts in place a framework for making balanced decisions at all levels both within the organisation and across other Defence organisations.

The Expectations in this element are:

E3.1 The Defence organisation has mechanisms in place to identify and maintain compliance with safety legislation.

E3.2 The Defence organisation has mechanisms in place to comply with all relevant Defence safety expectations.

E3.3 The Defence organisation's policy and guidance is consistent and does not conflict with the Defence SMS.

E3.4 The Defence organisation has mechanisms in place to communicate with internal and external stakeholders the requirement to comply with safety legislation, Defence policy and guidance, and Defence regulations.

E3.5 Policies and guidance are reviewed regularly to reflect any significant changes.

E3.6 The Defence organisation has a process in place to manage exemptions from statute, and exemptions / waivers / concessions from Defence regulation.

Documents often associated with this element:

- Agenda and minutes of the safety committee meetings (Strategic, Tactical and Working)
- Command / Corporate plan
- Communications Plan (for safety information cascade)
- Compliance Registers
- Defence Codes of Practice (DCOPs) & other level 4 documentation
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- Exemptions log and process
- Leadership sign-off for policy
- Legislation review and implementation process
- Legislation risk register
- Management Plans
- Policy change process
- Policy tracker
- Risk register review process
- Role holder for horizon scanning and policy update

Expectation 3.1 The Defence organisation has mechanisms in place to identify and maintain compliance with safety legislation.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• New safety legislation is only considered on a reactive basis once it has become a legal requirement.	• Some but not all upcoming changes to safety legislation are anticipated with limited processes in place to assess the likely impact of changes.	• The Defence organisation identifies and anticipates new safety legislation and looks ahead to anticipate the potential impact on activities and standard operating procedures. Workforce, contractors and suppliers likely to be affected by the legislation changes are identified and consulted.	• The Defence organisation is aware of and engages with the consultation phases of emerging safety legislation to represent the requirements of its workforce, contractors and supply chain. It considers the potential impact that new legislation may have on its capabilities, both in the UK and overseas.

Expectation 3.2 The Defence organisation has mechanisms in place to comply with all relevant Defence safety expectations.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation cannot effectively demonstrate compliance with Defence safety policy and regulations.	• The Defence organisation can only demonstrate partial compliance with Defence safety policy and regulations.	• The effective operation of well-designed processes and controls demonstrates compliance with Defence safety policy and regulations. • Leadership reviews management information about compliance with Defence safety policy and regulations.	• Leadership can demonstrate that compliance goes above and beyond the minimum requirements of Defence safety policy and regulations. It proactively identifies and incorporates good practice from external sources, supply chain, and other relevant bodies.

Expectation 3.3 The Defence organisation's policy and guidance is consistent and does not conflict with the Defence SMS.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Defence organisation's safety policy and guidance is poorly developed, or non-existent or major levels of non-compliance identified.	• Defence organisation's safety policy and guidance is established and operating effectively except for some areas where significant weaknesses have been identified.	• Defence organisation's safety policy and guidance is established and operating effectively with some minor weaknesses.	• Defence organisation's safety policy and guidance are mature and operating effectively, with an added focus on continual improvement.

Expectation 3.4 The Defence organisation has mechanisms in place to communicate with internal and external stakeholders the requirement to comply with safety legislation, Defence policy and guidance and Defence regulations.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Safety legislation, Defence policy and regulations and the Defence organisation's policy and guidance are not well understood beyond organisation safety specialists. Their importance has not been communicated across the organisation. • Stakeholders do not appear to be aware of the safety legislation, Defence policy and regulations and their organisation's policy and guidance, or why they are relevant to organisation activities.	• The importance of safety legislation, Defence policy and regulations and the Defence organisation's policy and guidance is communicated within the organisation, but workforce have inconsistent understanding and interpretation of what it means for them. • The content and purpose of safety legislation, Defence policy and regulations and their organisation's policy and guidance are not widely understood or applied consistently.	• The importance of safety legislation, Defence policy and regulations and the Defence organisation's policy and guidance is clearly communicated across the organisation. • Amendments and updates are communicated on a timely basis, with leadership providing clear direction on how the organisation should prepare for new requirements.	• Safety legislation, Defence policy and regulations and the Defence organisation's policy and guidance are well communicated to stakeholders. • The Defence organisation works with internal and external stakeholders to drive continual improvement in compliance with safety legislation, Defence policy and regulations and their organisation's policy and guidance.

Expectation 3.5 Policies and guidance are reviewed regularly to reflect any significant changes.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Safety policies and guidance are out of date, and there are no suitable mechanisms in place for them to be updated regularly.	• The majority of safety policies and guidance are up to date. There are mechanisms in place to involve appropriate stakeholders in some ad-hoc consultation and policy review after specific safety events or changes in the external environment, but the approach is inconsistent.	• Leadership recognises the importance of reviewing the policies and guidance proactively and at least annually, consulting stakeholders across the Defence organisation. • There is an effective change management process in place which identifies and manages changes in safety policies and guidance and communicates the impact of changes to the workforce.	• Safety policies and guidance is reviewed with stakeholder involvement to drive continual improvement in safety performance.

Expectation 3.6 The Defence organisation has a process in place to manage exemptions from statute, and exemptions / waivers / concessions from Defence regulation.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a process for applying for, or managing, exemptions from statute or exemptions / waivers / concessions from Defence regulations.	• The Defence organisation has a process with significant weaknesses for applying for, and managing, exemptions from statute or exemptions / waivers / concessions from Defence regulations.	• The Defence organisation has a methodical and documented process with minor weaknesses for applying for, and managing, exemptions from statute or exemptions / waivers / concessions from Defence regulations.	• The Defence organisation has an SMS in place which includes a clear statement of the scope and remit of the system, including the jurisdiction(s) for which safety legislation will be applied in the case of conflicting guidelines. Clear principles and good practice are communicated with achievable safety policies and practices to be applied where there are gaps in legislative frameworks. • The Defence organisation has a methodical and documented process that is operating effectively for applying for, and managing, exemptions from statute or exemptions / waivers / concessions from Defence regulations. The list of exemptions / waivers / concessions, and any additional measures required to maintain them, is kept under regular review.

Element 4: Risk Assessments and Safety Cases

Purpose

This element ensures that the Defence organisation has put in place suitable and sufficient methods for identifying hazards and assessing risks as a basis of effective control of safety risk. Safety cases are routinely prepared and reviewed to verify that systems are being safely designed and used for their intended purpose in the correct operating environment.

The Expectations in this element are:

E4.1 The Defence organisation has mechanisms in place to assess its risk profile and identify its safety hazards.

E4.2 The Defence organisation has mechanisms in place to manage its safety risks, including provision of proportionate controls.

E4.3 Where safety risks are significant, these risks are elevated, and leadership are actively involved in their management.

E4.4 The Defence organisation has arrangements in place to communicate safety risk to all stakeholders, outlining control measures needed to provide safe working practices.

E4.5 The Defence organisation has mechanisms in place to continually improve risk management with the aim of eliminating fatalities whilst enhancing Defence capability and minimising injury.

E4.6 The Defence organisation tracks changes, such as those impacting equipment, operations, infrastructure, training, people, plans and procedures, and takes action to manage associated risk.

E4.7 A safety case is maintained throughout the acquisition lifecycle that identifies, evaluates, and manages the risk from concept development through to disposal.

Documents often associated with this element:

- 1LOD assurance reports
- Agenda and minutes of the safety committee meetings (Strategic, Tactical and Working)
- Industry engagement (networking, conference, industry days)
- Change management process and plan
- Change risk register and examples of use
- Communications plan,
- Corporate risk register
- Continual Improvement (CI) log and process
- Defence organisation SMS
- Duty Holding construct and letters of delegation and acceptance
- Emergency arrangements and escalation process
- Industry engagement (Networking, Conference, Industry days)
- Incident reporting log
- Knowledge sharing forums
- Learning from Experience (LfE) communications
- Quarterly Performance and Risk Review (QP&RR)
- Risk management plan including escalation process
- Risk to Life (RtL) register
- SLT risk review meeting minutes and actions
- Safety case log and tracker
- Safety case policy application and risk assessments
- Safety case reports and reviews
- Top eight risks
- Workplace committees for Trade Union (TU) engagement and workers representatives)

Expectation 4.1 The Defence organisation has mechanisms in place to assess its risk profile and identify its safety hazards.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Safety hazards and associated risk profile are not clearly defined or documented across the Defence organisation.	• Safety hazards are identified but there is a limited risk profile. • A risk management framework is implemented within the Defence organisation, but it is not routinely reviewed by leadership.	• Safety hazards are identified and there is a complete risk profile. • A risk management framework is applied across the Defence organisation and regularly reviewed by leadership.	• Safety hazards are identified, and the risk profile is regularly reviewed. • A risk management framework is developed and used across the Defence organisation, it is owned by leadership and used to drive continual improvement in safety performance.

Expectation 4.2 The Defence organisation has mechanisms in place to manage its healeth and safety risks, including provision of proportionate controls.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Risk assessments are not used to develop effective controls to mitigate the risks associated with the Defence organisation's operations.	• A process exists for using risk assessments to develop controls to mitigate risks, however it is not always applied effectively. • Risk assessments contain insufficient information and do not help the Defence organisation implement and maintain proportionate controls.	• The Defence organisation performs frequent risk assessments containing good information resulting in proportionate and relevant controls.	• Risk assessments consider the safety implications of wider risks and are frequently reviewed by leadership. • Proportionate controls are in place to mitigate risks and are developed through continual improvement.

Expectation 4.3 Where safety risks are significant, these risks are elevated, and leadership are actively involved in their management.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Risk assessments are inappropriate for significant risks. • There is no risk elevation process for significant and a reasonably foreseeable risk to life (RtL)	• Risk assessments are appropriate for their intended use but are not regularly updated by leadership. • There is a risk elevation process for significant and a reasonably foreseeable risk to life (RtL) but it has significant weaknesses.	• Risk assessments are adequately designed to capture risk mitigation activities. They are regularly reviewed by leadership. • There is a risk elevation process for significant and a reasonably foreseeable risk to life (RtL) with only minor weaknesses.	• Risk assessments are well designed to capture risk mitigation activities. They are regularly reviewed by leadership. • There is a risk elevation process for significant and a reasonably foreseeable risks to life (RtL) that is operating effectively.

Expectation 4.4 The Defence organisation has arrangements in place to communicate safety risk to all stakeholders, outlining control measures needed to provide safe working practices.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Governance, management, and communication arrangements of risk do not make control measures available to those who need them.	• Governance, management, and communication arrangements ensure that risks and control measures are available to and understood by those who need them, however information is not frequently updated.	• Governance, management, and communication arrangements of risk ensure that those who need them are aware of updated risks and control measures.	• Governance, management, and communication arrangements ensure that feedback from the workforce is incorporated in risk control measures.

Expectation 4.5 The Defence organisation has mechanisms in place to continually improve risk management with the aim of eliminating fatalities whilst enhancing Defence capability and minimising injury.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation has no evidence of mechanisms for improved control of risks.	• The Defence organisation has mechanisms in place to continually improve risk management, but there are significant weaknesses, and the mechanisms are not aligned to eliminating fatalities, enhancing capability and minimising injury.	• The Defence organisation has mechanisms in place to continually improve risk management, there are minor weaknesses, and the mechanisms are not aligned to eliminating fatalities, enhancing capability and minimising injury.	• The Defence organisation effective has mechanisms in place to continually improve risk management, and the mechanisms are aligned to eliminating fatalities, enhancing capability and minimising injury.

Expectation 4.6 The Defence organisation tracks changes, such as those impacting equipment, operations, infrastructure, training, people, plans and procedures, and takes action to manage associated risk.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no process or system for risk assessing changes to equipment, operations, infrastructure, training, people, plans and procedures.	• The Defence organisation has a formal procedure for risk assessing changes to equipment, operations, infrastructure, training, people, plans and procedures but these are not consistently reviewed by leadership and actions are not always tracked to completion.	• The Defence organisation has a formal procedure for risk assessing changes to equipment, operations, infrastructure, training, people, plans and procedures that are reviewed by leadership but actions are not always tracked to completion.	• The Defence organisation has a formal procedure for risk assessing changes to equipment, operations, infrastructure, training, people, plans and procedures that are reviewed by leadership and actions are tracked to completion.

Expectation 4.7 A safety case is maintained throughout the acquisition lifecycle that identifies, evaluates and manages the risk from concept development through to disposal.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not consider safety cases across the acquisition lifecycle of its activities. • There are no safety case reports making ALARP argument for residual risk. • The safety case reports making ALARP argument are not presented to the accountable person.	• The Defence organisation creates safety cases for the acquisition lifecycle for some activities and equipment but does not do so consistently or adequately. • Safety cases have significant gaps in depth and breadth. • Safety cases are not updated frequently and are not accessible. • Safety case reports making ALARP argument for residual risk have significant weaknesses and inconsistently presented to and / or accepted by the accountable person.	• The Defence organisation creates safety cases for the acquisition lifecycle for those activities and equipment requiring them. Safety cases are assured but with minor weaknesses, and stakeholder engagement undertaken for both safe to operate and operate safely aspects. • Safety cases have minor weaknesses in depth and breadth. • Safety cases are not always kept updated throughout the lifecycle and / or not easily accessible. • Safety case reports making ALARP argument for residual risk are inconsistently presented to and / or accepted by the accountable person.	• The Defence organisation creates and maintains safety cases for the acquisition lifecycle for all activities and equipment requiring them. Safety cases are independently assured, and stakeholder engagement undertaken for both safe to operate and operate safely aspects. • Safety cases are of appropriate depth and breadth of safety risks. • Safety cases are regularly updated throughout the lifecycle and are easily accessible. • Safety case reports making ALARP argument for residual risk are presented to and accepted by the accountable person.

Element 5: Supervision, Contracting and Control Activities

Purpose

This element ensures that the Defence organisation has implemented safe systems of work to control activities and meet its legal duty of care requirements. It has arrangements for application of these systems that includes supervision of all the workforce and contractors. Leadership have effective frameworks in place to ensure that they have sufficient and timely oversight of the Defence organisation and its supply chain using the four Cs: coordination, co-operation, communication and control. This should also apply to Duty Holding where there is a credible and reasonably foreseeable Risk to Life (RtL) and where other statutory arrangements are seen to be inadequate.

The Expectations in this element are:

E5.1 The Defence organisation has mechanisms in place to delegate authority for the control of activity.

E5.2 Those holding delegation of authority are trained and competent to discharge their responsibilities and accountabilities.

E5.3 Those responsible for the control of activity have a mechanism in place to assess and elevate risk where necessary and leadership are actively involved in the risk management.

E5.4 Delegated authority should be formally appointed via a letter of delegation.

E5.5 Those responsible for the control of activity have a duty to mitigate risk to as low as reasonably practicable (ALARP) and tolerable.

E5.6 Those responsible for control of activity have the authority to pause or cease activity where a risk is no longer ALARP and tolerable.

E5.7 The Defence organisation has developed and implemented Safe Systems of Work (SSW), to safeguard those carrying out the work or affected by it.

Documents often associated with this element:

- 1LOD assurance reports
- Audit reports such as Control of Major Accident Hazards (COMAH) requiring specific contracts to deliver
- Command / Corporate plan
- Communications plan
- Contract management and supply chain management plans including safety arrangements
- Corporate risk register
- Defence organisation Operating Model
- Defence organisation SMS
- Documented arrangements for safety co-operation with contractors, lodger units (including Encroachments)
- Letter of delegation / authority / appointment including Duty Holder construct and Head of Establishment letters and acceptance
- RACI (Responsible, Accountable, Consulted, Informed) matrix

Expectation 5.1 The Defence organisation has mechanisms in place to delegate authority for the control of activity.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There are no mechanisms in place to delegate authority for the control of activity. Safety roles, tasks and objectives are not defined.	• There is a mechanism in place to delegate authority but is not applied consistently across the Defence organisation.	• There are mechanisms in place to delegate authority for the control of activity across the Defence organisation, and such delegated authorities are communicated and clear.	• There are mechanisms in place to delegate authority for the control of activity across the Defence organisation. • Responsibilities are systematically identified and given in writing to teams or individuals, who demonstrate formal acceptance of these responsibilities.

Expectation 5.2 Those holding delegation of authority are trained and competent to discharge their responsibilities and accountabilities.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• No training is provided to those holding delegation of authority. • There is no assessment performed of their competence to understand and discharge their responsibilities and accountabilities.	• Limited training is provided to those holding delegation of authority. • There is a limited assessment performed of their competence to understand and discharge their responsibilities and accountabilities, but this is not consistent across the Defence organisation.	• Those holding delegation of authority are trained. • Competence is assessed prior to delegation of authority and is monitored and reassessed periodically.	• Those holding delegation for authority are trained and are provided with opportunities for continual learning and development. • Competence and training completion are regularly monitored and assessed.

Expectation 5.3 Those responsible for the control of activity have a mechanism in place to assess and elevate risk where necessary and leadership are actively involved in the risk management.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There are no mechanisms in place for those responsible for the control of activity to assess and elevate risk. • Leadership is not involved in risk management.	• Those responsible for the control of activity have a mechanism in place to assess and elevate risk but it has not been effectively communicated. • Leadership is aware but not involved in risk management.	• Those responsible for the control of activity have a mechanism in place to assess and elevate risk. This has been effectively communicated, and included in work instructions, procedures, and orders as necessary. • Leadership is aware but partially involved in risk management	• Procedures to elevate risks are regularly monitored for effectiveness and lessons learnt and shared. Mechanisms in place are continually improved. • Leadership is actively involved in risk management.

Expectation 5.4 Delegated authority should be formally appointed via a letter of delegation.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There are no letters of delegation in place.	• Not all those with delegated authorities have a letter of delegation or have letters that do not reflect their current responsibilities.	• All those with delegated authorities are formally appointed via a letter of delegation, providing detail on their role and responsibilities. • All those with delegated authorities have formally accepted a letter of delegation.	• All those with delegated authorities are formally appointed via a letter of delegation. There is awareness across the organisation as to who has delegated authority. • All those with delegated authorities understand their delegations. • Letter of delegation is continually monitored for its relevance.

Expectation 5.5 Those responsible for the control of activity have a duty to mitigate risk to As Low As Reasonably Practicable (ALARP) and tolerable.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a process in place to adequately assess, identify and mitigate risks to ALARP and tolerable.	• The Defence organisation has a process in place to assess, identify and mitigate risks to ALARP and tolerable but it is not consistently applied across the organisation.	• The Defence organisation has a process in place to assess, identify and mitigate risks to ALARP and tolerable that is consistently applied across the organisation.	• The Defence organisation has a process in place to assess, identify and mitigate risks to ALARP and tolerable that is consistently applied across the organisation. In addition, risk controls are monitored and reassessed regularly with actions taken in response.

Expectation 5.6 Those responsible for control of activity have the authority to pause or cease activity where a risk is no longer ALARP and tolerable.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no process in place to allow those in control of activities to pause or cease activity where a risk is no longer ALARP and tolerable.	• There is a process in place to allow those in control of activities to pause or cease activity where a risk is no longer ALARP and tolerable. This is not applied consistently across all activities.	• There is a process in place to allow those in control of activities to pause or cease activity where a risk is no longer ALARP and tolerable. This is applied across some activities.	• There is a process in place to allow those in control of activities to pause or cease activity where a risk is no longer ALARP and tolerable. This is applied consistently across all activities.

Expectation 5.7 The Defence organisation has developed and implemented Safe Systems of Work (SSW), to safeguard those carrying out the work or affected by it.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation has not developed or implemented SSW.	• SSW are inconsistently adopted and applied throughout the Defence organisation, and they are not communicated effectively to the workforce across the Defence organisation.	• SSW are consistently adopted and applied throughout the Defence organisation. • SSW are defined, and their importance and application is communicated effectively to the workforce across the Defence organisation.	• The Defence organisation continually improves its SSW processes based on the application of lessons learned.

Element 6: Personnel Competence, Resources and Training

Purpose

This element ensures that the Defence organisation has identified all roles with safety responsibilities and have in place a means of identifying skills, knowledge, experience, behaviours and expertise requirements of those roles. Where this is not met by the existing workforce, plans are developed to address and mitigate gaps through workforce planning, formal and informal training and development. Sufficient resources and funding are identified to maintain competence and ensure continual professional development.

The Expectations in this element are:

E6.1 The Defence organisation has sufficient resources in place aligned to its risk profile.

E6.2 The Defence organisation has defined responsibilities, accountabilities and delegations for safety management.

E6.3 The Defence organisation has plans in place to support recruitment, deployment, career development, retention and succession of its people.

E6.4 Training programmes are in place that include safety skills enabling the workforce to meet Defence requirements.

E6.5 A competency process is in place to assess and assure qualifications, behaviours, skills of the workforce to meet Defence safety requirements.

Documents often associated with this element:

- 1LOD assurance reports
- Annual Budget Cycle (ABC) planning (for inclusion of safety requirements)
- Command / Corporate plan
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- Skills framework
- Strategic workforce plan and succession planning
- Terms of reference for key personnel with safety management responsibilities
- Training needs analysis

Expectation 6.1 The Defence organisation has sufficient resources in place aligned to its risk profile.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no effective process for managing resources impacting the Defence organisation's ability to manage its risk profile. • Resource allocation for safety is not considered in financial and business planning.	• There is a process for managing resources, but significant weaknesses exist resulting in ineffective management of the Defence organisation's risk profile. • Safety resource allocation is considered in finance and business planning, but limited actions are taken to address this.	• There is a process for managing resources with minor weaknesses resulting in resource allocation being well balanced across the Defence organisation to reflect the organisation's risk profile. • Safety resource allocation is regularly and effectively reviewed.	• The Defence organisation looks beyond its organisational boundaries for factors which may impact on its current resource allocation and collaborates with others to achieve continual improvement in planning future resource allocation in line with its risk profile. • Safety management is adequately resourced and regularly reviewed.

Expectation 6.2 The Defence organisation has defined responsibilities, accountabilities and delegations for safety management.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Safety management roles and responsibilities are loosely defined. The workforce is not aware of their specific responsibilities with regards to safety.	• Safety management roles and responsibilities are defined across the Defence organisation and maintained centrally but are not updated to reflect changes in personnel and / or responsibilities.	• Safety management roles and responsibilities are clearly documented and available for all the workforce to access. Changes to personnel and / or responsibilities are updated on a timely basis.	• Safety management roles and responsibilities are reviewed regularly to reflect changes in resourcing, accountabilities and authorities. Changes are communicated across the Defence organisation and all the workforce is aware of their own and others' roles.

Expectation 6.3 The Defence organisation has plans in place to support recruitment, deployment, career development, retention and succession of its people.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have clear plans in place to support recruitment, workforce development or competency management processes for safety management, and associated people policies make little or no reference to safety considerations.	• The Defence organisation has defined plans to support recruitment, deployment, career development, retention and succession of its people in safety management, however this does not translate into effective policies and there is a misalignment of objectives.	• There are a range of processes in place to manage organisational competence including deployment, career development, retention and succession and resilience planning. These are generally effective and subject to periodic review, with outcomes feeding into workforce policies on recruitment, selection and training.	• Highly effective plans are in place for recruitment, deployment, career development, retention and succession planning for safety management workforce. Plans are supported by training programmes, with regular reviews to meet objectives and applicable legal or other requirements. • Adoption of good practice from outside organisational boundary to drive continual improvement.

Expectation 6.4 Training programmes are in place that include safety skills enabling the workforce to meet Defence requirements.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no evidence that training programmes are in place that include safety skills.	• There is limited evidence that training programmes are in place that include safety skills and the level of effectiveness varies. • Training is provided on an ad-hoc basis when needs are identified locally. There is an incomplete or incoherent plan to provide safety training for all who need it.	• There is evidence that training programmes are in place that include safety skills. • There is a centrally coordinated and communicated training programmes throughout the Defence organisation. Adherence is monitored formally. safety training requirements are reviewed and updated annually.	• The Defence organisation has processes to continually improve training programmes that include safety skills. This includes actively consulting and engaging with the workforce.

Expectation 6.5 A competency process is in place to assess and assure qualifications, behaviours, skills of the workforce to meet Defence safety requirements.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There are no formal processes to assess and assure qualifications, behaviours, skills of the workforce to meet Defence safety requirements.	• There are limited processes to assess and assure qualifications, behaviours, skills of the workforce to meet Defence safety requirements but this is not carried out consistently across the Defence organisation. • Limited arrangements are in place to develop skills through continuing professional development (CPD).	• There are processes to assess and assure qualifications, behaviours, skills of the workforce to meet Defence safety requirements with only minor weaknesses evident.	• There are robust processes to assess and assure qualifications, behaviours, skills of the workforce to meet Defence safety requirements, including well established CPD arrangement. • Processes consider succession, business resilience, continuity planning and effective CPD arrangements.

Element 7: Equipment Design, Manufacture and Maintenance

Purpose

This element ensures that the Defence organisation has put in place frameworks and working practices to incorporate safety considerations into the design, acquisition, manufacture, operation, modification, and maintenance of equipment, including Defence digital systems.

The Expectations in this element are:

E7.1 The Defence Organisation has mechanisms in place to identify and assess safety risks and requirements associated with equipment throughout its entire lifecycle; from Concept, Assessment, Demonstration, Manufacture, In-service and Disposal (CADMID).

E7.2 The Defence organisation has mechanisms in place to ensure risks associated with equipment are adequately controlled and mitigated through its entire lifecycle and where necessary elevated to the appropriate Duty Holder, SRO and competent person.

E7.3 The Defence organisation has mechanisms in place to ensure equipment is compliant with statute and Defence regulation throughout its lifecycle. Where necessary, an exemption / waiver / concession is in place where compliance is not achievable.

E7.4 The Defence organisation has processes in place to ensure equipment is always maintained and operated within defined design and operating limits. Mechanisms are in place to communicate these operating limits to those who operate and maintain equipment.

E7.5 The Defence organisation has mechanisms in place to ensure physical changes to equipment, (including major software changes), materials and associated specifications are evaluated, risk assessed, approved, and documented.

E7.6 The Defence organisation has mechanisms to accurately identify and manage the safety risks and dependencies in their equipment supply chain.

E7.7 Lessons learned from previous equipment design, acquisition, manufacture, operation, modification and maintenance activities are shared effectively across the Defence organisation.

E7.8 The Defence organisation has mechanisms in place to assess the risk from integration of equipment and systems and its effects on platform safety.

Documents often associated with this element

- 10-year infrastructure management plan
- ABC planning (for inclusion of safety requirements
- Acquisition, Safety and Environmental Management System (ASEMS) compliance document
- Agenda and minutes of the Capability Management Group meetings
- Agenda and minutes of the Equipment and support steering group meetings
- Annual Budget Cycle (ABC) options
- Asset register
- Capability management strategy and plans
- Command / corporate plan
- Contract management and supply chain management plans
- Corrective action plans arising from Assurance, Equipment Design and Infrastructure design
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- Equipment plan
- Exemplar safety case reports (specifically all category A safety cases, high risk / high complexity B & C)
- Key user requirements including safety
- Operation and Maintenance (O&M) management system for high-risk equipment
- Major equipment acquisition or replacement of equipment at end of life (e.g., weapons) plan / schedule
- Routine calibration

Expectation 7.1 The Defence organisation has mechanisms in place to identify and assess safety risks and requirements associated with equipment throughout its entire lifecycle; from Concept, Assessment, Demonstration, Manufacture, In-service and Disposal (CADMID).

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a mechanism in place to identify and assess equipment safety risks. • The Defence organisation has not considered the safety impact of environmental conditions on equipment design, storage, and use. (e.g., Geographic location, hot, cold, wet, dry)	• The Defence organisation has a mechanism to identify and assess safety risks throughout the equipment lifecycle, however significant weaknesses exist. • The Defence organisation has considered limited safety impact of environmental conditions on equipment design, storage, and use. (e.g., Geographic location, hot, cold, wet, dry)	• The Defence organisation has a mechanism to identify and assess safety risks throughout the entire equipment lifecycle with only minor weaknesses. • Equipment risk assessments include specific consideration of usage context. • The Defence organisation has considered some safety impact of environmental conditions on equipment design, storage, and use. (e.g., Geographic location, hot, cold, wet, dry)	• The Defence organisation has a mechanism to identify and assess safety risks throughout the entire equipment lifecycle. • Risks are formally re-assessed on a continuous basis throughout the rest of its lifecycle (including change of use and/or retrofitting). Lessons learned are shared and applied across the Defence organisation. • The Defence organisation has considered the safety impact of environmental conditions on equipment design, storage, and use. (e.g., Geographic location, hot, cold, wet, dry).

Expectation 7.2 The Defence organisation has mechanisms in place to ensure risks associated with equipment are adequately controlled and mitigated through its entire lifecycle and where necessary elevated to the appropriate Duty Holder, Senior Responsible Officer (SRO) and competent person.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Equipment safety risks are identified but there are no mechanisms in place to control and mitigate those risks.	• The Defence organisation has a mechanism to control and mitigate equipment safety risks however does not take account of the lifecycle. • The risk is elevated to the appropriate Duty Holder, SRO, and competent person however it is not consistent across the Defence organisation.	• The Defence organisation has a mechanism to control and mitigate equipment safety risks throughout the entire lifecycle and are formally documented. • Those operating equipment are aware of the risk elevation procedures if risk controls are insufficient.	• Processes and controls to manage safety risks are regularly updated, following identification of new risks and re-assessment of existing risks, lessons learned are applied. • Duty Holders, SROs and competent persons act on risks elevated and ensure risks are controlled and mitigated.

Expectation 7.3 The Defence organisation has mechanisms in place to ensure equipment is compliant with statute and Defence regulation throughout its lifecycle. Where necessary, an exemption / waiver / concession is in place where compliance is not achievable.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to ensure equipment is compliant with statute and Defence regulation. • Exemptions / waivers / concessions are not routinely in place where statutory and regulatory compliance is unachievable.	• The Defence organisation has mechanisms in place to ensure equipment is compliant with statute and Defence regulation, but these are not reviewed when there are changes to the organisation's equipment portfolio. • Exemptions / waivers / concessions are put in place where statutory and regulatory compliance is not achievable, but this only occurs late in the lifecycle.	• The Defence organisation has mechanisms in place to ensure equipment is compliant with statute and Defence regulation and these are reviewed throughout the equipment lifecycle. • Exemptions / waivers / concessions from compliance with statute and Defence regulations are well understood, recorded, and monitored centrally. All exemptions / waivers / concessions are requested early in the lifecycle.	• The Defence organisation actively monitors changes in statute, Defence regulation, technology, social, environmental and political influences, and applicability to retrofitted equipment to remain compliant with changing requirements. • Exemptions / waivers / concessions are approved for defined periods early in the lifecycle and compliance with statute and Defence regulation is reviewed prior to the expiry date.

Expectation 7.4 The Defence organisation has processes in place to ensure equipment is always maintained and operated within defined design and operating limits. Mechanisms are in place to communicate these operating limits to those who operate and maintain equipment.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation has no processes in place to always maintain and operate within defined design and operating limits. • Operating limits are not defined or communicated to those who operate and maintain equipment.	• The Defence organisation has a largely reactive approach to maintenance. • Where planned maintenance is in place there is no consistent prioritisation process and delays are evident. • Operating limits are defined, but not well communicated on a timely basis to those who operate and maintain equipment.	• The Defence organisation has successfully implemented an effective preventative maintenance regime which includes a prioritisation process. • Safety critical systems are identified and are subject to specific procedures and protocols. Risks which impact their effectiveness are elevated promptly and use of the equipment is avoided where necessary. • Operating limits are clearly defined and communicated to those who operate and maintain equipment. This includes changes made to the defined design or operating limits of equipment out of its initial intended use. Where operating limits are exceeded, these are monitored, with documented action taken to maintain operating capability.	• There is evidence of an effective and predictive maintenance regime across the Defence organisation. • Operating limits are regularly re-assessed so that equipment is maintained and operated within defined design and operating limits. Those who operate and maintain equipment are actively consulted during risk reviews and findings are communicated to them. Where operating limits are exceeded, these are documented and monitored, with action taken.

Expectation 7.5 The Defence organisation has mechanisms in place to ensure physical changes to equipment (including major software changes), materials and associated specifications are evaluated, risk assessed, approved, and documented.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Physical changes to equipment are not formally evaluated, risk-assessed and documented.	• The Defence organisation has mechanisms in place to ensure physical changes to equipment are evaluated. However, a suitable and sufficient risk-assessment is not consistently performed, and controls are not formally documented or communicated.	• The Defence organisation has mechanisms in place to ensure physical changes to equipment are evaluated, risk-assessed and documented. Those who operate, maintain, inspect, and manage equipment are consulted in the evaluation process. Mitigating controls are formally approved by an appropriately competent person before being communicated across the Defence organisation.	• Physical changes to equipment are anticipated based on ongoing risk-assessments of the Defence organisations' equipment portfolio. Changes are evaluated and risk assessed on a timely basis. Input is encouraged from stakeholders who maintain, use, and are affected by the operation of this equipment.

Expectation 7.6 The Defence organisation has mechanisms to accurately identify and manage the safety risks and dependencies in their equipment supply chain.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no consideration for equipment safety risk management throughout the Defence organisation's supply chain.	• Equipment safety risk management is reliant upon the supply chain providing details of Safety risks. • Risk ownership along the supply chain is not well defined with respect to dependencies between Defence organisations and the supply chain.	• Equipment safety risks are shared openly between Defence organisations and their supply chains. • Risk ownership is understood along the supply chain and dependencies between Defence organisations documented.	• Equipment safety risks are shared between Defence organisations, and these are recorded, regularly monitored, and collaboratively mitigated and managed. • Risk ownership along the supply chain is proactively managed and deconflicted.

Expectation 7.7 Lessons learned from previous equipment design, acquisition, manufacture, operation, modification and maintenance activities are shared effectively across the Defence organisation.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Equipment information is not held centrally for the whole Defence organisation to access. • Lessons learned from previous equipment design, acquisition, manufacture, operation, modification, and maintenance activities are not formally documented or applied to future operations. • Recall and urgent safety advice procedures are not in place to notify users of equipment determined to be defective or inappropriate for specific uses.	• Equipment information is maintained centrally, however is not communicated across the Defence organisation. • Lessons learned from previous equipment design, acquisition, manufacture, operation, modification, and maintenance activities are documented but are not communicated across the Defence organisation. • Recall and urgent safety advice procedures are in place but are not consistently used for equipment determined to be defective or inappropriate for specific uses.	• Equipment information is maintained centrally and is communicated across the Defence organisation. • Lessons learned from previous equipment design, acquisition, manufacture, operation, modification, and maintenance activities are documented and communicated across the Defence organisation. • Recall and urgent safety advice procedures are in place and are used to notify potential users for most equipment determined to be defective or inappropriate for specific uses.	• Lessons learned from previous equipment design, acquisition, manufacture, operation, modification and maintenance activities are documented and are proactively communicated across the Defence organisation and wider Defence and have been proven to prevent recurrence of safety issues. • Recall and urgent safety advice procedures are in place and are used for all equipment determined to be defective or inappropriate for specific uses.

Expectation 7.8 The Defence organisation has mechanisms in place to assess the risk from integration of equipment and systems and its effects on platform safety.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no mechanism in place to assess the risk from integration of equipment and systems.	• There are limited mechanisms in place. Not all equipment and system integration risk is assessed. • Lessons learned from previous integration of equipment and systems are not documented nor communicated across the Defence organisation.	• Integration risks are assessed, recorded and communicated across the organisation. • Lessons learned from previous integration of equipment and systems are documented and communicated across the Defence organisation.	• Lessons learned from previous integration of equipment and systems are documented and are proactively communicated across the Defence organisation and wider Defence and have been proven to prevent recurrence of safety issues. • Risks are managed through a structured approach and aligned to appropriate delegations. • Integration risks are formally reassessed throughout the lifecycle of the equipment and systems.

Element 8: Infrastructure Design, Build and Maintenance

Purpose

This element ensures the Defence organisation has put in place frameworks and working practices to incorporate safety considerations into the strategic and technical design, spatial coordination, acquisition, manufacture and construction, handover, use, modification, maintenance and disposal of infrastructure.

The Expectations in this element are:

E8.1 The Defence Organisation has mechanisms in place to identify and assess safety risks and requirements associated with infrastructure throughout its entire lifecycle; from Concept, Assessment, Design, Manufacture and Construction, Use, Maintenance, and Disposal.

E8.2 The Defence organisation has mechanisms in place to ensure risks associated with infrastructure are adequately controlled and mitigated through its entire lifecycle and where necessary elevated to the appropriate Duty Holder, SRO, Head of Establishment, and competent person.

E8.3 The Defence organisation has mechanisms in place to ensure infrastructure is compliant with statute and Defence regulation throughout its lifecycle. Where necessary, an exemption / waiver / concession is in place where compliance is not achievable.

E8.4 The Defence organisation has processes in place to ensure infrastructure is maintained and operated within its intended use. Mechanisms are in place to communicate these processes to the workforce that operate and maintain the infrastructure.

E8.5 The Defence organisation has mechanisms in place to ensure physical changes to infrastructure, (including major software changes), materials and associated specifications are evaluated, risk assessed, approved and documented.

E8.6 The Defence organisation has mechanisms to accurately identify and manage the safety risks and dependencies in its infrastructure supply chain.

E8.7 Lessons learned from previous infrastructure design, acquisition, build, operation, modification, and maintenance activities are shared effectively across the Defence organisation.

Documents often associated with this element

- 10-year infrastructure management plan
- Agenda and minutes of the Equipment and Support steering group meetings
- Annual Budget Cycle (ABC) planning (for inclusion of safety requirements such as routine calibration
- Capability management group meeting minutes
- Capability management strategy and plans
- Command Infrastructure Delivery Plan (CIDP)
- Command / Corporate plan
- Contract management and supply chain management plans
- Corrective action plans arising from assurance, equipment design and infrastructure design
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- Equipment plan (equipment list with life cycle and replacement plan)
- Exemplar safety case reports (specifically all category A safety cases, high risk / high complexity B & C)
- Project plans including Royal Institute of British Architects (RIBA) stages

Expectation 8.1 The Defence organisation has mechanisms in place to identify and assess safety risks and requirements associated with infrastructure throughout its entire lifecycle; from Concept, Assessment, Design, Manufacture and Construction, Use, Maintenance and Disposal.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a mechanism in place to identify and assess infrastructure safety risks and requirements.	• The Defence organisation has a mechanism to identify and assess safety risks and requirements however does not take account of the full infrastructure lifecycle.	• The Defence organisation has a mechanism to identify and assess safety risks and requirements throughout the entire infrastructure lifecycle. • Infrastructure risk assessments include specific consideration of as-built use and any change of use.	• Risks and requirements are formally re-assessed on a continuous basis throughout the infrastructure lifecycle (including change of use and / or retrofitting), with lessons learned are shared and applied across the Defence organisation.

Expectation 8.2 The Defence organisation has mechanisms in place to ensure risks associated with infrastructure are adequately controlled and mitigated through its entire lifecycle and where necessary elevated to the appropriate Duty Holder, SRO, head of establishment, and competent person.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Infrastructure safety risks are identified but there are no mechanisms in place to control and mitigate those risks.	• The Defence organisation has a mechanism to control and mitigate infrastructure safety risks however does not take account of the full infrastructure lifecycle. • Risks are elevated to the appropriate Duty Holder, SRO, head of establishment, and competent person however this is not consistently undertaken across the Defence organisation.	• The Defence organisation has a mechanism to control and mitigate infrastructure safety risks throughout the entire lifecycle. • Risks are consistently elevated to the appropriate Duty Holder, SRO, head of establishment, and competent person across the Defence organisation.	• Processes and controls to manage safety risks are regularly updated, following identification of new risks and re-assessment of existing risks, lessons learned are applied. • Duty Holder, SRO, head of establishment, and competent persons act on risks elevated and ensure risks are controlled and mitigated.

Expectation 8.3 The Defence organisation has mechanisms in place to ensure infrastructure is compliant with statute and Defence regulation throughout its lifecycle. - Where necessary, an exemption / waiver / concession is in place where compliance is not achievable.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to ensure infrastructure is compliant with statute and Defence regulation. • Exemptions / waivers / concessions are not in place where compliance is unachievable.	• The Defence organisation has mechanisms in place to ensure infrastructure is compliant with statute and Defence regulation, but these are not reviewed when there is a change of use proposed or realised. • Exemptions / waivers / concessions are sometimes in place where compliance is not achievable.	• Clear mechanisms are in place to ensure infrastructure is compliant with statute and Defence regulation, or where this is not possible or required, alternative arrangements are in place. • Exemptions / waivers / concessions are regularly in place where compliance is not achievable. Exemptions / waivers / concessions from compliance with statute and Defence Regulations are well understood, recorded in a written format centrally and monitored.	• The Defence organisation actively monitors changes in statute, Defence regulation, technology, social, environmental, and political influences, or retrofitted infrastructure to remain compliant with changing requirements. • Where required, infrastructure is upgraded, refurbished, retrofitted and / or decommissioned to remain compliant with requirements. • Exemptions / waivers / concessions are approved for defined periods and compliance with statute is reviewed prior to the expiry date.

Expectation 8.4 The Defence organisation has processes in place to ensure infrastructure is maintained and operated within its intended use. Mechanisms are in place to communicate these processes to the workforce that operate and maintain the infrastructure.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation has no processes in place to maintain and operate infrastructure within its intended use and operating specifications. • Intended use limits are not defined or communicated to those who interface with the infrastructure.	• The Defence organisation has a largely reactive approach to maintenance. Where planned maintenance is in place there is no consistent prioritisation process and delays are evident. • Intended use limits are defined, but not well communicated on a timely basis to those who interface with infrastructure.	• The Defence organisation has successfully implemented an effective preventative maintenance regime which includes a prioritisation process. • Safety critical infrastructure is identified and is subject to specific procedures and protocols and this is communicated. • Risks which impact effectiveness of safety critical infrastructure controls are elevated promptly and the continued use of the infrastructure is avoided where possible. • Intended use and operating limits are clearly defined and communicated to those who interface with infrastructure. This includes where changes are made to the intended use or operating limits of infrastructure out of its initial intended use. Where operating limits are exceeded, these are monitored, with documented action taken to maintain operating capability.	• There is evidence of an effective and preventative maintenance regime across the organisation. • Intended use and operating limits are regularly re-assessed so that infrastructure is maintained and operated within those intended use and operating limits. Those who interface with infrastructure are actively consulted during risk reviews and findings are communicated to them.

Expectation 8.5 The Defence organisation has mechanisms in place to ensure physical changes to infrastructure (including major software changes), materials and associated specifications are evaluated, risk assessed, approved and documented.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Physical changes to infrastructure are not formally evaluated, risk-assessed and documented.	• The Defence organisation has mechanisms in place to ensure physical changes to infrastructure are evaluated. However, a suitable and sufficient risk-assessment is not consistently performed, and controls are not formally documented or communicated.	• The Defence organisation has mechanisms in place to ensure physical changes to infrastructure are evaluated, risk-assessed and documented. Those who operate, maintain, inspect, and manage infrastructure are consulted in the evaluation process. Mitigating safety controls are formally approved by an appropriately competent person before being communicated across the Defence organisation.	• Physical changes to infrastructure are anticipated based on ongoing risk-assessments of the Defence organisations' infrastructure portfolio. Changes are evaluated and risk assessed regularly. Input is encouraged from stakeholders who maintain, use, and are affected by the operation of this infrastructure.

Expectation 8.6 The Defence organisation has mechanisms to accurately identify and manage the safety risks and dependencies in its infrastructure supply chain.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no consideration for infrastructure safety risk management throughout the Defence organisation's supply chain.	• Infrastructure safety risk management is reliant upon the supply chain providing details of safety risks. • Risk ownership is not well defined with respect to dependencies between Defence organisations and the supply chain.	• Infrastructure safety risks are shared openly between Defence organisations and their supply chains. • Risk ownership is understood and dependencies between Defence organisations documented.	• Infrastructure safety risks are shared between Defence organisations and these are recorded, regularly monitored, and collaboratively mitigated and managed. • Where dependencies are present these are proactively managed and deconflicted.

Expectation 8.7 Lessons learned from previous infrastructure design, acquisition, build, operation, modification, and maintenance activities are shared effectively across the Defence organisation.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Infrastructure information is not held centrally for the whole Defence organisation to access. • Lessons learned from previous infrastructure design, acquisition, build, operation, modification, and maintenance activities are not formally documented. • Procedures are not in place to notify potential users of infrastructure determined to be defective or inappropriate for specific uses.	• Infrastructure information is maintained centrally, however not communicated across the Defence organisation. • Lessons learned from previous infrastructure design, acquisition, build, operation, modification, and maintenance activities are documented but are not communicated across the Defence organisation. • Procedures are in place but are not consistently used to notify potential users of infrastructure determined to be defective or inappropriate for specific uses.	• Infrastructure information is maintained centrally and is communicated across the Defence organisation. • Lessons learned from previous infrastructure design, acquisition, manufacture, operation, modification, and maintenance activities are documented and communicated across the Defence organisation. • Procedures are in place and are used to notify potential users that infrastructure has been determined to be defective or inappropriate for specific uses.	• Lessons learned from previous infrastructure design, acquisition, manufacture, operation, modification and maintenance activities are documented and are proactively communicated across the Defence organisation and wider Defence and have been proven to prevent recurrence of safety issues. • Procedures are in place and consistently used to notify potential users of infrastructure determined to be defective or inappropriate for specific uses.

Element 9: Performance, Management Information and Reporting

Purpose

This element ensures that the Defence organisation has put in place the mechanisms to generate and communicate complete and accurate Management Information on a timely basis. There are methods in place to define data requirements, and then collect, record, manage and report on its safety performance, including incidents, accidents, and good practice.

The Expectations in this element are:

E9.1 The Defence organisation has effective systems and processes in place to collect, measure and monitor safety performance, using documented leading, lagging, and cultural performance indicators.

E9.2 The Defence organisation regularly reviews performance and conducts trend analysis to inform decisions and implement plans to correct performance deficits.

E9.3 The Defence organisation has mechanisms in place to produce, report and review the management information from performance indicators and trend analysis; acting on it in a timely manner.

E9.4 Leadership decisions around cost, schedule and military capability performance are data driven, including assessment of potential safety impact.

Documents often associated with this element:

- 1LOD assurance reports
- Accident, Incident, Near Miss Reporting System such as DURALS, ASIMS, NLIMS etc
- Agenda and minutes of management board and ExCo meetings
- Command / Corporate plan
- Continual Improvement (CI) logs
- Contract Management and Supply Chain management plans
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- ExCo / Command Board Dashboard
- HS&EP Organisation and Arrangement (O&A) statement
- KPI targets and metrics
- People survey or equivalent e.g., Attitude Survey
- Portfolio Management Reporting System (PMRS)
- Quarterly Performance and Risk Review (QP&RR)
- Review period of KPIs by a governance forum

Expectation 9.1 The Defence organisation has effective systems and processes in place to collect, measure and monitor safety performance, using documented leading, lagging, and cultural performance indicators.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a system in place to collect, measure and monitor safety performance.	• The Defence organisation has mechanisms in place to collect, measure and monitor safety performance however leading, lagging, and cultural performance indicators are not standardised.	• The Defence organisation has mechanisms in place to collect, measure and monitor safety performance which include standardised leading, lagging, and cultural performance indicators.	• The Defence organisation has mechanisms in place to collect, measure and monitor safety performance which include the use of standardised leading, lagging, and cultural performance indicators and are regularly reviewed and shared with wider defence.

Expectation 9.2 The Defence organisation regularly reviews performance and conducts trend analysis to inform decisions and implement plans to correct performance deficits.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not review any performance or conduct trend analysis to inform decisions and correct general performance deficits.	• The Defence organisation reviews performance and conducts trend analysis however this is not routine and is reactive to events and incidents. • Performance and analysis are not used consistently to inform decisions and corrective actions.	• The Defence organisation reviews performance and conducts trend analysis and this is both proactive and reactive in nature. • Performance and analysis are used to inform decisions and corrective actions.	• Performance and analysis are used to inform decisions and helps predict emerging trends, to identify opportunities to proactively improve performance.

Expectation 9.3 The Defence organisation has mechanisms in place to produce, report and review the management information from performance indicators and trend analysis; acting on it in a timely manner.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to produce and report safety management information. • The Defence organisation's leadership does not review performance management information and trend analysis.	• The Defence organisation has mechanisms in place to produce reports on safety management information but does not have defined standards and expectations for its content. • The Defence organisation's leadership reviews management information from performance indicators and trend analysis however this is not acted upon or used proactively.	• The Defence organisation has mechanisms in place to produce reports on safety management information, with defined standards and expectations for its content. • The Defence organisation's leadership reviews management information and trend analysis and this proactively informs performance improvements.	• The Defence organisation shares its management information for the wider Defence benefit. • The Defence organisation's leadership uses its management information to inform and develop organisation strategies and plans.

Expectation 9.4 Leadership decisions around cost, schedule and military capability performance are data driven, including assessment of potential safety impact.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• Leadership decisions around cost, schedule and military capability performance are not data driven and do not include an assessment of potential safety impact.	• Leadership decisions around cost, schedule and military capability performance are data driven but there is limited evidence of assessment of safety impact.	• Leadership decisions around cost, schedule and military capability performance are data driven and there is consistent evidence of assessment of safety impact. • A record of decision making is available which evidences the information used to reach decisions.	• Safety considerations proactively inform leadership decisions on cost, schedule and military capability.

Element 10: Accident / Incident Management and Emergency Response

Purpose

This element ensures that the Defence organisation has frameworks in place to report, notify, record, investigate incidents and plan on how to address investigation recommendations. The Defence organisation should promote an environment in which there is a culture of learning, where all our people and those external to the organisation feel safe to report incidents. Lessons are identified and learnt through a process of continual improvement. There is a proactive approach to identifying and mitigating potential incidents through regular and effective creation and testing of emergency plans.

The Expectations in this element are:

E10.1 The Defence organisation promotes a culture of open reporting of mistakes, accidents, incidents and near misses that occur.

E10.2 The Defence organisation has a system in place which is consistent with the Defence policy to record and report incidents, accidents and near misses from initial submission to close-out, allowing for effective investigation and resolution.

E10.3 The Defence organisation has resources in place to investigate incidents, accidents and near misses.

E10.4 The Defence organisation has systems in place to implement the corrective actions and learning from incidents, accidents and near misses to manage and drive continual improvement.

E10.5 Emergency and business continuity plans are in place, tested regularly and consider safety matters.

Documents often associated with this element:

- 1LOD assurance reports
- Actions to strengthen Management Information based on this learning
- Analysis and lesson learned
- Business continuity plans
- Command / Corporate plan
- Continual Improvement (CI) Logs
- Defence organisation business plans,
- Defence organisation Operating Model
- Defence organisation SMS
- Effective interface with TUs and statutory regulators including reporting (e.g., Reporting of Injuries, Diseases and Dangerous Occurrences Regulation (RIDDOR)) 2013
- Information collection process for safety performance analysis and lessons learned
- Major Accident Control Regulations (MACR) plan
- Samples of emergency response exercise planning
- Whistle blower / anonymous escalation route / reporting

Expectation 10.1 The Defence organisation promotes a culture of open reporting of mistakes, accidents, incidents and near misses that occur.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not promote a culture that allows for people to openly report mistakes, accidents, incidents, and near misses that occur.	• The Defence organisation promotes a culture that allows for people to openly report mistakes, accidents, incidents, and near misses that occur, however there is limited evidence of reports being reviewed or acted upon.	• The Defence organisation promotes a culture that allows for people to report mistakes, accidents, incidents, and near misses that occur. Reports are reviewed and acted upon by the organisation and its leadership in a timely manner. • Investigations into root cause analysis are conducted, but improvements identified are not implemented in a timely manner.	• The Defence organisation promotes a culture that allows for people to report mistakes, accidents, incidents, and near misses that occur. The organisation positively re-enforces this culture. • Reports are reviewed and acted upon by the organisation and its leadership in a timely manner. • Leadership use reports to develop methods to prevent reoccurrence and drive continual improvement. • The focus of investigations is on the root cause and systematic improvements, with actions being taken in response, in a timely manner.

Expectation 10.2 The Defence organisation has a system in place which is consistent with the Defence policy to record and report accidents, incidents and near misses from initial submission to close-out, allowing for effective investigation and resolution.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a system to record and report accidents, incidents and near misses for all stakeholders. • Within the Defence organisation there is no, or little understanding, of the importance of leadership review of accidents, incidents and near misses so that recurrence is prevented.	• The Defence organisation has a system in place to record accidents, incidents and near misses but this is not consistent with Defence policy and does not include all stakeholders. • The Defence organisation conducts investigations into accidents, incidents and near misses but are inconsistent with Defence policy.	• The Defence organisation has a system in place which is consistent with Defence policy to record accidents, incidents and near misses but does not include all stakeholders. • The Defence organisation conducts investigations into accidents, incidents and near misses, and manages close out in line with Defence policy in a timely manner.	• The Defence organisation has a system in place which is consistent with Defence policy to record accidents, incidents and near misses and includes all stakeholders. • The Defence organisation uses root cause analysis or similar methods to avoid future event recurrence and drive continual improvement in a timely manner.

Expectation 10.3 The Defence organisation has resources in place to investigate accidents, incidents and near misses.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation has no resources in place to investigate accidents, incidents and near misses.	• The Defence organisation does not have sufficient resources to fulfil its investigatory responsibilities which results in investigations not meeting Defence policy expectations.	• The Defence organisation has sufficient resources to fulfil its investigatory responsibilities. • The Defence organisation performs investigations which produce recommendations that can be applied both within the organisation and across Defence.	• The Defence organisation proactively assesses its investigatory resources to ensure both current and future requirements can be met.

Expectation 10.4 The Defence organisation has systems in place to implement the corrective actions and learning from accidents, incidents and near misses to manage and drive continual improvement.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have a system in place to implement corrective actions and learning from accidents, incidents and near misses.	• The Defence organisation has systems in place to implement corrective actions and learning from accidents, incidents and near misses but does not consistently implement the actions and learning.	• The Defence organisation has systems in place to implement corrective actions and learning from accidents, incidents and near misses. These are used to manage and drive continual improvement and are shared across the Defence organisation.	• The Defence organisation uses its learning to better predict future incidents and take steps to mitigate ahead of realisation. • The Defence organisation shares corrective actions and learning both internally and across wider Defence. • The Defence organisation adopts good practice from outside organisational boundary to drive continual improvement.

Expectation 10.5 Emergency and business continuity plans are in place, tested regularly and consider safety matters.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have an emergency and business continuity plan in place.	• The Defence organisation has an emergency and business continuity plan in place that considers events that could arise, but controls are not tested regularly, not all responsibilities are assigned or there are gaps in competency.	• The Defence organisation has an emergency and business continuity plan in place that considers events that could arise, and controls are tested regularly. • Relevant controls are reviewed and revised on a regular basis.	• The Defence organisation proactively looks forward when planning emergency responses to identify potential scenarios and uses good practice to deliver continual improvement in their planning. • Emergency and business continuity plans include defined equipment and infrastructure requirements and are tested regularly. • The Defence organisation liaises with relevant external stakeholders (such as their Fire & Rescue) to better prepare its emergency arrangements.

Element 11: Communications and Stakeholder Engagement

Purpose

This element ensures that the Defence organisation has mechanisms in place to identify its internal and external stakeholders and communicate and engage with these stakeholders on safety matters.

The Expectations in this element are:

E11.1 The Defence organisation has mechanisms in place to identify internal and external stakeholders and understand their role and purpose in safety matters.

E11.2 The Defence organisation has mechanisms in place to manage and engage with stakeholders and to consult on safety matters, including with the workforce, trade unions, suppliers, contractors, and others affected by the organisation's activities.

E11.3 The Defence organisation works with its stakeholders to build effective working relations to drive continual improvement in safety.

E11.4 The Defence organisation has mechanisms in place to allow all people, contractors, and the supply chain to easily access up to date safety information relevant to their roles.

E11.5 The Defence organisation has mechanisms in place to enable people to anonymously raise safety related concerns.

Documents often associated with this element:

- 1LOD assurance reports
- Agenda and minutes of the safety committee meetings (Strategic, Tactical and Working)
- Command / Corporate Plan
- Communications plan
- Continual Improvement (CI) logs
- Corrective action plans
- Correspondence with regulators
- Correspondence with Regulators, Other government departments or MoD organisations regarding safety concerns or knowledge sharing
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- Joint Basing Arrangements (JBAs)
- Memorandums of Understanding (MOUs)
- RACI (Responsible, Accountable, Consulted, Informed) matrix
- Service Level Agreements (SLAs)
- Whistleblowing / anonymous reporting

Expectation 11.1 The Defence organisation has mechanisms in place to identify internal and external stakeholders and understand their role and purpose in safety matters.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to identify internal and external stakeholders nor understand their role and purpose on safety matters.	• The Defence organisation has mechanisms in place to identify some stakeholders, however there is limited understanding and communication and engagement with these stakeholders.	• The Defence organisation has mechanisms in place to identify its internal and external stakeholders and their roles are understood. There is regular communication and engagement.	• All stakeholders understand their respective roles with respect to communication on matters of safety. The Defence organisation understands the influence internal and external stakeholders have on their business.

Expectation 11.2 The Defence organisation has mechanisms in place to manage and engage with stakeholders and to consult on safety matters, including with the workforce, trade unions, suppliers, contractors, and others affected by the organisation's activities.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to manage and engage with stakeholders regarding consultation of safety issues. • Safety information is not clearly and regularly communicated with other key parties (such as trade unions, suppliers, and contractors). • There is no formal mechanism in place within the Defence organisation to consult with the workforce and Trade Unions on safety matters.	• The Defence organisation has mechanisms in place to consults with stakeholders regarding safety issues, but this is typically one-way communication of safety matters rather than a collaborative and proactive partnership. • A formal mechanism is in place within the Defence organisation to consult with the workforce and Trade Unions on safety matters. It meets infrequently or on an ad hoc basis.	• The Defence organisation has mechanisms in place to gather feedback from stakeholders and those affected by the organisation's activities regarding safety, and stakeholders are enabled to proactively share concerns. • A formal mechanism is in place within the Defence organisation to consult with the workforce and Trade Unions on safety matters. It meets regularly.	• The Defence organisation promotes open and transparent communication on matters of safety with its stakeholders. • The Defence organisation actively communicates with individual stakeholders and stakeholder forums and considers feedback to improve risk management.

Expectation 11.3 The Defence organisation works with its stakeholders to build effective working relations to drive continual improvement in safety.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not work with stakeholders to build effective working relations or drive continual improvements in safety. • The Defence organisation does not have mechanisms to manage feedback, including concerns and grievances.	• The Defence organisation works with stakeholders to build effective working relations and drive continual improvements in safety through documented processes but there are weaknesses in implementing safety processes across the organisation. • The Defence organisation has mechanisms to manage feedback, including concerns and grievances however they are not acted upon.	• The Defence organisation works with stakeholders to build effective working relations and drives continual improvements in safety through documented processes. • The Defence organisation has mechanisms to manage feedback, including concerns and grievances and they are acted upon.	• The Defence organisation works with stakeholders to build effective working relations and drives continual improvements in safety through documented processes. • The Defence organisation routinely consults with stakeholders, jointly sharing safety challenges and working collaboratively to resolve and implement corrective actions. • The Defence organisation seeks feedback from its stakeholders, including concerns and grievances to allow them to resolve matters before they are realised.

Expectation 11.4 The Defence organisation has mechanisms in place to allow all people, contractors, and the supply chain to easily access up to date safety information relevant to their roles.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation has no mechanisms in place to allow its people, contractors, and the supply chain to easily access up to date safety information.	• The Defence organisation has a mechanism in place to allow its people, contractors, and the supply chain to easily access safety information, but the information is not up to date or is incorrect. • The Defence organisation does not act on the workforce, contractors, and supply chain challenges on finding information or feedback relating to how easy it is to access.	• The Defence organisation has a mechanism in place to allow all people, contractors, and the supply chain to easily access safety information and the information is regularly reviewed and updated. • The Defence organisation acts on the workforce, contractors and supply chain feedback or challenges on finding information or feedback relating to how easy it is to access.	• The Defence organisation proactively shares safety updates and information to raise people, contractors, and supply chain workers awareness of safety information.

Expectation 11.5 The Defence organisation has mechanisms in place to enable people to anonymously raise safety related concerns.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to enable people to anonymously raise safety related concerns.	• The Defence organisation has mechanisms in place for people to be able to raise anonymous safety concerns, however concerns raised are not acknowledged and acted upon.	• The Defence organisation has mechanisms in place for people to be able to raise anonymous safety concerns. • Safety concerns are acted upon with documentary evidence. • Anonymous concerns initially unlinked to safety are not considered for safety impact.	• The Defence organisation has mechanisms in place for people to be able to raise anonymous concerns, and leadership actively encourage feedback to be shared. • Leadership supports the ability for concerns to be raised anonymously but promotes an open and transparent reporting culture. • Anonymous concerns not initially linked to safety are considered for safety impact.

Element 12: Assurance

Purpose

This element ensures the Defence organisation has assurance mechanisms in place to identify strengths and weaknesses in its SMS and it drives continual improvement. Assurance activity is planned to cover all business activities and is linked to having a risk-based assurance plan.

The Expectations in this element are:

E12.1 The Defence organisation has mechanisms in place to conduct a risk-based 1st Line of Defence (1LOD) assurance appropriate to its scale and complexity.

E12.2 The Defence organisation has mechanisms in place to enable 2LOD and 3LOD assurance and supports external assurance.

E12.3 The Defence organisation conducts an annual self-assessment against the elements of the Defence SMS and provides this to organisational leadership to identify opportunities for improvement and help inform the generation of the annual assurance report submission.

E12.4 The Defence organisation's leadership formally review the effectiveness of their SMS in meeting organisational objectives based on assurance activity undertaken.

E12.5 The Defence organisation has mechanisms in place to ensure that corrective action is taken to address Defence and statutory regulator enforcement actions.

Documents often associated with this element:

- 1LOD assurance reports
- Agenda and minutes of the safety committee meetings (Strategic, Tactical and Working)
- Annual Assurance plan
- Assurance mapping and gap analysis of risk and control measures
- Command / Corporate plan
- Continual Improvement (CI) logs
- Corrective action plans
- Defence and statutory regulator enforcement actions procedures
- Defence organisation business plans
- Defence organisation Operating Model
- Defence organisation SMS
- List of enforcement actions received

Expectation 12.1 The Defence organisation has mechanisms in place to conduct a risk-based 1st Line of Defence (1LOD) assurance (appropriate to its scale and complexity).

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not conduct 1 LOD risk-based assurance activities.	• The Defence organisation conducts 1 LOD assurance activity, but this is not risk-based formal schedule. • The Defence organisation has insufficient resources and competency in place to conduct 1LOD assurance. • The 1LOD assurance identifies non-conformance but does not identify corrective actions.	• The Defence organisation conducts 1 LOD assurance activity, using a risk-based formal schedule. • The Defence organisation has sufficient resources in place to conduct 1LOD assurance. • The 1LOD assurance identifies non-conformance and corrective actions. • The Defence organisation does not routinely review its risk-based formal schedule and is not agile in re-prioritising its assurance activity.	• The Defence organisation's 1LOD assurance activity identifies non-conformance, corrective actions and manages these through to resolution with a formal management and review process. • The Defence organisation uses the findings from its 1LOD assurance activity to review and update its SMS. • The Defence organisation routinely reviews its risk-based formal schedule and is agile in re-prioritising its assurance activity in response to emerging risks.

Expectation 12.2 The Defence organisation has mechanisms in place to enable 2LOD and 3LOD assurance, and supports external assurance.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to enable 2LOD and 3LOD assurance or support external assurance activity.	• The Defence organisation is unable to fully support the full range of Defence 2LOD and 3LOD activities including external assurance because of resourcing and organisational constraints. • The Defence organisation does not understand the similarities and differences for 2LOD, 3LOD and external assurance processes, arrangements, and requirements.	• The Defence organisation can support the full range of Defence 2LOD and 3LOD activities including external assurance. • The Defence organisation does not consistently collate the findings from 2LOD, 3LOD and external assurance activities, or fully incorporate them into the management and review process. • The Defence organisation can demonstrate how it intends to reach full assurance.	• The Defence organisation proactively seeks 2LOD and 3LOD activities including external assurance. • The Defence organisation routinely collates the findings from 2LOD, 3LOD and external assurance activities, and fully incorporates them into the management and review process. • The Defence organisation can demonstrate how it intends to maintain full assurance.

Expectation 12.3 The Defence organisation conducts an annual self-assessment against the elements of the Defence SMS and provides this to organisational leadership to identify opportunities for improvement and help inform the generation of the annual assurance report submission.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not conduct an annual self-assessment against the elements of the Defence SMS to inform the annual assurance report.	• The Defence organisation formally conducts an annual self-assessment against the elements of the Defence SMS. • Improvement opportunities are identified however these are not implemented by leadership. • An annual assurance report submission is produced; however, it does not provide sufficient detail as to safety performance.	• The Defence organisation formally conducts an annual self-assessment against the elements of the Defence SMS. • Improvement opportunities are identified during the self-assessment and are used by leadership to enable continual improvement. • An annual assurance report submission is produced and provides sufficient detail relating to safety performance.	• The Defence organisation formally conducts an annual self-assessment against the elements of the Defence SMS. • Improvement opportunities are identified during the self-assessment and passed onto leadership to enable continual improvement, with a formal plan for improvement and clear actions taken in response. • Previous annual assurance report submissions are reviewed to allow for year-on-year trending of safety performance.

Expectation 12.4 The Defence organisation's leadership formally review the effectiveness of their SMS in meeting organisational objectives based on assurance activity undertaken.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• There is no evidence that leadership is evaluating the outputs of organisational assurance. • Leadership is not reviewing its SMS effectiveness on organisational objectives.	• There is evidence that leadership is evaluating the outputs of organisational assurance, this is however un-planned, un-scheduled and not documented. • Leadership reviews effectiveness of the SMS in meeting organisational objectives but is done inconsistently.	• Leadership evaluates the outputs of organisational assurance; the process is well documented and routinely undertaken. • Leadership regularly reviews the effectiveness of their SMS in meeting organisational objectives.	• Leadership promotes continual improvement in safety based on learning from formal reviews of assurance activity and the effectiveness of their SMS.

Expectation 12.5 The Defence organisation has mechanisms in place to ensure that corrective action is taken to address Defence and statutory regulator enforcement actions.

No Assurance	Limited Assurance	Substantial Assurance	Full Assurance
• The Defence organisation does not have mechanisms in place to take corrective action to address Defence and statutory regulator enforcement actions.	• The Defence organisation has mechanisms in place to take corrective actions to address Defence and statutory regulator enforcement actions, however this is not formally documented or consistently applied. • Actions are not complied with within the timescale set by the regulator.	• The Defence organisation has mechanisms in place to take corrective actions to address Defence and statutory regulator enforcement actions, and these are formally documented and consistently applied. • Actions are complied with within the timescale set by the regulator.	• Actions taken to comply with Defence and statutory regulator enforcement actions are shared across Defence for the benefit of organisational learning and prevent recurrence.