

MANAGEMENT ROLES

Decision Maker (DM) – responsible for ensuring the safety case has been adequately assessed in accordance with procedure and makes the decision on the acceptability of the safety case

Case Manager (CM) – responsible overall for managing the assessment and approval of the assessment recommendation of the safety cases in accordance with the procedure

Assessment Manager (AM)– responsible for managing the co-ordinated effort of topic specialists of a specific safety case and drawing together the assessments to make a recommendation on acceptability.

Topic Assessment Manager (TAM) – responsible for the management and quality of safety case technical assessments allocated to the topic team.

ACRONYMS

NPI – Non-Production installation

PI – Production Installation

MC/Dm - Material Change/Dismantlement

IMT – Inspection Management Team

R = Responsible

I = Informed

AP = Approved by

| Step | Completion Window (Day Numbers) NPI PI MC / Dm | Activity by Responsible Person | Submission | | Assessment Management | | | Technical Assessment Note: will include IMT for Management & Verification | | | Acceptance | Notes (Time recording category: Assessment) |
|------|--|---|---------------------------------|--|----------------------------|----------------------|--|---|-----------------------------------|------------------------|------------|--|
| | | | Duty Holder (Operator/Owner) | Safety Case Co-Ordinator (IMT Admin) | Assessment Manager (AM) | Case Manager (CM) | OPRED Topic Assessor Administrator | Topic Assessor (TA) | Topic Assessment Manager (TAM) | OMAR Decision Maker | | |
| 1 | 0 0 0 | Submit Safety Case for assessment Include relevant Initial Review Template and Topic Assessment Guides where appropriate | R | | | | | | | | | Submission of concurrent Safety Cases for an installation is not permissible Upload Case Via the Competent Authority Portal (CAP) CAP - Log In (beis.gov.uk) |
| 2 | 1 1 1 | Assign Roles via CAP HSE to create COIN Case | | R | I | I | | R | I | I | | If you require the role to be reassigned either contact your Safety Case Administrator or send email to Aberdeen.Admin@hse.gov.uk BST/OPRED will manage EI and EO assignment. A COIN Case reference number is entered onto the CAP this is for HSE work recording purposes only |
| 3 | 2 - 15 2 - 15 2 - 15 | Undertake Initial Review | | | R | | | | | | | Initial review template is on the OMAR SharePoint site. A link is available direct from the CAP. You require to upload the template to the CAP. <i>If Case has limited prospect of acceptance:</i> return submission via the CAP. |
| | | Prepare and Issue Assessment Instructions | | | R | AP | | | I | | | Upload and issue Assessment Instructions via the CAP Assessment Instruction Template held on OMAR SharePoint site with a link from the CAP |
| 4 | 16-30 16-30 16-30 | Confirm and advise if agree with assessment instruction | | | I | | | | R | I | | Confirm, via portal, if in agreement with Assessment Instruction. You must respond within 10 working days of receipt of the Assessment Instructions |

| Step | Completion Window (Day Numbers) NPI PI MC / Dm | Activity by Responsible Person | Submission Duty Holder (Operator/Owner) | Assessment Management | | | Technical Assessment Note: will include IMT for Management & Verification | | | Acceptance OSDR Decision Maker | Notes (Time recording category: Assessment) |
|------|---|--|--|--------------------------------------|-------------------------|-------------------|--|---------------------|--------------------------------|---------------------------------------|---|
| | | | | Safety Case Co-Ordinator (IMT Admin) | Assessment Manager (AM) | Case Manager (CM) | OSDR Topic Assessor Administrator | Topic Assessor (TA) | Topic Assessment Manager (TAM) | | |
| 5 | 16 - 40 16 - 170 16 - 40 | a) Read and assess Safety Case as per Assessment Instructions. | | | | | | | | | TAs must adhere to the scope identified in the Assessment Instruction. Reassessment of previously accepted information is not required. |
| | 16-40 16-85 16-40 | b) Start completing the Topic Assessment Guide (TAG) | | | | | | | | | TAG to be uploaded onto the Portal. Progression of the TAG will only be feasible when and if any AIs raised have been resolved. L154 Regulatory Guidance http://www.hse.gov.uk/pubns/books/l154.htm aposc.pdf (hse.gov.uk) By exception, seek Clarification(s) as required. Clarifications to be handled via the Assessment Manager and can be recorded within Communications on the Portal Where there is a difference of professional judgement refer to the Differences of Professional Judgement Framework and complete and upload this onto the CAP within Communications, save in PDF format. |
| | | c) Where Assessment Issues (AIs) are identified create AI Note(s) | | | | | | | | | |
| | 17-59 17-104 17-59 | Respond formally to AI(s) and address any Clarification(s) | R | | | | | | | | Via CAP |
| | 16-59 | Review AI response(s) from Duty holder if you are not satisfied with the response you should return to the Duty holder | | | | | | | | | AI inadequate response template upload and forward via the CAP. |
| 6 | 40 - 66 85 - 120 40 - 66 | Undertake Stocktaking Exercise. | | | R | I | | | | | Monitor progress with Topic Assessment Guides and compare progress against milestones on the CAP. Where there is a delay in raising of an AI or the response is inadequate or returned late from the Duty Holder the Assessment Manager should consider the impact on the decision date and whether an extension may be necessary. Any request for extensions to the decision date should be agreed by the Case Manager and then by the duty holder. Any changes to the initial date should be reflected in the CAP via Communications. Milestones can be altered by the Safety Case Co-ordinators. |

| Step | Completion Window (Day Numbers) NPI PI MC / Dm | Activity by Responsible Person | Submission | | | | Technical Assessment Note: will include IMT for Management & Verification | | | Acceptance | Notes (Time recording category: Assessment) | |
|------|---|---|------------------------------|--------------------------------------|-------------------------|-------------------|--|---------------------|--------------------------------|------------|--|---|
| | | | Duty Holder (Operator/Owner) | Safety Case Co-Ordinator (IMT Admin) | Assessment Manager (AM) | Case Manager (CM) | OPRED Topic Assessor Administrator | Topic Assessor (TA) | Topic Assessment Manager (TAM) | | | Decision Maker (DM) |
| 7 | 16 - 80 18 - 170 18 - 80 | Assess response(s) as necessary and finalise the Topic Assessment Guide. | | | | | | | R | AP | | Attach finalised Topic Assessment Guide (TAG) Note: any AIs which has required a 'Finely Balanced Decision' before resolving on the CAP must be detailed in the TAG |
| 8 | 81 - 85 171 - 175 81 - 85 | Review TAGs, prepare Safety Case Assessment Recommendation and inform 'Decision Maker'. | | | R | AP | | | | | I | Upload the Safety Case Assessment Recommendation to the CAP. The template is on the OMAR SharePoint site and a link available via the CAP Where there is a finely balanced decision refer to Finely Balanced Decisions Framework |
| 9 | 86 - 90 176 - 180 86 - 90 | Take decision. | I | | I | I | | | | | R | Before making the decision via the CAP you must sign off the Decision Makers declaration on the Portal |
| | | QA Check | | R | | | | | | | I | QA check undertaken by Safety Case Coordinator prior to issue of decision letter |
| 10 | 90+ 180+ 90+ | Revise Safety Case to reflect any Clarifications and Assessment Issues | R | | | | | | | | | Upload onto the portal-controlled copy of revised Safety Case |