



**DE&S SAFETY AND ENVIRONMENTAL
PROTECTION LEAFLET 12/2017**

DE&S SAFETY AND ENVIRONMENTAL PROTECTION LEAFLET 12/2017 DE&S REQUIREMENTS FOR THE MANAGEMENT OF EQUIPMENT SAFETY AND ENVIRONMENTAL ISSUES AND INCIDENTS		
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Introduction

1. In DE&S, the efficient handling of a Products, Systems and Services (PSS) accident, incident, and near-miss (which will be referred to as “Events” throughout this S&EP leaflet) reports requires the involvement of a number of stakeholders, with a wide range of tasks undertaken at Delivery Team (DT), Operating Centre (OC) and pan-DE&S level. This ensures that underlying safety issues are identified, corrective action is implemented, and lessons are learnt. This S&EP Leaflet describes how these requirements shall be implemented across DE&S, with emphasis on the role of the OC.

Requirements

2. The reporting of PSS accidents, incidents and near misses by users uses various domain specific systems¹ each of which ensures that events involving PSS are brought to the attention of the relevant DE&S DT. It is the responsibility of the appropriate person in the DT (i.e. Senior Safety Responsible (SSR), Safety Responsible (SR) or Safety Delegated (SD) with support from the Safety Manager (SM)) to assess these reports and identify whether PSS performance contributed to the event. Where applicable, DTs are to initiate action to control resultant risks or prevent reoccurrence² liaising with appropriate Delivery Duty Holder(s) and other Defence Line of Development (DLOD) owners as necessary.

¹ Currently including but not limited to: the Army Incident Notification Cell and Navy Lessons Identified Management Systems (AINC and NLIMS), the Munitions Incident Database (MID) and Serious Equipment Safety Occurrence Reports (SESORs) in the Air Safety Information Management System (ASIMS). These are likely to be replaced by Defence Unified Reporting and Lessons System (DURALS) in the future.

² All incidents should be reviewed at an appropriate Project Safety and Environmental Committee Hazard Log review

3. Where the need for additional risk control measures is identified, the SSR shall take action to introduce these within appropriate timescales, if necessary, implementing interim controls while permanent solutions are developed³. The SSR may also decide to recommend temporary restrictions on use or, ultimately, recommend withdrawing the PSS from service.
4. OCs shall have a responsibility to maintain an overview of such activities, ensuring DTs discharge their responsibilities in an effective and proportionate manner, as well as identifying pan-project, pan-domain/pan-environment and pan-defence issues that may have implications wider than the DT that supports the PSS.
5. OCs shall develop and implement procedures which, as a minimum ensure their DTs:
 - a. Employ robust processes for managing PSS-related incident reports, identifying, communicating, and implementing timely corrective action.
 - b. Employ processes for identifying trends and common causes.
 - c. Consider whether reported issues may have wider implications for other platforms or systems beyond their own area of responsibility and communicate accordingly.
 - d. Applying the principles of platform primacy, consider whether reported PSS issues may impact platforms on which the PSS is deployed, or whether reported platform-level issues may have implications for PSS supplied to the platform, and communicate accordingly.
 - e. Have personnel, or access to personnel, who are suitably trained in reviewing accident, incident and near miss reports to establish root causes.
 - f. Review hazard logs and safety and environmental cases to determine whether reported events impact on existing assessments, arguments, or conclusions.
 - g. Be aware of requirements for reporting the most serious events through the management chain and ultimately the SHEC if required.
6. OCs shall establish and maintain effective systems to achieve the following outcomes:
 - a. Reports which have implications for other platforms or systems beyond their areas of responsibilities are identified and formally reported to relevant stakeholders.
 - b. Domain reporting databases are monitored to identify any events which involve PSS but have not been brought to the attention of the relevant DT.
 - c. Event reports which have been assigned to an incorrect owner are identified and re-directed, e.g. PSS related reports that have gone to Platform teams only.
 - d. Actions placed on DTs as a result of formal Service Inquiries are monitored to ensure they are fully implemented within stated timescales.
 - e. Mechanisms are employed to immediately inform senior management in their own domain of significant PSS-related safety events, and the DE&S Safety Health & Environmental Committee (SHEC) of the most serious events.

³ See DE&S Safety and Environmental Protection Leaflet 02/2011 (ALARP in a Military Equipment Capability Context), para. 22.

7. To provide complete awareness of potentially significant issues, OCs shall implement processes which manage hazards/impacts resulting from:
 - a. Maintenance or repair activities (at all lines and depths of maintenance), where issues or faults may be identified which have the potential to result in a significant PSS-accident, incident or near miss.
 - b. Advice from a Design Organisation, Original Equipment Manufacturer (OEM) or other external source that a potential issue with significant safety or environmental consequences may exist.
 - c. Any PSS-related event that results in, or may require, a significant restriction or capability loss being imposed on the current platform or equipment use.

8. OCs shall implement an effective system for conducting Learning from Experience (LfE). Details of this can be found in ASEMS⁴/[Procedure BMS – LfE Process Map](#).

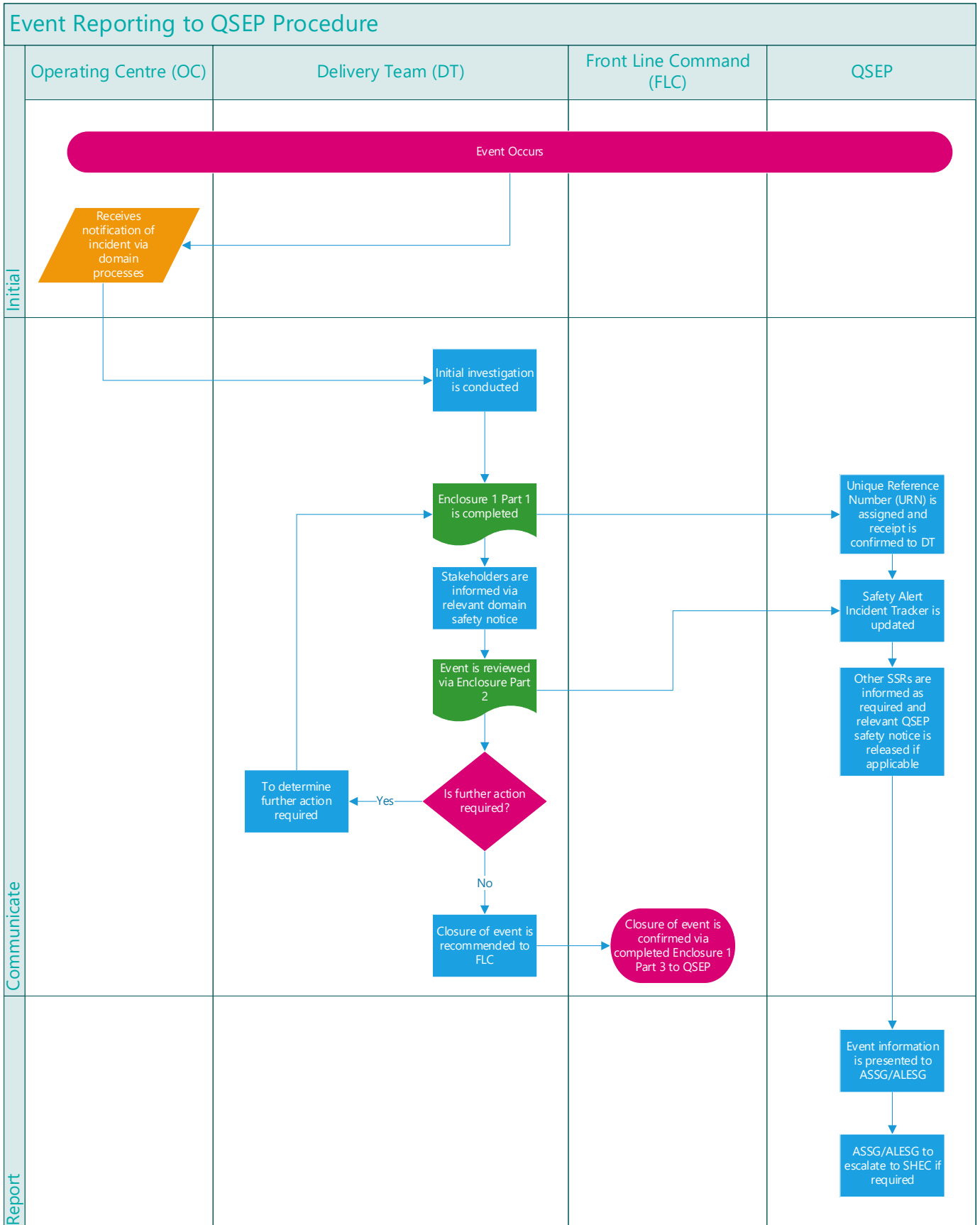
A corporate LfE tool is being explored by the PD Head of Function and an update will be made once available.

9. When considering the implications and significance of a reported event, DTs and OCs should use professional judgement to consider the potential safety or environmental implications of the event for other domains or PSS, i.e. where similar PSS may pose similar hazards, or where analogous hazards may exist in other platforms or systems beyond their areas of responsibilities. In such cases, formal action shall be taken to communicate the potential issue to relevant stakeholders, using the appropriate domain systems⁵. Note: some incidents may be cross domain and require multiple notifications utilising different systems.
10. Where the issue is of appropriate significance (Significant Safety Concern or Significant Safety Occurrence), the DE&S QSEP team shall be provided with the necessary information to highlight the issue to the SHEC. The template that should be used to provide this information is provided at Enclosure 1.
11. LfE shall be a standing agenda item at all Safety Committees. The DE&S forums for such discussions are the DE&S Acquisition Safety Steering Group (ASSG) and the Acquisition Legislative Environmental Steering Group (ALESG), both chaired by Director Engineering and Safety.
12. Copies of PSS event documentation and reporting should be managed and maintained by DTs and made available to Senior Management when requested.

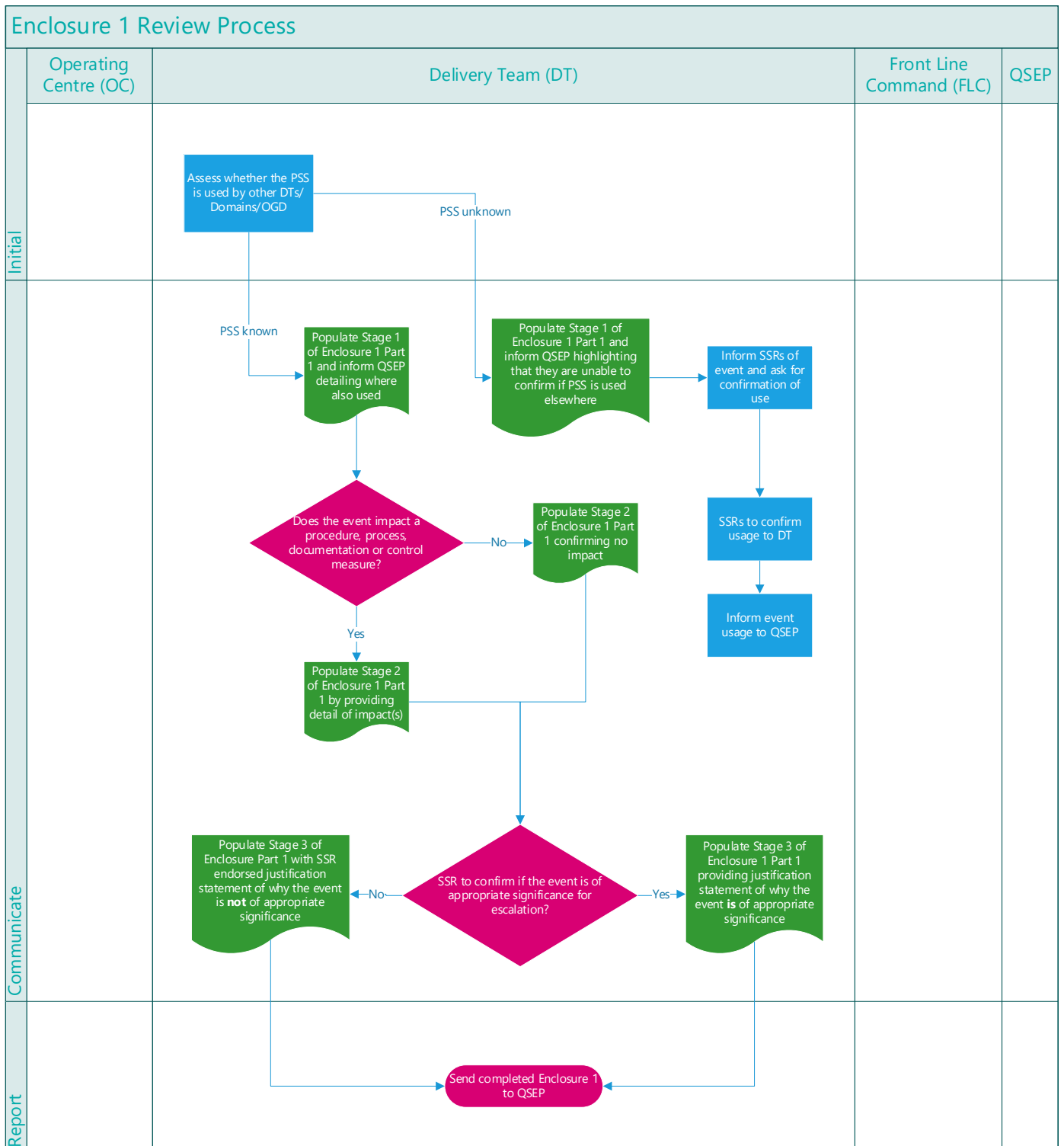
⁴ Operating Centres, Project Teams or equivalents shall ensure accidents and incidents are investigated to identify opportunities to reduce the likelihood and impact of recurrence. Lessons learned shall be shared amongst all relevant stakeholders to maximise benefit. ASEMS Part 1 clause 1.7.

⁵ Including but not limited to: Safety Notice via Email (SNvE) and Significant Equipment Notification (SEIN).

Event Reporting to QSEP Procedure



Enclosure 1 Review Process



Enclosure 1 Event Notification Reporting Template

To be completed by QSEP:		
Date report received by QSEP:	QSEP Tracking ID Reference:	
To be completed by Reporting OC/DT		
Reporting OC/DT:		
Platform/Equipment:		
Type of Event (Incident/Accident/Near Miss):		
Date/Time of Event:		
Reported by (Name/Role/Team/Organisation):	Reporting Process (e.g., NLIMS/MIDCEL/DURALS):	Reporting Reference:
Description of Event:		

Part 1: Initial Investigation
Stage 1: Confirmation that Equipment is used elsewhere (Delete as appropriate):
SSR <u>CONFIRMS</u> that PSS is used elsewhere, and details are known. (Provide details of additional use including locations/platforms/users):
SSR <u>CANNOT</u> confirm whether PSS is used elsewhere, escalation to QSEP Required? Y/N (delete as appropriate)
QSEP Response:

Stage 2: Event impact on procedure/process /documentation or control measure		
Event DOES/DOES NOT (delete as appropriate) impact procedure/process or existing control measure. (Provide justification as to why no impact/Detail impact with supporting evidence):		
Stage 3: Escalation of event required due to significance SSR confirmation		
SSR Confirms that event IS/IS NOT (delete as appropriate) of significance to escalate. (Provide justification to support statement including evidence/reference to investigations/risk assessments/safety arguments etc).		
Initial Investigation Outcome		
Initial event investigation Risk Assessment and impact to Hazard Log:		
Current/Proposed Mitigations (Include Timescales):		
Safety Notice Raised? Y/N (delete as appropriate)		
Review date:	Safety Notice Reference (if applicable):	
Additional Comments (if applicable):		
SSR Endorsement		
Name:		
Signature:	Role:	Rank/Grade:

QSEP Review (To be completed by QSEP)		Date:
Update to SSR's required? Y/N (delete as appropriate)		
QSEP Safety Alert required? Y/N (delete as appropriate)		SSR Update reference (if applicable):
Event to be escalated to SHEC? Y/N (delete as appropriate). Provide justification:		Safety Alert reference (if applicable):
QSEP Review acceptance		
Name:		
Signature:	Role:	Rank/Grade:

Part 2: Review of Event	
Review Date:	
Stage 1: Changes to confirmation that Equipment is used elsewhere (Delete as appropriate)?:	
SSR confirms that there HAS/HAS NOT (delete as appropriate) been any change to known usage of PSS (Provide additional details if applicable):	
Stage 2: Changes to impact on procedure/process /documentation or control measure	
SSR confirms that there HAS/HAS NOT (delete as appropriate) been any change in impact on procedure/process or existing control measure since initial investigation. (Provide additional details if applicable):	
Stage 3: Changes to requirement to escalate event due to significance SSR confirmation	
SSR Confirms that there HAS/HAS NOT (delete as appropriate) been any change in significance to require escalation. (Provide additional details if applicable):	
Event Review	
Changes to Risk Assessment and impact to Hazard Log:	
Evidence of closure of actions from initial review (including from SHEC if applicable):	
Further actions/mitigations required? Y/N (Delete as appropriate and provide further details as applicable):	
DT Safety Notice Required? Y/N (delete as appropriate)	Safety Notice Reference (if applicable)
Further review required? Y/N (If further review not required complete part 3)	Planned Review Date (if applicable)

Additional Comments/Evidence:		
SSR Endorsement		
Name:	Role:	Rank/Grade:
Signature:	Date:	
QSEP Review (To be completed by QSEP)		
QSEP Tracker updated Y/N (delete as appropriate)		
Update to SSR's required? Y/N (delete as appropriate)	SSR Update reference (if applicable):	
QSEP Safety Notice required? Y/N (delete as appropriate)	Safety Notice reference (if applicable):	
Event to be escalated to SHEC? Y/N (delete as appropriate). Provide justification:		
QSEP Review acceptance		
Name:	Role:	Rank/Grade:
Signature:	Date:	

Part 3: Closure of Event Report		
Event Report Closure Review		
Final Risk Assessment and impact to Hazard Log:		
Evidence of closure of actions from reviews (including from SHEC if applicable):		
SSR Justification for closure of Event Report including supporting evidence:		
OC/DT Safety Notice required? Y/N (If further review not required complete part 3)	Safety Notice Reference (if applicable)	
Additional Comments/Evidence:		
SSR Endorsement		
Name:	Role:	Rank/Grade:
Signature:	Date:	
QSEP Review (To be completed by QSEP)		
QSEP Tracker updated Y/N (delete as appropriate)		
Update to SSR's required? Y/N (delete as appropriate)	SSR Update reference (if applicable):	
QSEP Safety Alert required? Y/N (delete as appropriate)	Safety Alert reference (if applicable):	
Event Closure communicated to SHEC? Y/N (delete as appropriate). Provide justification:		
QSEP Event Closure Formal Record Reference:		
QSEP Review acceptance		
Name:	Role:	Rank/Grade:
Signature:	Date:	