# DE&S Risk Referral/Escalation Template

The DE&S Risk Referral/Escalation Template[[1]](#footnote-2) is to be used whenever DE&S safety and environmental protection risk assessment activities identify very high-level risks[[2]](#footnote-3) which will not or are unlikely to be sufficiently mitigated at the stage they are presented to users, third parties, or the environment.

Should this situation arise, referral/escalation to a higher authority must be sought. This applies irrespective of the lifecycle stage and is not limited to operational use. For such high-level risks, the referral/escalation seeks to achieve:

* The release of appropriate funds to implement an engineered solution,
* the introduction of changes to the way the equipment/platform is deployed or operated,
* or decision to tolerate the risk at a level with the appropriate authority.

At each stage of the risk referral/escalation process, authorities may recommend immediate withdrawal of the equipment/platform from the activities which give rise to the high risk, authorise interim continued use through the user’s authorisation processes, or decide to tolerate the risk within their delegated authority.

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| Part 1 (to be completed by Delivery Team (DT)) | | | | | |
| Stage 1: Risk Definition | | | | | |
| Delivery Team: | | | | | |
| Equipment/Platform: | | | | | |
| Project Lifecycle Stage: | | | | | |
| Hazard Description: | | | | | |
| Risk Assessment | | Severity: | |  | |
| Probability: | |  | |
| Risk Level: | |  | |
| Description of Consequences: | | | | | |
| Description of Implemented Risk Reduction Measures: | | | | | |
| Description of Potential Risk Reduction Measures **NOT** Implemented (i.e., state levels of mitigation which would be achieved and reasons for non-implementation including results of cost benefit analysis): | | | | | |
| Operational Consequences (i.e., consequences of withdrawing the equipment/platform from service or restricting operations to prevent risk occurrence): | | | | | |
| Stage 2: Senior Safety Responsible (SSR) - Platform Referral/Escalation | | | | | |
| This submission constitutes a formal referral/escalation of the risk described above. The reasons for referral/escalation and recommended action have to be fully defined and agreed with Delivery Team Leader for referral/escalation. | | | | | |
| SSR Statement: | | | | | |
| Submission prepared with additional input from:  Annotate with names and titles as appropriate. | Operating Centre Safety/Environmental Office: | |  | | |
| Independent Safety/Environmental Assessor: | |  | | |
| Military Commands (MCs): | |  | | |
| Head of Capability: | |  | | |
| Name: | | | | | Signature: |
| Position: | | | | | Date: |
| Stage 3: SSR - Equipment Referral/Escalation (where applicable) | | | | | |
| This submission constitutes a formal referral/escalation of the risk described above. The reasons for referral/escalation and recommended action have to be fully defined and agreed with Delivery Team Leader for referral/escalation. | | | | | |
| SSR Statement: | | | | | |
| Submission prepared with additional input from:  Annotate with names and titles as appropriate. | Operating Centre Safety/Environmental Office: | |  | | |
| Independent Safety/Environmental Assessor: | |  | | |
| Military Commands: | |  | | |
| Head of Capability: | |  | | |
| Name: | | | | | Signature: |
| Position: | | | | | Date: |

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| Part 2 (to be completed by Operating Centre Director/Executive Safety Responsible (ESR)) | |
| Stage 1: Operating Centre Director/ESR – Platform Response | |
| Based on the evidence provided, the following action is agreed: | |
| It is recommended that the equipment/platform be withdrawn from the service giving rise to the high risk. |  |
| Funds are sourced to allow the implementation of appropriate risk reduction measures. Issue referred to Centre (Cap/RP). |  |
| The risk is to be referred for further scrutiny (complete Stage 2 below). |  |
| Name: | Signature: |
| Position: | Date: |
| Stage 2: Operating Centre Director/ESR – Platform Declaration | |
| Formal risk assessment has established that the level of equipment/platform safety and environmental risk presented by the hazard described at Part 1 would not be tolerable in normal circumstances. The evidence demonstrates[[3]](#footnote-4) the risk reduction options which the DE&S equipment/platform project has investigated, and which have been shown to be impracticable due to:   1. insufficient funds/resources to implement and/or 2. the operationally unacceptable delay in implementation.   DE&S is therefore unable to declare that the risks posed by this equipment/platform have been reduced to a level which is As Low As Reasonably Practicable (ALARP) (or environmental equivalent) and tolerable when operated in accordance with its design intent.  This statement constitutes a formal declaration of the level of risk posed by the subject equipment/platform. As the operating authority for the equipment/platform, you may:   1. Agree the intolerability of the risk and not operate the equipment/platform for the activity giving rise to the high risk; 2. Accept changes to the operation of the equipment/platform which reduce the level of risk; 3. Agree that the operational imperative justifies the level of risk. You may then wish to refer the risk to a higher level for endorsement.   Capability Sponsor (as Senior Responsible Owner for the capability) and DE&S (as the equipment/platform sponsor) must be informed of your decision in writing. | |
| Name: | Signature: |
| Position: | Date: |
| Stage 3: Operating Centre Director/ESR – Equipment Response (where applicable) | |
| Based on the evidence provided, the following action is agreed: | |
| It is recommended that the equipment/platform be withdrawn from the service giving rise to the high risk. |  |
| Funds are sourced to allow the implementation of appropriate risk reduction measures. Issue referred to Centre (Cap/RP). |  |
| The risk is to be referred for further scrutiny (complete Stage 4 below). |  |
| Name: | Signature: |
| Position: | Date: |
| Stage 4: Operating Centre Director/ESR – Equipment Declaration (where applicable) | |
| Formal risk assessment has established that the level of equipment/platform safety and environmental risk presented by the hazard described at Part 1 would not be tolerable in normal circumstances. The evidence demonstrates10 the risk reduction options which the DE&S equipment/platform project has investigated, and which have been shown to be impracticable due to:   1. insufficient funds/resources to implement and/or 2. the operationally unacceptable delay in implementation.   DE&S is therefore unable to declare that the risks posed by this equipment/platform have been reduced to a level which is ALARP (or environmental equivalent) and tolerable when operated in accordance with its design intent.  This statement constitutes a formal declaration of the level of risk posed by the subject equipment/platform. As the operating authority for the equipment/platform, you may:   1. Agree the intolerability of the risk and not operate the equipment/platform for the activity giving rise to the high risk; 2. Accept changes to the operation of the equipment/platform which reduce the level of risk; 3. Agree that the operational imperative justifies the level of risk. You may then wish to refer the risk to a higher level for endorsement.   Capability Sponsor (as Senior Responsible Owner for the capability) and DE&S (as the equipment/platform sponsor) must be informed of your decision in writing. | |
| Name: | Signature: |
| Position: | Date: |

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| Part 3 (to be completed by DE&S Delivery Duty Holder (DDH)/User) | |
| Stage 1: DE&S DDH/User Response (where applicable) | |
| Based on the evidence provided, the following action is agreed: | |
| It is recommended that the equipment/platform be withdrawn from the service giving rise to the high risk. |  |
| Funds are sourced to allow the implementation of appropriate risk reduction measures. Issue referred to Centre (Cap/RP). |  |
| The risk is to be referred for further scrutiny (complete Stage 2 below). |  |
| Name: | Signature: |
| Position: | Date: |
| Stage 2: DE&S DDH/User Referral/Escalation (where applicable) | |
| This submission constitutes a formal referral/escalation of the risk described in Part 1 Stage 1. The reasons for referral/escalation are fully defined below: | |
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| Name: | Signature: |
| Position: | Date: |

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| Part 4 (to be completed by DE&S Operating Duty Holder (ODH)/User) | |
| Stage 1: DE&S ODH/User Response (where applicable) | |
| Based on the evidence provided, the following action is agreed: | |
| The risk is not tolerable, and the equipment/platform must not be operated for the service giving rise to the high risk until additional mitigation is identified and introduced |  |
| The following changes which will reduce the level of risk posed by the equipment/platform are to be introduced. The submission is referred back to the DT/PSEC for an assessment of consequent risk. |  |
| There is an operational justification for tolerating the assessed level of risk and the submission is referred for Senior Delivery Holder level scrutiny (complete Stage 2 below). |  |
| Tolerate the risk because it is within DE&S guidelines and my delegated authority. |  |
| Name: | Signature: |
| Position: | Date: |
| Stage 2: DE&S ODH/User Referral/Escalation (where applicable) | |
| This submission constitutes a formal referral/escalation of the risk described in Part 1 Stage 1 above. The reasons for referral/escalation are defined below: | |
|  | |
| Name: | Signature: |
| Position: | Date: |

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| Part 5 (to be completed by DE&S Senior Delivery Holder (SDH)) | |
| Stage 1: DE&S SDH Response (where applicable) | |
| Based on the evidence provided, the following action is agreed: | |
| The equipment/platform must not be operated for the service giving rise to the high risk until additional mitigation is identified and introduced. |  |
| The following changes will be introduced to reduce the level of risk posed by the equipment/platform. This decision should be referred/escalated back to the DT/PSEC for assessment of consequent risk. |  |
| The operational imperative justifies the level of risk and Ministers will be informed (complete Stage 2 below). |  |
| Name: | Signature: |
| Position: | Date: |
| Stage 2: DE&S SDH Referral/Escalation (where applicable) | |
| I notify you of my decision described in Part 1 Stage 1 above. The reasons for notification are defined below: | |
|  | |
| Name: | Signature: |
| Position: | Date: |

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| Part 6: Ministerial Response | |
| Based on the evidence provided, the Minister: | |
| Notes that the operational imperative justifies that the level of risk is tolerated, but action must continue to identify appropriate risk reduction measures. |  |
| Does not agree that the operational imperative justifies that the level of risk is tolerable, and action must continue to identify appropriate risk reduction measures. |  |
| Name: | Signature: |
| Position: | Date: |

1. Editable version available [here](https://www.asems.mod.uk/guidance/safety-and-environmental-protection-leaflets). [↑](#footnote-ref-2)
2. Where the term risk is used, this should be interpreted as an impact from an Environmental perspective. [↑](#footnote-ref-3)
3. The solution is demonstrated to pass the grossly disproportionate assessment. [↑](#footnote-ref-4)