

DE&S SAFETY AND ENVIRONMENTAL PROTECTION LEAFLET 12/2017 DE&S REQUIREMENTS FOR THE MANAGEMENT OF EQUIPMENT SAFETY AND ENVIRONMENTAL ISSUES AND INCIDENTS (REPLACING LEAFLET 01/2010)		
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Introduction

1. In DE&S, the efficient handling of equipment-related accident, incident and near-miss 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 accidents, incidents and near misses by users uses various domain-specific systems¹, each of which ensures that events involving equipment are brought to the attention of the relevant DE&S DT. It is the responsibility of the appropriate safety-responsible person in the DT to assess these reports, identify whether equipment performance contributed to the event. Where applicable, DTs are to initiate action to control resultant risks or prevent reoccurrence², liaising with Delivery Duty Holder(s) and other Defence Line of Development (DLOD) owners as necessary.

3. Where the need for additional risk control measures is identified, the safety-responsible person or other appropriate DLOD owner shall take action to introduce these within appropriate timescales, if necessary, implementing interim controls while permanent solutions are developed³. The DT may also decide to recommend temporary restrictions on use or, ultimately, recommend withdrawing the system from service.

4. OCs 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 equipment.

5. OCs are to develop and implement procedures which, as a minimum, shall ensure their DTs:

- a. Employ robust processes for managing equipment-related incident reports; identifying, communicating and implementing timely corrective action.
- b. Employ processes for identifying trends and common causes.

¹ Including 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).

² All incidents should prompt a Project Safety and Environmental Committee Hazard Log review.

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

- 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 equipment issues may impact platforms on which the equipment is deployed, or whether reported platform-level issues may have implications for equipment 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 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.

6. OCs are to establish and maintain effective systems to achieve the following outcomes:

- a. Reports which have implications for other systems or domains/environments are identified and formally reported to relevant stakeholders.
- b. Domain reporting databases are monitored to identify any incidents which involve equipment but have not been brought to the attention of the relevant DT.
- c. Incident reports which have been assigned to an incorrect owner are identified and re-directed, eg equipment-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 equipment-related safety events, and the DE&S Safety Health & Environmental Committee (SHEC) of the most serious events.

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 equipment-related 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 equipment-related accident, incident or near miss that results in, or may require, a significant restriction or capability loss being imposed on the current platform or equipment use.

Learning from Experience (LfE)

Policy:

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.

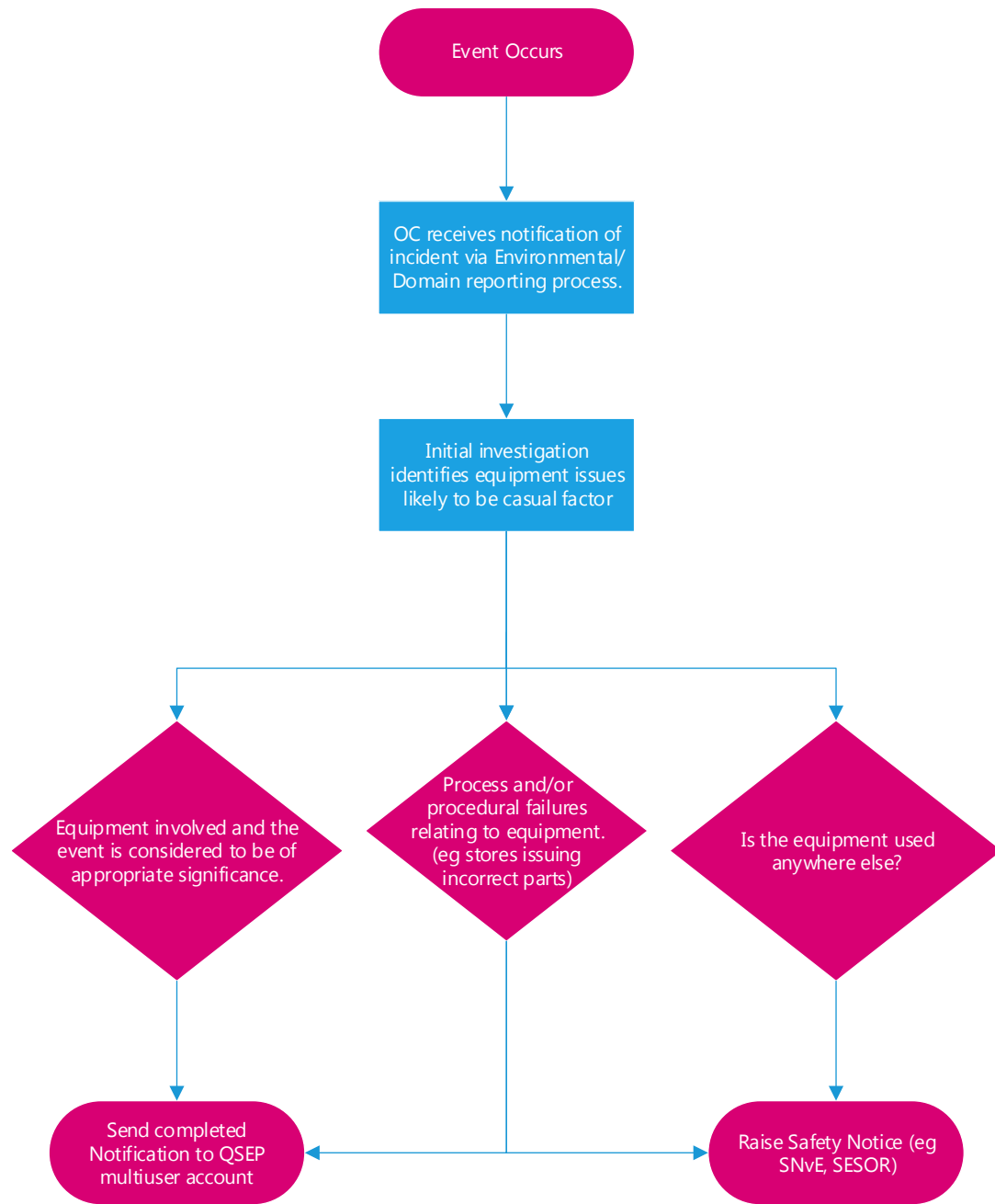
ASEMS Part 1 clause 1.7.

8. OCs shall implement an effective system for conducting LfE. Details of this can be found in ASEMS under the above policy clause.
9. When considering the implications and significance of a reported incident, DTs and OCs should use professional judgement to consider the potential safety or environmental implications of the incident for other domains or equipment, i.e. where similar equipment may pose similar hazards, or where analogous hazards may exist in different systems. In such cases, formal action shall be taken to communicate the potential issue to relevant stakeholders, using the appropriate domain systems, e.g. using a Safety Notice via Email (SNvE) or Significant Equipment Issue Notification (SEIN).
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, but other forms may be used that capture the same minimum information.
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 Environmental Steering Group (AESG), both chaired by D ES.
12. Copies of equipment incident documentation and reporting should be managed and maintained by DTs and made available to Senior Management when requested.

LfE NOTIFICATION REPORTING TEMPLATE

OC/DT Ref:				
Platform/Equipment:				
Nature of Incident or Fault:				
Date/Time of Incident or Fault:			Reported by (e.g. DE&S DT, FLC):	
Description of Incident or Fault:				
Risk Assessment, Engineering / Operational Implications:				
Mitigation in Hand / Proposed (include timescales):				
Additional Remarks:				
Date:	Signature:	Name:	Rank/Grade:	Appointment:

Decision to Notify QSEP with Enclosure 1?



Completed Enclosure 1 Journey



Actions (Stages)

1. Initial event occurs:
 - Project Team notified of occurrence via domain-specific reporting systems. Report assessed to establish whether equipment-related issues contributed to the event. If event **IS** equipment-related and constitutes a significant safety occurrence or concern, in accordance with the requirements of this S&EP Leaflet, OC to record details on Enclosure 1 LfE notification and send to QSEP multiuser account - DESEngSfty-QSEPSEP-Policy@mod.gov.uk
 - QSEP reviews completed Enclosure 1 LfE notification and considers whether a pan-domain Safety Alert is required.
2. QSEP receives completed Enclosure 1 LfE notification:
 - QSEP records Enclosure 1 LfE notification on the tracker and assign a unique reference number
 - Email sent to confirm receipt of completed Enclosure 1 LfE notification to originator, confirming unique reference number.
 - Originator must also follow normal domain reporting protocols.
3. QSEP report new Enclosure 1 LfE notification to Acquisition Safety Steering Group (ASSG) for review:
 - A preliminary decision of actions going forward to be made.
 - Expectation on OC that an investigation will be carried out. This will confirm if and how the equipment was involved.
4. OC event investigation completed and sent to QSEP.
 - Investigation will show the cause and effect of the event - Why, What, Who, Where, When and How.
 - QSEP reports investigation findings to ASSG for review.
5. Upon receipt of investigation report:
 - ASSG will review report and decide whether any further actions are required.
 - QSEP to raise a pan-domain Safety Alert, if required.
 - QSEP to ensure all information received has been recorded on tracker.
6. Closure of event:
 - QSEP close the event on the tracker.
 - Event Tracker remains available for read-only access to all OCs for information purposes and future reference.