

Organisational change risk assessment for Creation of DSEA

Section 1: Organisational change description: Formation of a Defence Safety and Environment Authority			
Proposed implementation date: 3 Oct 2011			
Brief description of the proposed change:			
Formation of an organisation to regulate safety and environmental protection for those conducting Defence activity in compliance with the Secretary of State's Policy Statement. It will do this by implementing MOD regulatory regimes in all safety domains outside aviation. It will also produce Departmental policy for safety and environmental protection and provide high level assurance on whether Defence is meeting statutory and internal regulatory requirements.			
Having completed Section 2 (Risk identification and assessment) I confirm that, in my opinion: *the proposed change will have no effect/negligible effect on compliance with SofS Policy on safety or environmental protection in MOD Or *the proposed change could have an effect on compliance with SofS Policy on safety or environmental protection in MOD. This risk has been assessed as minor/significant/major. A Management of Change submission is attached in support of this risk assessment and categorisation form.			<input checked="" type="checkbox"/> <input type="checkbox"/>
Name: (Proposing manager)	Job title: DSEA-CPA-Safety Asst Hd	Signature:	Date: 29 Sept 2012

Section 2			
KEY CHANGE / ISSUE	POTENTIAL EFFECT & RISKS	ASSESSMENT OF RISK (high, med, low)	MITIGATION
A. ROLES, RESPONSIBILITIES & PERSONNEL			
<ul style="list-style-type: none"> Roles, responsibilities & key activities 	<ul style="list-style-type: none"> Failing to maintain current arrangements for regulation as individuals transfer into DSEA. Failing to fully understand and incorporate the processes and functions which FSBs currently undertake (eg policy and assurance). 	Medium	<ul style="list-style-type: none"> The DSEA will not, initially, change or remove any regulatory activity from posts. Should the authority subsequently decide that posts need to be altered then a full risk assessment of the impact of the change will be carried out. The DSEA will also map those key safety regulatory processes to ensure that they are not dropped if any change occurs. Current FSB secretariats will move into DSEA. The assurance functions of FSBs will be firmly with TLBs who will be held to account. Policy setting will be the business of DSEA, under the authority that D DSEA has from 2PUS.

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			<p>Domain Stakeholder Committees will support D DSEA in this role.</p> <ul style="list-style-type: none"> The new assurance reporting process means that TLBs provide reports and DSEA review and scrutinise reports.
<ul style="list-style-type: none"> Training, skills & capability development 	<ul style="list-style-type: none"> A lack of training, skills and capability development for personnel Inadequate training needs analysis and competence assessment 	Medium	<ul style="list-style-type: none"> Individual areas of the DSEA will ensure that a proper training needs analysis is carried out to ensure that SQEP levels are maintained. The DSEA will create an overall plan for training and capability development to ensure key posts are filled. This might be restricted by the current resource constraints.
<ul style="list-style-type: none"> Reductions in personnel with key competencies 	<ul style="list-style-type: none"> Creation of DSEA will remove key staff from DE&S and reduce capability Excessive reductions in personnel with key competencies 	Medium	<ul style="list-style-type: none"> Identified as risk only in Naval Authority. Further study to examine implications for NA in detail by end Dec. The DSEA will not be immune to cuts. However the Director will be able to ensure that any risks are properly assessed if any resource cuts are to be made.
B. LEADERSHIP AND AUTHORITY			
<ul style="list-style-type: none"> Leadership, priorities & focus 	<ul style="list-style-type: none"> Failure to recognise fully the importance of safety leadership and/or how this is achieved or maintained before making changes 	Medium (depending on how quickly a Director DSEA is appointed)	<ul style="list-style-type: none"> The director of the DSEA will be appointed as soon as possible to provide strong leadership to the Authority. The senior leadership will be responsible for promoting safety and driving through change where necessary. However, they will also have to take into account the views of stakeholders on any major decisions. The DESB will provide strategic leadership and guidance to the DSEA

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C. SAFETY MANAGEMENT SYSTEMS AND CORPORATE MEMORY			
<ul style="list-style-type: none"> Safety Management System 	<ul style="list-style-type: none"> Failure to understand the implications of the change on each element of the Safety Management System: <i>Policy</i> <i>Organisation</i> <i>Planning & Implementing</i> <i>Monitoring</i> <i>Audit & Review</i> 	Low	<ul style="list-style-type: none"> Policy – There will be no immediate change to policy. Any subsequent significant change to regulatory policy will be made in consultation with stakeholders and will ultimately have to be signed off by the DESB. Organisation – we will try to achieve the creation of the DSEA with the minimum of organisational change for individuals (e.g. retention of most existing line management chains). Where there is to be significant change post mapping will undertaken to ensure that no vital tasks are lost. Planning and implementing – a number of workstrands have been created to take forward certain aspects of the DSEA. Each workstrand will have an individual plan which will be tied into the overall master scheme. Implementation will be overseen by a project office. Monitoring – A project office will be responsible for monitoring the progress of the DSEA implementation plan. They will provide regular reports to the DESB on progress. Audit and review – The DESB will provide the high level audit check of progress.
<ul style="list-style-type: none"> Corporate memory 	<ul style="list-style-type: none"> Failure to recognise that important information (including lessons learned) is lodged with key individuals and is not retained in durable records and/or that systems are not in place to capture and retain information 	Low	<ul style="list-style-type: none"> We expect to transfer posts and post holders, with sufficient corporate memory, to the DSEA. As DSEA members are not to be geographically relocated, members will have the ability to ask other experts in their locale for advice. However a succession plan will also be put in place for key SQEP posts to ensure that any key posts are prioritised for

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D.IMPLEMENTATION OF CHANGE – PROCESS, TIMING, AND COMMUNICATION			
<ul style="list-style-type: none"> Speed of change 	<ul style="list-style-type: none"> The adoption of unrealistic expectations about the speed of change - including being unable to fully identify all posts to be transferred to meet the 3 October start date. 	Medium	<ul style="list-style-type: none"> Apart from Naval Authority, all posts already identified. NA Study will complete by end Dec, with the intention of the Maritime element joining in Apr 2012.
<ul style="list-style-type: none"> Large scale redundancies, redeployment or internal staff transfers 	<ul style="list-style-type: none"> Failure to clarify the roles of departing and incoming personnel Hand-over periods insufficient to allow new or transferred individuals to acquire experience, information and skills Inadequate supervision of personnel during their induction period 	Low	<ul style="list-style-type: none"> There are no changes / redundancies planned for existing staff transferring into the DSEA. As part of the policies and procedures workstrand, suitable handover procedures will be developed to ensure that vital information is not lost when post-holders move. An induction process will be created for the DSEA.
<ul style="list-style-type: none"> Communications 	<ul style="list-style-type: none"> Failure to fully explain and justify the change to staff in simple language. 	Low	<ul style="list-style-type: none"> A full communications plan has been instituted to communicate the change process and the justification for it.