

DE&S TEMPLATE FOR STRATEGIC RISK ASSESSMENT OF SAFETY IMPACTS OF ORGANISATIONAL CHANGES

KEY CHANGE / ISSUE	POTENTIAL EFFECT & RISKS	ASSESSMENT OF RISK (high, med, low)	ADDITIONAL CONTROLS NEEDED	RESPONSIBILITY FOR ACTION
A ROLES, RESPONSIBILITIES & PERSONNEL				
<ul style="list-style-type: none"> Roles, responsibilities & key activities 	<ul style="list-style-type: none"> Failing to identify fully how existing roles, responsibilities & key safety activities are discharged before removing or changing them. Failing to clarify new roles & responsibilities (particularly where whole layers are removed and/or personnel take on substantial new responsibilities). <i>Can result in unclear/unfilled safety responsibilities and/or loss of key safety activities.</i> 	Med	<ul style="list-style-type: none"> Ensuring that the high-level principles identified by the DE&S Safety Board characterise all change programmes across DE&S (see covering note to this template). In this area, particularly that we concentrate on 'people not process' and strong leadership. In this, to describe where the "red line" is in relation to being safe and professional. To support the clarity of roles etc a shift in culture is necessary – moving away from a procedure focused culture (which is labour intensive) to a position where individuals especially line managers think for themselves – this across all roles and responsibilities. 	DE&S Main Board via DE&S Safety Board (eventually all line managers)

			<ul style="list-style-type: none"> • Post change – <u>checking</u> that staff know what is expected of them and are competent to do their jobs. • Sustaining a “just” culture across DE&S • Further work to better understanding impacts of transfer of Safety roles to DIO. 	
<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 eg staff who are more empowered. • Inadequate training needs analysis and competence assessment. • <i>Can result in inability to discharge safety roles & responsibilities.</i> 	Med	<ul style="list-style-type: none"> • Bigger push to ensure that all staff are included in behavioural S&EP workshops and drives under the ABC. • Safety TNA (ie identify skills gaps in individuals). • Maintenance of the DE&S training strategy (or at least OHSE and Acquisition elements). 	DE&S Main Board via DE&S Safety Board (eventually all line managers)

<ul style="list-style-type: none"> • Reductions in personnel with key competencies 	<ul style="list-style-type: none"> • Excessive reductions in personnel with key competencies. • <i>Can result in inexperienced staff exposed to safety risks or them exposing others to safety risks.</i> 	Low	<ul style="list-style-type: none"> • The VERS criteria retains SQEP staff, however the maintenance of competence levels must be an ongoing matter. • Review of SQEP levels, identification of gaps, plans to fill such gaps. • Working with D HR to improve well-being of existing staff to help with general retention. • Rewarding/recognising good safety performance. 	<p>DE&S Main Board via DE&S Safety Board (eventually all line managers)</p> <p>Dir - HR</p>
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. • <i>Can result in a lack of safety leadership manifested by eg lack of focus on key aspects of the safety regime, lack of visibility and/or dilution and distraction from the priority on safety, warning signs and trends not being spotted, and an ongoing, overall weakening of the systems and culture supporting safety.</i> 	Med	<ul style="list-style-type: none"> • Communicating the principles (that must be embedded through organisational change) to all DE&S staff. • Behavioural safety development for senior managers. Safety culture awareness and 5 point S&EP charter. • Continuation of leading by example work. 	<p>DE&S Main Board via DE&S Safety Board</p>

			<ul style="list-style-type: none"> Increased promotion of the DE&S leadership framework, to link into benefits for safety. Increased use/promotion of HSE guidance on leading Health and Safety. 	Hd S&EP
<ul style="list-style-type: none"> Operational authorisation 	<ul style="list-style-type: none"> Downgrading levels of responsibility and/or Duty Holders and/or authorising personnel at lower levels without adequate experience, assessment or support, and/or too quickly. <i>Can result in inability to discharge safety roles & responsibilities and/or loss of focus on, or quality of, key safety mechanisms and processes.</i> 	Med	<ul style="list-style-type: none"> Establishing and embedding the “Duty Holder” construct for those who command, control and are responsible for hazardous activities that could give rise to a risk to life if not properly managed. Further work to understand and link decision making requirements to authority and grade. Embed safety and environment in leadership training. 	All line managers across DE&S

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> - <i>Can result in system weaknesses in one or more of the key elements for safety management.</i> 	Med	<ul style="list-style-type: none"> Set up OHSE sub-group to Safety Board. Ensuring safety systems are fit for purpose. Ensure workforce are involved in safety. Ensuring that Occupational Health is addressed. Skilling up line managers so that they can effectively audit and review their own H&S performance using the POPMAR approach. 	<p>S&EP</p> <p>All line managers across DE&S</p>
<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. <i>Can result in loss of key safety information and recurring incidents that could, and should, have been prevented.</i> 	High	<ul style="list-style-type: none"> Exploit the DE&S S&EP Learning From Experience Forum (LFE). Map potential repositories of key safety information. Ensure comprehensive (but proportionate) circulation lists (and custodians) for reports on major events to ensure lessons are broadcast. 	<p>DE&S Main Board via DE&S Safety Board Sub-Group OHSE SIG Line managers across DE&S</p>

			<ul style="list-style-type: none"> • Safety Board to sponsor major investigations and resultant reports. • Embed expectations that line managers will effectively investigate incidents, identifying both immediate and underlying causes and broadcast lessons. 	
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 failing to take account of the need for transition management and the associated resource implications. • <i>Can result in confusion and declining safety performance and can also compound other effects.</i> 	Med	<ul style="list-style-type: none"> • Embed the following principles in Change Management processes across DE&S: <ul style="list-style-type: none"> ⇒ Strong leadership ⇒ People not process ⇒ Sensible processes ⇒ Clear and straightforward communications ⇒ Learning from experience ⇒ Empowering staff to challenge changes • Set out adequate transition arrangements and timescales which are published widely. 	DE&S Main Board via DE&S Safety Board

<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. <i>Can result in confusion and declining safety performance and can also compound other effects.</i> 	Med	<ul style="list-style-type: none"> Ensuring loss of SQEP personnel is covered in Business resilience plans. <p>See also reductions in personnel with key competencies section.</p>	Line managers across DE&S
<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. <i>Can result in resentment and resistance if the benefits to both Dept and individuals not clearly stated.</i> 	Med	<ul style="list-style-type: none"> Communicate – all staff in DE&S – information about the principles that must characterise change. Ensuring communication systems are working and stress-tested. Ensuring effective messaging of safety issues. Make safety a key area for corporate comms messages (e.g. specific section in F2F brief). 	DE&S Main Board via DE&S Safety Board

NOTE – some of the above points are clearly related, and in some cases interconnected. But, the aim is to ensure that all are considered one way or another.