

LAND FORCES - 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> 	<p>Likelihood Med</p> <p>Impact High</p> <p>Overall Med</p>	<ul style="list-style-type: none"> Safety responsibilities, and the requirements to meet those responsibilities, should be sufficiently articulated on job specifications. Should Safety be considered as the '9th DLoD' to ensure its full consideration during change management? 	TLBs
<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> 	<p>Likelihood Med</p> <p>Impact High</p> <p>Overall Med</p>	<ul style="list-style-type: none"> Consider standardised training package for senior/key staff 	SSD&C TLBs
<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 <p><i>Can result in inexperienced staff exposed to safety risks or them exposing others to safety risks.</i></p>	<p>Likelihood Med</p> <p>Impact High</p> <p>Overall Med</p>	<ul style="list-style-type: none"> Respective CESOs should assess impact of loss of safety SQEP posts and/or staff and highlight risks 	TLBs

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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> 	<p>Likelihood Low</p> <p>Impact High</p> <p>Overall Med</p>	<ul style="list-style-type: none"> Requirement to improve our understanding and management of risk at all levels Importance of maintaining safety support for leaders 	TLBs
<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> 	<p>Likelihood Low</p> <p>Impact Med</p> <p>Overall Med</p>	<ul style="list-style-type: none"> Importance of maintaining safety support for leaders 	TLBs

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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: <ul style="list-style-type: none"> <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> 	Likelihood Med Impact Med Overall Med	<ul style="list-style-type: none"> The safety assurance mechanism should focus on this during transition and highlight potential erosion. 	TLBs
<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> 	Likelihood Low Impact Low Overall Low	<ul style="list-style-type: none"> They key here is not just capturing and retaining information but exploiting it. This is time and (SQEP) manpower heavy so there should be particular priority on 'protecting' this capability. 	TLBs

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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 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> 	<p>Likelihood High</p> <p>Impact High</p> <p>Overall High</p>	<ul style="list-style-type: none"> Arguably the critical issue and should be a high level agenda item for DESB on every occasion. 	DESB TLBs
<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> 	<p>Likelihood High</p> <p>Impact Med</p> <p>Overall Med</p>	<ul style="list-style-type: none"> Provide briefing packs and handover notes as standard Establish appointment mentor framework and 'reachback' capability (including to those departing). Establish 'skills' hub to provide mentoring and supervision. 	TLBs
<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. <p><i>Can result in resentment and resistance if the benefits to both Dept and individuals not clearly stated.</i></p>	<p>Overall Med</p>	<ul style="list-style-type: none"> Key that the leadership is seen to voice and explains the change. The 'townhall' format is most effective allowing feedback. Exploit the capabilities of the TUs to communicate the desired messages. 	TLBs

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.