



Defence
Safety
Authority



DSA03-DMR-SHIPPING

Regulatory Terms & Definitions for
DSA02-DMR Defence Maritime
Regulations

Defence Maritime
Regulator

Issue Status

Issue Status: The Shipping Regulations and supporting regulatory Publications are issued by the Defence Maritime Regulator, under the authority of the DSA Charter as directed by the Secretary of State for Defence. Printed copies are uncontrolled. To check the latest status reference should be made to the Defence Maritime Regulator DefNet page or the [Naval Authority System document library](#). Alternatively, email DSA-DMR-group@mod.gov.uk.

Amendment History:

Issue	Authority	Date	Key Changes
Initial	DSA-DMR	Jan 2017	Publication of initial draft
Version 1	DSA-DMR	Feb 2018	Minor Updates to enable issue of version 1
Version 2	DSA-DMR	Aug 2020	Alignment with other DSA glossaries
Version 3	DSA-DMR	Jan 2022	Minor amendments to definitions; new entries to improve clarity of the Regulations.

Feedback: Please address queries about this publication to:

Defence Maritime Regulator,
Juniper, Level 0,
Wing 1 #5004,
Ministry of Defence Abbey Wood North,
Bristol,
BS34 8QW.

DSA-DMR-group@mod.gov.uk.

Equality and Diversity: The text has been reviewed for consistency with the Department's diversity and inclusion policy. This document has also been equality and diversity tested in accordance with Departmental policy, with no direct discrimination or adverse impact being identified.

Copyright: This document is protected by Crown Copyright and the intellectual property rights of this publication belong exclusively to the MOD. Material or information contained in this publication can be reproduced, stored in a retrieval system or transmitted in any form, provided it is used for the purpose of furthering safety and environmental assurance.

Table of Contents

ISSUE STATUS	1
Amendment History:.....	i
TABLE OF CONTENTS	1
INTRODUCTION	2
Defence Safety Authority publications	2
Document Purpose.....	2
Rationale	2
Important note	2
REGULATORY TERMS.....	3

Introduction

Defence Safety Authority publications

The Defence Safety Authority (DSA) sets out rules and standards for Defence Health, Safety and Environmental Protection (HS&EP) in three broad levels of publications that are consistent with the DSA charter:

Level 1 – DSA01 Departmental Policy for Defence HS&EP;

Level 2 – DSA02 Defence Regulations owned by Defence Regulators; and

Level 3 – DSA03:

- Regulatory Guidance publications
- Rules published by DMR's duly-authorised organisations. e.g. DSA03 DMR-Navy Authority Rules for Certification of MOD Shipping

There are also DSA guidance publications providing background information and additional explanation, to illustrate acceptable means of compliance and assist the application of the regulation.

These regulatory terms are aligned, as far as possible, with wider DSA definitions. It includes reference to the regulatory publication in which the word or phrase can be found.

Document Purpose

To assist in compliance with Defence Safety Regulatory Publications. The purpose of this document is to provide a single source of commonly used regulatory terms, phrases and acronyms used in DMR publications and Naval Authority Rules. This document provides the authoritative definitions for use in the Maritime regulatory domain, which comprises MOD Shipping, Ports and Harbours and Defence Diving.

Rationale

The use of a common lexicon enables shared understanding across the community and provides definitions that may be adopted by the community. All accountable persons should understand the meanings of words and concepts used in Defence maritime regulatory publications and be aware of the differences in other domains.

Important note

These definitions apply to all DSA02-DMR and DSA03-DMR publications.

- The term **must** indicates a legal requirement and will have the legal provenance referenced.
- The term **shall** indicates a Defence Regulation and the provenance of the rule will be referenced.
- The term **should** indicates one or more Risk Control Option (RCO) considered to be good practice and sufficient to demonstrate acceptable means of compliance with the regulation it is beneath. Other alternative approaches may be suitable where they produce an outcome to the mutual satisfaction of Duty Holder and Regulator that is at least as good as the means proposed.

Regulatory Terms

Term	Definition	Source
Acceptable means of Compliance (AMC)	A recognised method of achieving the intent of a Regulation clause. Guidance will generally be written in the permissive sense (using the permissive verb should) in order to allow a Regulated Entity to consider alternative approaches. <i>[Adapted from the MAA Master Glossary]</i>	All Regulations
Accession	A type of consent legally binding the signatory nation to the terms of a particular Treaty, generally by a state that was not party to the original negotiations. <i>[Vienna Convention on the Law of Treaties]</i>	Not Used
Accountable / Accountability	A duty of care required of a named person to justify personal actions or decisions for activities, made within their area of responsibility for an activity. <i>[DMR]</i>	DSA02 - #101
Accountable Person	The individual held accountable by a Statutory or Defence Regulator for reducing risk of harm. The person who is in a position of authority, responsibility and competence to conduct activity and carry out improvement within an organisation. <i>[Adapted from DSA01.4 Master Glossary]</i>	DSA02 - #101
Accreditation / Accrediting	The process in which certification of competency, authority, or credibility is presented and Duly Authorised by the Regulator. <i>[Oxford Legal Dictionary]</i>	DSA02 - #903
Activity / Activities	A generic term for the process, operation or action in pursuit of a Defence Task. An activity will trigger one or more events presenting a hazard to people, fauna or flora using a physical system or platform; within a management arrangement at a physical location. <i>[DMR]</i>	DSA02 - #101
Affected Service Activity / Activities	Military activities conducted by Civil Registered ships (Government owned, commercially operated (GOCO), commercially owned, Government operated (COGO) and commercially owned, commercially operated (COCO)) listed in Memorandum of Understanding (MOU) between the MOD and Maritime Coastguard Agency (MCA) as beyond certified civil activities.	MOU between MOD, MCA and Maritime Accident & Investigation Bureau (MAIB)

Term	Definition	Source
Alongside	The activity of berthing next to another ship or a jetty, quay, dock or harbour infrastructure using the ships' systems. Once secure, systems fluids, stores and power may be transferred during this activity. [DMR]	DSA02 - #618
Alteration	A submission to a statutory regulator for a Dis-application, Exemption or Derogation (DED) essential to maintaining Operational Capability or a Defence Task. [DMR]	Not Used
Applicable Certification	Key material state hazard area Certification is "Applicable" when Registration shows the hazard is relevant to the operation of the ship and necessitates 2nd party assurance through a Naval Authority Certificate. [DMR]	DSA02 - #404
Approval to Authorise MOD Shipping (AtAMS)	A document issued by DMR that should be accepted as evidence that the holding organisation is capable of complying with the requirements of DSA02-DMR Regulations. [DMR]	DSA02 - #202
Area of Responsibility (AoR)	An individual's or organisation's established and defined boundaries and remit that is expected to deliver an output/activity. [DMR]	DSA02 - #201
Argument	Defined as a connected series of claims intended to establish an overall claim. In attempting to persuade others of the truth of an overall claim, we make supporting claims. These claims may themselves need further support. This gives rise to a hierarchy of claims (representing a logical chain of reasoning) by which an argument is established. [GSN Community Standard V1]	DSA02 - #402
Arrangement	Strategies and management requirements put in place to enable an Accountable Person to discharge their responsibilities. [DMR]	DSA02 - #101

Term	Definition	Source
As Low as Reasonably Practicable (ALARP)	<p>A risk can be said to be reduced to a level that is ALARP when the sacrifice of further reduction is “grossly disproportionate” to the decrease in risk that would be achieved; however, the potential impact of societal concern may also need to be considered. This cost may include more than just financial cost and will include the time and trouble involved in taking measures to avoid that risk. Therefore, an ALARP argument must balance the “sacrifice” (in time, money or trouble) of possible further risk reduction measures with their expected safety benefit (incremental reduction in risk exposure). The balance must be weighted in favour of safety, with a greater “disproportion factor” for higher levels of risk exposure.</p> <p style="text-align: right;"><i>[MAA Master Glossary]</i></p>	DSA02 - #703
Assumption	<p>An assertion about the system, its operating environment or modes of use that is employed without objective evidence.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #404
Assurance	<p>Adequate confidence and evidence, through due process, that safety requirements have been met.</p> <p>1) 1st Party (Internal) Assurance: Assurance conducted wholly within the same organisation.</p> <p>2) 2nd Party (External) Assurance: Assurance conducted by an organization that is separated from the activities being assured but where a vested ‘customer-supplier’ interest remains.</p> <p>3) 3rd Party (Independent) Assurance: Assurance conducted by an organisation that is separated from and maintains no vested interest in (so far as practicable), the activity or output being assured.</p> <p style="text-align: right;"><i>[MAA Master Glossary]</i></p>	DSA02 - #202
Assurance Framework	<p>A structured means of identifying, linking and co-ordinating the main sources of assurance in an organisation to best effect.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #801
Assured	<p>A measure of confidence that a system complies with a policy or rule.</p> <p style="text-align: right;"><i>[Oxford Legal Dictionary]</i></p>	DSA02 - #208

Term	Definition	Source
Audit	<p>Systematic and documented process for obtaining and evaluating evidence objectively to determine the extent to which audit criteria are fulfilled. Different types of audit:</p> <ol style="list-style-type: none"> 1) First party: Supplier organisations who self-audit themselves, to confirm or improve the effectiveness of management systems, and to declare that an organization complies with an ISO standard (a self-declaration), 2) Second party: External audits, by customers or by others on their behalf with a formal interest in an organization's compliance, 3) Third Party: External audits performed by independent organizations such as registrars (certification bodies) or regulators, 4) Joint: Two or more audits co-operating to assure a single auditee organization, 5) Combined: Two or more audits considering different aspects of the management system or organization, audited together at the same time. 	DSA02 - #101
	<i>[Adapted from ISO19011:2011]</i>	
Auditor	A competent person who is fully qualified to conduct audits unsupervised, but who has not gained sufficient experience to lead audits. See also <i>Lead Auditor</i> .	DSA02 - #901
	<i>[ISO19011:2011]</i>	
Authorise / Authorisation (of a document)	Approval by a named person, formally recorded, of a document being ready for use. Following their approval, that person becomes accountable for the contents of the document, once issued.	DSA02 - #303
	<i>[DMR]</i>	
Authority / Authorities	An Accountable Person, themselves competent individually or leading an organisation who is charged with Duty Holder facing responsibility to systematically ensure the fitness for purpose of a specified group of activities, systems or management arrangements through life and to make decisions or approve changes. They may authorise, endorse, and recommend good practice and is accountable for their advice.	DSA02 #200 series
	<i>[DMR]</i>	

Term	Definition	Source
Autonomy	<p>A ship that can operate without human intervention, related to one or more ship functions, for the full or limited periods of the ship operations or voyage.</p> <p>Levels of autonomy can be further defined):</p> <p>Degree one: Ship with automated processes and decision support: Seafarers are on board to operate and control shipboard systems and functions. Some operations may be automated and at times be unsupervised but with seafarers on board ready to take control.</p> <p>Degree two: Remotely controlled ship with seafarers on board: The ship is controlled and operated from another location. Seafarers are available on board to take control and to operate the shipboard systems and functions.</p> <p>Degree three: Remotely controlled ship without seafarers on board: The ship is controlled and operated from another location. There are no seafarers on board.</p> <p>Degree four: Fully autonomous ship: The operating system of the ship is able to make decisions and determine actions by itself.</p> <p><i>[extracted from IMO MASS Regulatory Scoping Exercise]</i></p>	Not used
Autonomous System	<p>All physical and human elements that together ensure sustainable operation of an autonomous ship in its intended operations or voyage.</p> <p><i>[extracted from IMO MASS UK Industry Conduct Principles & Code of Practice V4 Nov 20]</i></p>	Not used
Auxiliary Ship	<p>A vessel typically operated by a Government (i.e. the MOD) which is not classified as a Warship but that provides support to Warships and other naval operations. For example, Auxiliary Oilers (AO).</p> <p><i>[DMR]</i></p>	A Guide to Red, White and Blue Ensigns
Best Practicable Environmental Option (BPEO)	<p>During Assessment, environmental impacts and risks should be managed to have the least adverse environmental impact, whilst meeting legislative requirements, taking account of what is practicable and acceptable cost constraints.</p> <p>This results in the best Practicable Environmental Option (BPEO) being established.</p> <p><i>[DSA02-DMR Introduction & Goal]</i></p>	DSA02 - #209
CADMID/T (cycle)	<p>The lifecycle for a capability, the term CADMID/T comes from the initial letters of its six phases, Concept, Assessment, Demonstration, Manufacture, In-Service, Disposal/Termination; the standard phases of the MOD lifecycle for materiel.</p> <p><i>[DEF STAN 00-056 Part 1, Issue 7]</i></p>	Not Used

Term	Definition	Source
Case for Certification	<p>Owned and presented by the Platform Authority to the Naval Authority utilising a claim, argument, evidence approach to justify compliance with these Rules and endorsed by the Platform Authority or their Platform Authority Professional Officer</p> <p><i>[DSA03-DMR Naval Authority Rules for Certification of MOD Shipping, 1st May 2019]</i></p>	Naval Authority Rules
Certificates for Clearance and Use (CCU)	<p>Certificates of Clearance for Use (CCUs) are required for all new equipments that are in service. The CCU gives a Ship authorisation to use a given equipment within the constraints it details. Any limitations necessary to ensure safe operation of the equipment are specified and promulgated in the CCU.</p> <p>[DMR]</p>	DSA02 - #308
Certification	<p>Assurance given by an independent certification body that a product, service or system meets the requirements of a standard. [DSA Glossary]</p> <p><i>[DSA Glossary]</i></p>	DSA02 - #206
Certification Officer	<p>A competent, professional officer directly authorised by a Duly Authorised Person to audit and assure a Request for Certification and its supporting evidence, and sign and issue Certificates in accordance with their accreditation for a particular hazard area.</p> <p>[DMR]</p>	Not Used
Certification Strategy	<p>The plan of action identifying the requirements for all certification, tailored to a specific ship, a ship class or ship type and designed to achieve compliance with all relevant legislation, regulation and policy.</p> <p>[DMR]</p>	DSA02 - #208
Classification Society / Societies	<p>An independent organisation offering third party independent assessment of the compliance of a design, construction or the through life maintenance of a ship's structure and its essential machinery to defined rules. The organisation can also be accredited to be a Recognised Organisation of a Statutory Regulator or DMR.</p> <p>[DMR]</p>	A Guide to Red, White and Blue Ensigns
Clauses	<p>Used by the Naval Authority to specify actions or limitations resulting from non-compliance with the Naval Authority Rules for Certification of MOD Shipping that do not result in a refusal to issue or the Withdrawal of a Certificate. Clauses may be either a Condition of Certification, a Mandatory Requirement or a Memorandum Item</p> <p>[DMR]</p>	DSA02 - #605

Term	Definition	Source
Client Responsible Organisation (CRO)	Any MOD organisation that contracts commercial diving services. [DMR]	DSA02 - #803
Combat Safety	The identification and management of hazards from hostile acts, where they may harm personnel. [NAG]	DSA02 - #201
Combat Safety Summary (CSS)	Annex to the Command Safety and Environmental Summary (CSES) that summarises the consequences of hostile activity to individuals by providing guidance on weapon effects and how that may affect understanding of the design intent, given the material state and standard operating procedures. [DMR]	DSA02 - #608
Command Safety and Environmental Summary (CSES)	A summary of the Safety Case Report produced to baseline Sea Clearance and inform a Ship's Commanding Officer of the safe and environmentally sound operating envelope of a ship by identifying the key limitations imposed by design parameters, Naval Authority Certification, risk assessment and combat safety. The CSES is a prerequisite of a Safety Management Certificate (SMC) being awarded. [DMR] A distillation of the safety case report providing essential information for the in-service/operational commanding officer or manager of a system or operator of a service to manage operating risk. [DEF STAN 00-056 Part 1, issue 7]	DSA02 - #608
Commanding Officer (CO)	Person in command of the Ship. All embarked persons are under the Commanding Officer's authority and are the Commanding Officer's responsibility. Other terms used outside the Code for the Commanding Officer are Captain or (Ships) Master. [ANEP-77 Part 1, Edition G, Version 2 February 2019]	DSA02 - #206
Commercial Diving	Commercial diving is an application of professional diving at work where divers engage in diving projects in construction, engineering, maintenance or other tasks which are similar to those done out of the water, where the diving is usually secondary to the work and the intent is to make profit from the activity.	DSA02 - #803
Competence	Competent assumes assessment of current level of knowledge; proficiency; required supervision; planned continuous professional development, experience and qualifications. [Adapted from DSA01.4 Master Glossary]	DSA02 - #201

Term	Definition	Source
Compliance Statement	A written claim summarising the evidence that MOD-regulated Shipping, Ports and Harbours, or Diving, meets the requirements of legislation or regulation. [DMR]	DSA02 - #402
Condition of Certification (Major)	A type of clause imposed by the Naval Authority that records a non-compliance that constitutes a significant shortfall against these the Naval Authority Rules for Certification of MOD Shipping or agreed Certification Strategy and shall always be issued with a Mandatory Requirement. [DSA03 Naval Authority Rules for Certification of MOD Shipping]	Naval Authority Rules
Condition of Certification (Minor)	A type of clause imposed by the Naval Authority that records a non-compliance that of itself does not constitute a significant shortfall against these Rules; sometimes accompanied by a Mandatory Requirement. [DSA03 Naval Authority Rules for Certification of MOD Shipping]	Naval Authority Rules
Consequence	The outcome, or outcomes, resulting from an event. [DMR]	DSA02 - #202
Corrective Action Report (CAR)	A formal record of actions that has been identified to reduce the risk from an application or correct a deficiency or non-conformity. [Defence Safety Regulatory Publications (DSRP)]	Not Used
Crew	A body of personnel (whose usual employment is under a merchant ship crew agreement or military Unit Employment List) to conduct shipping activities as directed by a Ship's Master or a Commanding Officer. [DMR]	DSA02 - #206
Crown Officials	A person employed by, or in the service of, the Government of the United Kingdom, e.g. civil service, military uniformed service. [DSA01.4 Master Glossary]	DSA02 Scope
Dangerous Goods	Dangerous goods" means goods or cargoes, whether packaged or in bulk, which meet the criteria in the IMDG Code for classification as dangerous goods. [Harbour Areas Regulations 2016]	DSA02- #617

Term	Definition	Source
Dangerous Occurrences	<p>Dangerous occurrences are certain, specified near-miss events. Not all such events require reporting. There are 27 categories of dangerous occurrences that are relevant to most workplaces, for example:</p> <ul style="list-style-type: none"> • the collapse, overturning or failure of load-bearing parts of lifts and lifting equipment; • plant or equipment coming into contact with overhead power lines; • the accidental release of any substance which could cause injury to any person. <p><i>[Health & Safety Executive (HSE)]</i></p>	DSA02 - #406
Defence Diver	<p>A Ministry of Defence Crown Servant who Dives.</p> <p><i>[DST]</i></p>	DSA03 Defence Diving Rules
Defence Diving	<p>When a Defence Diver conducts a MOD sponsored Diving Activity.</p> <p><i>[DST]</i></p>	DSA02 - #101
Defence Legislation Support Tool (DLST)	<p>An electronic database of relevant and applicable HS&EP legislation; maintained on behalf of Defence Safety Authority Regulators.</p> <p><i>[DMR]</i></p>	DSA02 - #402
Defence Lines of Development (DLOD)	<p>Factors that must be considered when making decisions on capability and force structure in Defence. They include: training, equipment, personnel, information, doctrine and concepts, organisation, infrastructure and logistics (TEPID OIL).</p> <p><i>[How Defence Works]</i></p> <p>NB: In the context of the above reference, 'Equipment' includes delivery of equipment, systems, ships and other types of physical platform. Defence Maritime Regulations address all DLODs.</p> <p><i>[DMR]</i></p>	DSA02 - #407
Defence Maritime Regulator (DMR)	<p>DMR is part of the Defence Safety Authority (DSA) and is the Defence Regulator responsible for the regulation of HS&EP in the defence maritime domain.</p> <p><i>[DMR]</i></p>	DSA02 - #202
Defence Regulation	<p>A type of mandatory rule made by a Regulator for a particular MOD domain or functional area, which delivers the intent of the Policy Statement by the Secretary of State's for Defence on Health, Safety and Environmental Protection in Defence.</p> <p><i>[DMR]</i></p>	DSA02 - #211

Term	Definition	Source
Defence Safety Authority (DSA)	<p>The Defence Safety Authority is an independent organisation, empowered by charter from SofS to undertake the roles of regulator, accident investigation and Defence Authority for safety. It consists of a number of Defence Regulators who cover different domains. For example, DMR who cover the maritime domain.</p> <p style="text-align: right;"><i>[DSA]</i></p>	DSA02 - #101
DSA Charter	<p>Signed by the SofS Defence, the DSA Charter sets out the roles, responsibilities and accountabilities of the DSA.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02
Defence Safety and Environment Committee (DSEC)	<p>Committee that brings together all the various parts of Defence at the most senior level to consider HS&EP-related issues and risks across the MoD, chaired by PUS.</p> <p style="text-align: right;"><i>[DSA Charter]</i></p>	DSA Charter
Defence Standard (DEFSTAN)	<p>Defence Standards are provided to support MOD acquisition organisations that deliver Products, Services and/or Systems (PSS) by setting safety management requirements on Contractors that enable procurement of PSS that are compliant with safety legislation and regulations and with MOD safety and acquisition policy.</p> <p style="text-align: right;"><i>[Adapted from QSEP website]</i></p>	DSA02 - #302
Defence Task (DT)	<p>Defence Tasks are generated by an SDSR (Strategic Defence and Security Review - every 5 years). Defence Tasks describe how we use military capability and are based on the National Security Strategy. Currently there are 8 DTs:</p> <p style="margin-left: 40px;">DT1: Defence Security & Resilience of the Homeland and overseas territories;</p> <p style="margin-left: 40px;">DT2: Nuclear deterrence;</p> <p style="margin-left: 40px;">DT3: Understanding;</p> <p style="margin-left: 40px;">DT4: Influence through Defence Engagement;</p> <p style="margin-left: 40px;">DT5: Military intervention;</p> <p style="margin-left: 40px;">DT6: UK prosperity and civil society;</p> <p style="margin-left: 40px;">DT7: Direct Defence;</p> <p style="margin-left: 40px;">DT8: Strategic base and enabling.</p> <p style="text-align: right;"><i>[SDSR2015 & How Defence Works]</i></p>	DSA02 - #307

Term	Definition	Source
Delivery Duty Holder (DDH)	<p>Within the <i>Duty Holding</i> construct, the Delivery Duty Holder (DDH) is appointed and empowered by the Senior Duty Holder (SDH) through a letter of delegation.</p> <p>The person charged by an ODH with the integration of risk assurance across DLODs, to enable the safe administration and operation of MOD Regulated Shipping, Ports, Harbours or Diving. The DDH provides assurance of the effective implementation of the Operating Duty Holder's overarching Health, Safety and Environmental management system(s).</p> <p><i>[Adapted from DSA01.1 and DSA01.2 Chapter 3 Duty Holding]</i></p>	DSA02 - #306
Derogation	<p>A relaxation or lessening of a legal requirement to allow the MOD to apply the law differently for reasons specified within legislation.</p> <p>The derogation might be subject to certain caveats. Irrespective of the terms used to describe the freedom, if the MOD is required to comply with the legal requirement, but in a different way or with different conditions, the freedom is categorised as a derogation. Derogations are slightly tricky to identify when compared to disapplications and exemptions.</p> <p><i>[DMR]</i></p>	DSA02 - #402
Derogation, Exemption, or Disapplication (DED)	<p>A <i>Derogation, Exemption, or Disapplication</i> (as defined elsewhere in this glossary).</p> <p><i>[DSA01.1]</i></p>	DSA02 - #402
Design Authority / Authorities	<p>Authority vested in an accountable person or their organisation to systematically ensure the fitness for purpose of a design's intent through life and to make design decisions, authorise by application of professional judgement the approval changes to the design intent, or material state. Such authority may be split into approving, integration and technical authorities.</p> <p><i>[DMR]</i></p>	DSA02 - #208
Design Description	<p>A mandatory component of any safety case containing all the design information and concepts of usage for a reasonably foreseeable material state. The Design Authority will hold elements of this, in conjunction with the holder of the safety management plan and safety management system.</p> <p><i>[DMR]</i></p>	Not Used

Term	Definition	Source
Designated Person (DP)	<p>A person nominated by the Port Duty Holder to provide independent assurance regarding the operation of the MOD Port's Safety and Environmental Management System.</p> <p>[DMR]</p>	DSA02 - #701/702
Designated Person Ashore	<p>A competent engineer or operator within the organisation who has direct access to the highest levels of management, providing a link between a Duty Holder and those on-board.</p> <p>[Adapted from the ISM Code]</p>	DSA02 - #207
Disapplication	<p>Where Specific legislation, or part of it, does not apply to the MOD and this freedom is expressly stated in the legislation. If the Secretary of State for Defence (SofS) does not need to certify or grant permission in writing to activate the freedom; it is categorised as a dis-application or derogation.</p> <p>[DMR]</p>	DSA02 - #402
Disposal	<p>The final phase of the CADMID lifecycle.</p> <p>Disposal phase involves carrying out plans for efficient, effective and safe disposal of the equipment.</p> <p>[Adapted from Knowledge in Defence (KiD)]</p>	DSA02 - #101
Diving Contractor	<p>A person or firm that undertakes diving under contract (by MOD) to deliver diving services.</p>	DSA02 - #803
Diving Project	<p>Any activity, made up of one or more diving operations, in which at least one person takes part or will take part as a diver and extends from the time when that person, or the first such person, commences to prepare to dive until that person, or the last such person, has left the water, chamber or other environment in which the dive, or any part of the dive, took place and has completed any requisite decompression procedures, including, where it may be reasonably anticipated that this will be needed, any therapeutic recompression.</p>	DSA02 - #210
Diving Project Plan	<p>A document prepared in accordance with DSA02-DMR Regulations 210 & 803.</p>	DSA02 - #210
DMR Notices	<p>The means by which DMR instructions and guidance are promulgated to Duty Holders, accountable persons, industry, operators and other relevant stakeholders.</p> <p>[DMR]</p>	Not Used
DMR Document of Compliance (DOC)	<p>A certificate awarded by DMR to a Defence organisation or organisation that complies with the requirements of DSA02-DMR Shipping Regulations. A DOC is an AtAMS issued for vessels over 500Gt or passenger vessels.</p> <p>[DMR]</p>	DSA02 - #607

Term	Definition	Source
Dockyard	<p>A geographical area of a naval harbour with a gate or caisson under control of an accountable person vested powers or duties for improving, maintaining or managing a harbour, as a statutory harbour authority or under the 1865 Dockyard Ports Regulation Act or Bill of a UK dependency.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #101
Duly Authorised Person (DAP) or Organisation (DAO)	<p>A person or organisation, internal to the Ministry of Defence that demonstrates competence, accredited to provide second party assurance of the conduct of an activity to a Duty Holder and considered by the Regulator to significantly affect the safety or environmental protection of MOD Shipping activities, as responsibilities go beyond their normal managerial duties or across line responsibilities (e.g. being charged with audit, overseeing, accepting test and trials, conducting surveys and inspections to certify).</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #202
Duty Holder (DH)	<p>In accordance with DSA01.1, a key person appointed by the Secretary of State to discharge a duty of care for complex Maritime Capability such that others do not suffer unreasonable harm or loss from Defence activity.</p> <p>The Duty Holder will be an accountable person (AP) with sufficient control to supervise operations significantly affecting the safety or environmental protection of MOD Shipping activities with responsibility and accountability beyond normal managerial duties that cross line management responsibilities, e.g. DLODs.</p> <p style="text-align: right;"><i>[Expanded from DSA01.1]</i></p>	DSA02 - #101
Duty Holding	<p>The recognition that a person or organisation has specific accountability and a Duty of Care and the exercising of Duty Holder responsibilities.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #201
Duty of Care	<p>The SofS's Policy Statement reiterates the legal requirement that anyone with responsibilities for managing Defence activities comply with UK legislation in managing HS&EP risk. This is to ensure, so far as is reasonably practicable (or ALARP), the health, safety and welfare of their employees and anyone else who might be affected by their activities. This is commonly referred to as the "duty of care"</p> <p style="text-align: right;"><i>[DSA01.1]</i></p>	DSA02 - #101

Term	Definition	Source
Emission Control Area (ECA)	An area where the adoption of special mandatory measures for SOx emissions from ships is required to prevent, reduce and control air pollution from SOx and its attendant adverse impacts on land and sea areas. <i>[MARPOL]</i>	DSA02 - #611
Endorse / Endorsement	To assert that a document meets the requirements of relevant policy, procedures and good practice. <i>[DMR]</i>	DSA02 - #401

Term	Definition	Source
Enforcement Action	<p>A Regulator will take formal enforcement action (of which there are a number of different types, categorised below), in the following circumstances:</p> <ul style="list-style-type: none"> • When a significant non-compliance with Defence Regulations is identified. • When an activity that is considered to present unacceptable risk to life or environmental damage is identified. • When a response to the issue of a Corrective Action Report (CAR) is considered to be unsatisfactory. <p>Enforcement actions shall be directed to an individual Accountable Person (AP) who is deemed most appropriate to take the corrective action and shall be held to account for reducing risk of harm and complying with Defence Regulations as applicable.</p> <p>Types of enforcement action are:</p> <ul style="list-style-type: none"> • Urgent Improvement Notice. An Urgent IN should be served if the level of risk associated with the non-compliance is considered high and therefore requires urgent corrective action to be taken.; • Improvement Notice. An IN should be served if the level of risk associated with the non-compliance is low and therefore requires the corrective action to be taken in a more routine timescale. • Immediate Stop Notice (ISN). A Regulator should intervene if he/she observes activity that is considered to be of such a high risk that he/she feels it requires the activity to immediately cease. In such cases, such an intervention may be accompanied in writing by an Immediate Stop Notice (ISN). Where the risk is reduced straightaway, the Regulator will lift the ISN and allow the activity to recommence, noting the requirement to make a record of the issue to inform wider risk analysis and trend identification. If, however, the risk cannot be reduced, the ISN should be replaced with a formal enforcement notice as soon as practicable. • Prohibit Notice (PN). A PN should be served on the AP where the Regulator feels that the risk associated is too high. A PN does not have to be attributed to non-compliance with Defence Regulations; the trigger is the Regulator's perception of the risk of harm. The PN requires the activity to cease while the corrective action is completed. The AP is required to demonstrate to the Regulator that the risk has been sufficiently reduced before the PN is lifted and the activity can commence. 	A Guide to the DMR Assurance Model

Term	Definition	Source
Enter into Force	<p>The date that the Rule takes effect from. If the date of effect differs for different sections of the Rule, this date represents the earliest date that the section of the Rule takes effect.</p> <p style="text-align: right;"><i>[DMR]</i></p>	Not Used
Environment	<p>Surroundings in which an organisation operates, including air, water, land, natural resources, flora, fauna, humans and their interrelationships.</p> <p style="text-align: right;"><i>[ISO 14001:2015]</i></p>	DSA02 - #101
Environmental Aspect	<p>Element of an organisation's activities or products or services that interacts or can interact with the environment.</p> <p>Organisation's activities include MOD Shipping, Ports & Harbours and Diving activities.</p> <p style="text-align: right;"><i>[Adapted from ISO 14001:2015]</i></p>	DSA02 - #209
Environmental Damage	<p>Material injury or damage to persons, living organisms or property (including offence to man's senses) or any pollution or impairment of the environment resulting from the discharge, emission, escape or migration of any substance, energy, noise or vibration.</p> <p style="text-align: right;"><i>[LAW INSIDER]</i></p>	DSA02 - #501
Environmental Impact	<p>Any change to the environment, whether adverse or beneficial, wholly or partially resulting from an organisation's environmental aspect.</p> <p style="text-align: right;"><i>[ISO 14001:2015]</i></p>	DSA02 - #201
Environmental Protection	<p>A practice of protecting the natural environment on individual, organisational or governmental levels, for the benefit of the environment, operational performance and capability.</p> <p style="text-align: right;"><i>[Def Stan 00-051]</i></p>	DSA02 - #101
Environmental Risk	<p>An uncertain future event, either arising from an environmental aspect of Defence activity or a change to the environment that could affect the Departments ability to achieve its objectives.</p> <p style="text-align: right;"><i>[Def Stan 00-051]</i></p>	DSA02 - #306
Environmentally Sound	<p>Demonstration that all environmental aspects are being managed as part of an environmental management system so that harm to the environment is minimised so far as reasonably practicable.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #602

Term	Definition	Source
Equipment	An item that is designed to provide one or more services or functions to the user or the system of which it forms a part. (e.g. pumps, motors, valves, air conditioning plant, radar, gun).	DSA02 - #201
Equipment Authority / Authorities	The person charged with the development and maintenance of the Management Regime (which may include the design authority) for equipment or a subsystem of a ship.	DSA02 - #208
Event	The minimum combination of failures or errors necessary to start propagation of an accident sequence. It can be a single cause, multiple causes, or contributory factors.	DSA02 - #210
Exceptional Circumstance	Military or civil activity to deliver a Defence Task often taken under extreme threat conditions when foreseeable damage may be experienced and tolerated according to the Goal.	DSA02 - #307
Exemption	<p>The Secretary of State (SofS) for Defence is empowered within the legislation to exempt MOD personnel, activities or equipment from part or the whole legal requirement by issuing a formal document to that effect.</p> <p>If the SofS is required to grant the exemption by issuing a certificate or doing so in writing; it is categorised in the Defence Safety Authority as an exemption.</p> <p><i>[DSA Legislation Compliance]</i></p>	DSA02 - #402
Full Assurance	Systems of internal control established and operating effectively.	DSA Annual Assurance Report
Good Practice	The generic term for those baseline standards for controlling risk which have been judged and recognised by a Statutory Authority or another authoritative body as satisfying the law, regulatory Goal and continuous improvement when applied to a particular relevant case in an appropriate manner.	DSA02 - #608
		<i>[Adapted from HSE ALARP guidance]</i>

Term	Definition	Source
Government Ship	<p>Ships not forming part of Her Majesty's Navy which belong to Her Majesty or are held by any person on behalf of or for the benefit of the Crown (and for that reason cannot be registered under Part II of the Merchant Shipping Act).</p> <p><i>[Merchant Shipping Act 1995, Section 308]</i></p>	A Guide to Red, White and Blue Ensigns
Guidance	<p>Background information typically developed to provide additional explanation, to assist the application of the regulation, and to help illustrate the meaning of specifications and requirements.</p> <p>Guidance is not legally binding, however, if followed, this will normally be sufficient to satisfy the Regulator. In seeking to assure compliance with the Regulations the Regulator may offer guidance to illustrate good practice.</p> <p><i>[DMR]</i></p>	DSA02 - #301
Harbour Master	<p>A harbourmaster is an official responsible for enforcing the regulations of a particular harbour or port, in order to ensure the safety of navigation, the security of the harbour and the correct operation of the port facilities.</p> <p><i>[Adapted from International Harbour Masters Association]</i></p>	DSA02 - #610
Harm	<p>Adverse impact on people, including fatality, physical or psychological injury, or short- or long-term damage to health or damage to materiel or the environment.</p> <p><i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 - #602
Hazard	<p>Potential to cause harm e.g. A physical situation or state of a system, often following from some initiating event that may lead to an accident.</p> <p><i>[DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 - #206
Hazard Footprint	<p>A statement summarising hazards identified within a safety case, the full mitigation of which is outside the control of an Authority or Duty Holder and likely to affect third parties. This communication of the effects of hazards and accident sequences and their implications for third parties, covering both consequences (under the precautionary principle) and the estimated risks (under the proportionality principle).</p> <p><i>[DMR]</i></p>	DSA02 - #211
Hazard Identification	<p>The process of identifying and listing the hazards and accidents associated with a system.</p> <p><i>[DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 – #211

Term	Definition	Source
Holding to Account	The formal process of justification and explanation for actions or decisions to Superior Duty Holders or Defence Regulators.	Not Used [DMR]
Human Factor	The systematic application of relevant information about human capabilities, limitations, characteristics, behaviours and motivation to the design of systems.	DSA02 - #407 [DEF STAN 00-056 Part 1, Issue 7]
Incident	The occurrence of a hazard that might have progressed to an accident but did not. See also <i>Accident, Near Miss</i> .	DSA02 - #206 [DEF STAN 00-056 Part 1, Issue 7]
Independence (Principle)	<p>The characteristic of a regulatory regime, in particular in the setting of safety and policy, regulation, auditing and enforcement.</p> <p><i>[Adapted from Haddon-Cave Report into the loss of XV230, Chapter 20]</i></p> <p>The state or condition of being free from subjection, or control. Political independence is the attribute of a nation or state which defines it to be entirely autonomous, and not subject to the government, control, or dictation of any exterior power.</p> <p><i>[Black's Law Dictionary]</i></p>	Not Used
Independent Safety and Environmental Auditor (ISEA) and Independent Safety Auditor	An individual or team, from an independent organisation, that undertakes audits and other assessment activities on behalf of MOD to provide second party assurance that safety activities comply with planned arrangements, are implemented effectively and are suitable to achieve objectives; and whether related outputs are valid and fit for purpose.	DSA02 - #901 [DEF STAN 00-056 Part 1, Issue 7]
Inherent Risk	Exposure arising from a specific risk before any action has been taken to manage it.	DSA02 - #901 [Adapted from JSP 892, Pt 1 & Pt 2 V2.0 Sep 17]
Inspect / Inspection	Assurance by systematic and documented verification process that objectively obtains and evaluates the objectivity of evidence to determine whether specified activities, events, conditions, analysis or information output from management systems conforms to inspection criteria.	DSA02 - #308 DMR

Term	Definition	Source
Investigation	<p>Activity carried out by an independent, impartial, professional and credible safety investigation organisation or team to prevent reoccurrence following an accident or incident. It includes the collection and analysis of evidence, the identification of causal factors and the making of observations and safety recommendations as necessary. See Assurance.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #403
Key Material State Hazard Area (also known as Key Hazard Area)	<p>A Key Material State Hazard Area is a ship design area of concern, where the potential sources of harm represent a significant danger to people, loss or severe damage to the platform, or significant damage to the environment. Due to the severity of the consequences, assurance is required of these key hazard areas by Duly Authorised Persons through certification.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA03 Naval Authority Rules
Lead auditor	<p>A fully qualified auditor with sufficient experience to competently lead audits.</p> <p>The Lead Auditor should have the necessary competence to manage the programme and its associated risks and opportunities and external and internal issues effectively and efficiently, including knowledge of:</p> <ul style="list-style-type: none"> a) audit principles methods and processes; b) management system standards, other relevant standards and reference/guidance documents; c) information regarding the auditee and its context (e.g. external/internal issues, relevant interested parties and their needs and expectations, business activities, products, services and processes of the auditee); d) applicable statutory and regulatory requirements and other requirements relevant to the business activities of the auditee. <p style="text-align: right;"><i>[Adapted from ISO19011:2018]</i></p>	Not Used
Letter of Delegation (LoD)	<p>Formal means of conferring specific responsibilities and/or authority by the author to the designated recipient (Designated Person). Typically issued as a standing requirement when a recipient first takes up a new post that requires them to be given specific responsibilities for which they are accountable for, including for safety and environmental protection.</p> <p style="text-align: right;"><i>[Adapted from ASEMIS]</i></p>	DSA02 - #202
Limitation	<p>A defined performance boundary under which item/process can be expected to function.</p> <p style="text-align: right;"><i>[DSA01.4 Master Glossary]</i></p>	DSA02 Introduction

Term	Definition	Source
Limited Assurance	System of internal control operating effectively, except for some areas where significant weaknesses have been identified. [DIA Assurance Classifications 2014]	DSA Annual Assurance Report
Management System	A set of interrelated or interacting elements of an organisation to establish policies and objectives, and processes to achieve those objectives. [ISO 19011:2018]	DSA02 - #203
Maritime Activity / Activities	Activities in the maritime operating environment or domain (whether or not by MOD personnel, including diving, port or MOD Shipping activities), combining civil activities and military activities, and which are subject to Defence Regulation. [DMR]	DSA02 - #101
Maritime Autonomous System (MAS)	Used to encompass a vessel and all associated onboard, offboard and RCC systems. [extracted from IMO MASS UK Industry Conduct Principles & Code of Practice V4 Nov 20]	Not used
Material Assessment and Safety Check (MASC)	A MASC is a complete audit of the Ship by FOST to confirm that the Ship is materially safe and ready to train. The Staff will inspect every aspect of each Section in detail, as well as witnessing the functioning of all weapons and equipment. [WEAPON ENGINEERING DEPARTMENT TEMPORARY MEMORANDUM 47/14]	DSA02 - #906
Material State	The extent to which the materiel of a ship, system or equipment meets suitable standards and is free from flaws which could give rise to or contribute to hazards or failure modes that contribute to a hazard. See Safe State. [DSA]	DSA02 - #607
METS	The four pillars of operational capability: Manpower, Equipment, Training and Sustainability.	DSA02- #608
Minimal/No Assurance	System of internal control poorly developed or non-existent, or major levels of non-compliance identified. [DIA Assurance Classifications 2014]	DSA Annual Assurance Report
MOD Port Duty Holder	Accountable Person, appointed by Letter of Authority (LOA) with responsibility for the safe and environmentally sound operation of the MOD Port, and of all conduct within the MOD Port. [DMR]	DSA02 - #211

Term	Definition	Source
MOD Ports and Harbours	<p>A MoD Port or Harbour described in The Dockyard and Ports Regulation Act 1865 and the UK Dockyard Ports and the associated UK or Overseas territory Port Orders or Statute.</p> <p>Also, a Maritime base operated by or on behalf of the MOD as one of Her Majesty's Naval Bases (HMNB); Mounting Centres; Permanent Joint Operating Bases (PJOB). A base harbour is a place on the coast where ships may moor in shelter, with protection from rough water by artificial structures. A base port is within a harbour offering access to navigable water where ships load or unload using piers, jetties, and other artificial structures. A base dockyard is a port with maintenance facilities. A base shipyard is a port with facilities permitting the construction of new vessels.</p>	DSA02 - #101
MOD Ship Safety Certificate (MSSC)	<p>A Naval Authority Certificate providing Certification of all required hazard areas for MOD Surface Ships and Platforms >24m9.</p> <p style="text-align: center;"><i>[Adapted from DSA03-DMR Naval Authority Rules for Certification of MOD Shipping, 1st May 2019]</i></p>	DSA03 Naval Authority Rules
MOD Shipping	<p>Ships owned by, operated by or operated on behalf of the Ministry of Defence. This includes Warships, Government Ships and any shipping services provided under Charter, a Financial or a Managed Service, employed on Defence Activity for the benefit of the Crown.</p>	DSA02 - #101
MOD Shipping Activity / Activities	<p>Defence activities (on land, air or at sea) forming part of the functioning of MOD Shipping. Any activity requiring a MOD ship system (equipment, managerial or personnel) to achieve a desired maritime activity as designed or otherwise expected to undertake as specified in the certified operating envelope.</p>	DSA02 - #101
MOD Shipping Regulation	<p>Part of the DMR Regulatory Framework for Safety and Environmental Protection for MOD Shipping Activity and the DSA02-DMR-MOD Shipping Regulations.</p>	DSA02 - #601

Term	Definition	Source
Naval Authority	<p>A DMR Duly Authorised Organisation, independent of Duty Holders and which is accredited to provide certification for specified hazard areas. The Naval Authority identifies and develops standards and Rules as well as providing advice and guidance on good practice relating to the Key hazard areas it covers.</p> <p>[DMR]</p>	DSA02 - #208
Naval Authority Certificate	<p>A certificate issued by the Naval Authority that assures the key hazard areas for a given ship.</p> <p>[BR131]</p>	DSA03 Naval Authority Rules
Naval Authority Certification Strategy	<p>The formal agreement between a Duly Authorised Person and the Platform Authority and their Duty Holder setting out the requirements for Naval Authority Certification, tailored to a specific ship, a ship class or ship type and against which compliance with the DSA03-DMR NA Rules is determined.</p> <p>[DMR]</p>	Not used
Naval Authority Directive	<p>A modification to DSA03 Naval Authority Rules for Certification of MOD Shipping which has an immediate effect and addresses a major shortfall in safety.</p> <p>Naval Authority Directives are published on the Naval Authority System and has an immediate effect and addresses a major shortfall in safety.</p> <p><i>[Adapted from DSA03-DMR Naval Authority Rules for Certification of MOD Shipping, 1st May 2019]</i></p>	DSA03 Naval Authority Rules
Naval Authority Hazard Area	<p>A key material state hazard area which has specific and unique requirements with respect to Naval Authority Certification. The Naval Authority Rules for certification address these key hazards:</p> <p>Structural strength (Surface Ships and submarines);</p> <p>Stability (Surface Ships and submarines);</p> <p>Escape, Evacuation & Rescue (Surface Ships and submarines);</p> <p>Integrity to carry and use Explosives (Surface Ships and submarines);</p> <p>Propulsion, manoeuvring systems (Surface Ships and submarines);</p> <p>Navigation systems (Surface Ships and submarines);</p> <p>Fire systems (Surface Ships and submarines);</p> <p>Aviation handling systems (Surface Ships);</p> <p>Manoeuvring control (Submarines);</p> <p>Atmosphere control (Submarines);</p> <p>Watertight integrity (Submarines).</p> <p>[DMR]</p>	DSA03 Naval Authority Rules

Term	Definition	Source
Naval Authority Notice	<p>A notice of a change to DSA03 Naval Authority Rules for Certification of MOD Shipping that shall come into effect on a given date or provides other information relevant to Certification.</p> <p>Naval Authority Notices are published on the Naval Authority System and gives notice of a change to these Rules that shall come into effect on a given date or provides other information relevant to Certification.</p> <p style="text-align: center;"><i>[Adapted from DSA03-DMR Naval Authority Rules for Certification of MOD Shipping, 1st May 2019]</i></p>	DSA03 Naval Authority Rules
Naval Authority System (NAS)	<p>The Naval Authority System is the web-based information system used to host and disseminate Naval Authority Certification information and Defence Maritime Regulator information.</p>	DSA03 Naval Authority Rules
Naval Ship Code	<p>A goal-based standard which offers a framework for safety regulation with the same scope and an equivalent level of safety to IMO SOLAS. It was developed to deliver: safety assurance benchmarked against statute, using common standards that are familiar world-wide and which recognise military operating requirements</p> <p>Published as: NATO Allied Naval Engineering Publication (ANEP) 77 - The Naval Ship Code.</p>	DSA02 - #904
Naval Ship Safety Certificate	<p>A legacy term used in JSP430 Part 3 Naval Authority Certification.</p> <p>See <i>MOD Ship Safety Certificate (MSSC)</i>, <i>MOD Submarine Safety Certificate (MSMSC)</i>, and <i>MOD Boat Safety Certificate (MBSC)</i>.</p>	DSA02 - #605
Naval Submarine Code	<p>This Code has been developed by INSA as an equivalent to the Naval Ship Code for Submarines. It comprises of three parts; Part 1 containing the Regulations; Part 2 designated for Solutions but not populated (relying instead on the user selecting appropriate standards); Part 3 containing the Code Justification and Guidance.</p>	Not Used
Near Miss / Misses	<p>Any unintended event or action that could have affected the inherent safety of the dangerous good.</p> <p><i>[ANEP-77 Part 1, Edition G, Version 2 February 2019]</i></p>	DSA02 - #206

Term	Definition	Source
Non-Conformity / Non-Conformities (also, legacy term Non-Conformance)	<p>Identified process, procedure or regulation has not been fulfilled to the satisfaction of the lead auditor and may result in a Corrective Action Report (CAR) or enforcement action. Non-conformities are graded depending on the context and its risks. DMR uses qualitative grading. The categories of non-conformances are:</p> <p>Major Non-Conformity: no objective evidence of compliance with a known audit criterion; an identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action;</p> <p>Minor Non-Conform: limited objective evidence of compliance has been provided against audit criteria; or the evidence is not sufficient to demonstrate full compliance with the known audit criteria.</p> <p><i>[Adapted from ISO19011:2011 and ISM Code 2018]</i></p>	DSA02 - #609
Objective Evidence	<p>Quantitative or qualitative information, records or statements of fact pertaining to safety or to the existence and implementation of a safety management system or element (Risk Control System), which is based on observation, measurement or test and which can be verified.</p> <p><i>[ISM Code 2018]</i></p>	DSA02 - #306
Observation	<p>A statement of fact made during a safety management audit and substantiated by <i>Objective Evidence</i>.</p> <p><i>[ISM Code 2018]</i></p> <p>Observations may be recorded by the audit team to provide benefit to the audited Organisation but do not relate to a conformance issue. Observations may identify positive or negative findings.</p>	DSA02 - #701
Operate Safely	<p>The collective assessment of each RCS by the accountable person (usually the Delivery Duty Holder) that a shipping activity is collectively safe across DLOD's, given a specific operational context and awareness. See also 'Safe to Operate'.</p> <p><i>[DMR]</i></p>	DSA02 - #906

Term	Definition	Source
Operating Duty Holder (ODH)	<p>Within the <i>Duty Holding</i> construct, the Operating Duty Holder (ODH) is appointed and empowered by the Senior Duty Holder (SDH) through a letter of delegation.</p> <p>The ODH is the person charged with the overall safe administration and employment of complex Maritime Capability at the operational level such that it is operated safely and is environmentally sound.</p> <p>The ODH sits in the middle of the Duty Holder management arrangements identified in Top Level MOD safety policy.</p> <p><i>[Adapted from DSA01.1 and DSA01.2 Chapter 3 Duty Holding]</i></p>	DSA02 - #204
Operating Duty Holder Organisation	<p>A party that is licenced by a Regulator as possessing a compliant Safety Environmental Management System (SEMS) and can discharge an area of responsibility. That part of an organisation with responsibility for the SEMS is authorised by a superior Duty Holder who is accountable and responsible.</p> <p><i>[DSA01.4 Master Glossary]</i></p>	Not Used
Operating Envelope	<p>A set of limits calculated by formal and structured methods to define the nature of a system, and levels of uncertainty inside which risks are ALARP for a group of “reasonably foreseeable” activities, during ‘normal’ running operation. Where it becomes desirable to operate outside the envelope (on either an occasional or enduring basis), it includes the calculation of safety and environmental margins.</p> <p>The use of certified margins to manage fluctuations in dynamic risk management during day to day operations or to tolerate risk from occasional “abnormal” activities for defined operations or maintenance, as foreseen or defined, and documented within the authorised platform Safety Case.</p> <p><i>[DMR]</i></p>	DSA02 - #208
Operating Environment	<p>The total set of all external natural and induced conditions to which a system is exposed at any given moment.</p> <p><i>[Def Stan 00-056 Part 1, Issue 7]</i></p>	DSA02 - #607

Term	Definition	Source
Operating Safety Statement Review (OSSR)	<p>The regulations require a suitable sea clearance process to assure the Safe and Environmentally Sound Operating Envelope in an auditable trail. This is achieved through the Operating Safety Statement Review (OSSR), which results in the issue of an Operating Safety Statement (OSS).</p> <p>The OSSR is the ODH review of the safety of the vessel, based on evidence across all METS pillars to demonstrate that the RtL is ALARP and tolerable.</p> <p style="text-align: right;"><i>[DMR]</i></p>	Not Used
Operational Imperative	<p>A set of exceptional circumstances tolerated by an Operating Authority that would take the use of the system outside the scope of an operating envelope from a Safety and/or Environmental Case and summarised CSES, that deem it essential to achieve an operational objective or Defence Task. Hazards arising from military risk must be disseminated to users and agreed by the ODH.</p> <p style="text-align: right;"><i>[DSA01.4 Master Glossary]</i></p>	DSA02 - #307
Organisational Baseline	<p>In many organisations where high levels of hazard are being managed in routine operations, the concept of an Organisational Baseline is used. This is a baseline for safe operation which is justified, and against which further changes can be referenced. The organisational baseline is the means by which an organisation demonstrates that its organisational structure, staffing and competencies are, and remain, suitable and sufficient to manage safety throughout the full range of the organisation's business.</p> <p style="text-align: right;"><i>[Adapted from the OFFICE FOR NUCLEAR REGULATION Nuclear Safety Technical Assessment Guide]</i></p>	DSA02 - #404 and 405
Organisation and Arrangements (O&A)	<p>The functions, resources and administration to achieve one or more requirement, objective or activity of a Defence Enterprise, and to enable discharge of responsibilities. A Defence Enterprise is a company, corporation, military or crown authority, budget area or institution (or part there of – constituted or not, public or private), tasked to conduct an activity on behalf of the MOD.</p> <p style="text-align: right;"><i>[Adapted from ISO 14001:2015]</i></p> <p>Strategies and management requirements put in place to enable a Duty Holder to discharge their responsibilities.</p> <p style="text-align: right;"><i>[Adapted from DSA 01.1]</i></p>	DSA02 - #101

Term	Definition	Source
Passenger	Any person carried on a ship, other than the ship's commanding officer/master or crew for that ship. [DMR]	DSA02 - #606
Passenger Vessel	A vessel carrying more than 12 passengers. A passenger is every person other than: (a)the Commanding officer and the members of the crew or other persons employed or engaged in any capacity on board a ship on the business of that ship, (b)a child under one year of age, and (c)persons who are on board the ship by reason of force majeure or in consequence of the obligation laid upon the Commanding Officer to carry shipwrecked or other persons. [Adapted from Merchant Shipping Regulations]	DSA02 - #607
Permissioning	A discrete Assurance activity, linked to a specific milestone, normally requiring positive action by the Regulator that permits (or gives permission) to start or continue an activity that is conditional upon consent, or a license or endorsement of a Safety Case Report.	DSA03 Naval Authority Rules
Permissioning Regime	The term "Permissioning Regime" is used to describe those regimes under which the start or continuation of particular work activities are conditional upon a consent, license, letter of conclusion or acceptance of a safety case or safety report by the Regulator. The term permissioning is not exact, in that not all regimes require explicit consent from the Regulator. Nevertheless, in all cases it is not possible for them to operate without documenting the hazards, risks and control measures to the satisfaction of the Regulator. [HSE Policy Statement "Our approach to permissioning regimes"]	Not Used
Platform	Any series of integrated DLOD, component systems with equipment designed to carry out a specified function within an operating environment, e.g. a ship, aircraft, vehicle, communications network, etc.	DSA02 - #101
Platform Authority / Authorities	The accountable person who is charged, due to their competence, with development and maintenance of the Management Arrangements for a ship platform being safe to operate. A Crown servant appointed as the project team, business unit leader, Chief or Principal Engineer. This accountable person is personally delegated by an Operating Duty Holder, for advice on risk control and for authorising a ship is materially 'safe to operate', in support of a Delivery Duty Holder for a ship, class or ship type. [DMR]	DSA02 - #201

Term	Definition	Source
Platform Authority Professional Officer	<p>A Professional Officer (PO) delegated by the Platform Authority and recognised by the Naval Authority to be competent to undertake the duties required to submit a Case for Certification on behalf of the Platform Authority. Where the PA wishes the PAPO duties to be undertaken by a non-crown servant they must apply for a concession to DMR citing why and the precise scope of the delegation to be given.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA03 Naval Authority Rules
Port Authority / Authorities	<p>An agency with powers to maintain and control a port.</p> <p style="text-align: right;"><i>[Black's Law Dictionary]</i></p>	DSA02 - #610
Principle	<p>Fundamental truth(s) or doctrines of law; comprehensive rules or doctrines which furnish a basis or origin for others; settled rules of action, procedure, or legal determination.</p> <p style="text-align: right;"><i>[Black's Law Dictionary]</i></p>	DSA02 - #407
Professional Officer	<p>A crown servant who by virtue of their education, training and experience is demonstrated to be competent to undertake the duties required on behalf of an Authority and/or Duty Holder. Such persons should be Chartered Engineer, Environmentalist, Medical Doctor or Charge qualified watch-keeper (CQ1/2 or STCW) according to the Case being made.</p> <p style="text-align: right;"><i>[DMR]</i></p>	Not Used
Property / Properties	<p>A physical item owned by an organisation or individual: including, but not limited to, on-board equipment, built infrastructure and items from the seabed, land, natural environments etc.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #202
Protocol	<p>A sub-Treaty amending or supplementing an existing Treaty.</p> <p>Used in 'Type of Rule' field in the MLD.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #502
Quality Assurance (QA)	<p>Part of quality management focused on providing confidence that quality requirements will be fulfilled</p> <p style="text-align: right;"><i>[ISO 9000:2015]</i></p>	DSA02 - #401
Quality Control (QC)	<p>Part of quality management focused on fulfilling quality requirements.</p> <p style="text-align: right;"><i>[ISO 9000:2015]</i></p>	DSA02 - #401

Term	Definition	Source
Quality Safety and Environmental Protection (QSEP)	<p>A group within DE&S who support Director Engineering & Safety in the QA element of their role as Defence Authority for Technical and QA, National Quality Assurance Authority and Head of Specialisation for Quality and Configuration Management. The group includes the Safety and Environmental Protection (S&EP) Team, who provide leadership and direction to the Ship Operating Centres supporting them to comply with both Occupational Health, Safety and Environmental and the Acquisition Safety and Environmental Protection requirements.</p> <p><i>[DE&S Intranet]</i></p>	DSA02 - #403
Registration	<p>The process by which a ship is documented and given the nationality of the country to which the ship has been documented.</p> <p><i>[Adapted from Wikipedia]</i></p>	Not Used
Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH)	<p>An EU regulation concerning chemicals, specifically substances manufactured or imported into the EU in certain quantities. It aims to protect human health and the environment from the use of these chemicals and ensure standardisation across the EU market.</p>	DSA02 - #403
Recognised Organisation (RO)	<p>A competent, independent organisation, external to the Ministry of Defence, authorised to provide third party assurance or to act on behalf of the Naval Authority or the Defence Maritime Regulator under the terms detailed in their letter of authorisation.</p> <p>Oversight provided by a Recognised Organisation significantly affects the safety or environmental protection of MOD Shipping activities with responsibilities beyond single duties under tort or delict.</p> <p><i>[Adapted from the ISM Code]</i></p>	DSA02 - #903
Registration Committee	<p>As part of a ship's registration, the DMR Registrar of MOD Shipping should convene a Registration Committee of at least the Naval Authority, Platform Authority and Operating Duty Holder, to decide the applicable hazard areas to be certified, based on the agreed ship type.</p> <p><i>[DSA02-DMR]</i></p>	DSA02 - #602
Regulation	<p>A rule or directive made and maintained by an authority.</p> <p><i>[LEXICO]</i></p>	All Regulations

Term	Definition	Source
Regulator	<p>An agency that ensures compliance with laws, regulations and established rules. (May be MOD or civilian).</p> <p style="text-align: right;"><i>[DEF STAN 00-056 Part 1, Issue 7]</i></p> <p>Regulation, assurance and enforcement are the activities conducted by all regulators. Defence is required to comply with UK HS&EP statutory requirements and is regulated by statutory bodies such as HSE, EA etc. However, where Defence benefits from dis-applications, exemptions and derogations (DEDs) from statutory HS&EP requirements, DSA is required to have in place Defence Regulators to provide regulation, assurance and enforcement in order to comply with the SofS's Policy Statement.</p> <p style="text-align: right;"><i>[DSA01.1]</i></p>	DSA02 - #101
Request for Certification	<p>A short document, endorsed by the Platform Authority, that summarises the safety arguments for Certification and which references the supporting evidence.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA03 Naval Authority Rules
Responsible	<p>An individual or organisation, with appropriate authority, that is expected to deliver an output or activity. Responsibility can be delegated as long as this is formally recorded.</p> <p style="text-align: right;"><i>[DSA01.4 Master Glossary]</i></p>	DSA02 - #208
Restriction	<p>A performance limit over and above a Limitation as a result of some particular deficiency, imposed to minimise the likelihood of a Significant Failure, usually communicated through a Mandatory Requirement and/or formal amendment of a Certificate or supporting document.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA03 Naval Authority Rules
Required Certification / Certificates	<p>Applicable Certification is "Required" as agreed in the Certification Strategy.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 – #602
Risk	<p>A combination of the probability, or frequency, of occurrence of a defined hazard and the magnitude of the consequences of the occurrence.</p> <p style="text-align: right;"><i>[BS4778-3.2-1991]</i></p>	DSA02 - #201
Risk Control System (RCS)	<p>A formal management process in which specific risk areas are considered in order to ensure, so far as is reasonably practicable, that such accidents, incidents or near misses are minimised.</p> <p style="text-align: right;"><i>[DSA01.4 Master Glossary]</i></p>	DSA02 - #209

Term	Definition	Source
Risk Management	The process whereby decisions are made to accept a known or assessed risk and/or the implementation of actions to reduce the consequences or probability of occurrence. <i>[BS4778-3.2-1991]</i>	DSA02 - #608
Risk to Life (RtL)	That element of Risk of harm affecting people. <i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i>	Not Used
Safe	Freedom from unacceptable or intolerable levels of harm. <i>[DEF STAN 00-056 Part 1, Issue 7]</i>	DSA02 - #201
Safe to Operate	The collective assessment of each RCS by the accountable person (usually the Platform Authority) that specified DLOD (particularly the material state of a ship, its systems and equipment), are safe given the known DLOD and the extant knowledge of the operational requirement. See also 'Operate Safely'. <i>[DMR]</i>	DSA02 - #208
Safety	When the overall risks of harm to MOD employees, third parties, and property, are broadly acceptable or tolerable and ALARP. <i>[DMR]</i>	DSA02 - #101
Safety and Environmental Committee	A group advising Duty Holders consisting of competent stakeholders that exercises, oversees, reviews and endorses Safety and Environmental Management and safety engineering and environmental protection activities. <i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i>	Not Used
Safety and Environmental Culture	The characteristic belief, values or philosophy held by organisations, groups and individuals and expressed within a Safety and Environmental Management System. Evidence of the culture will be seen in the effort devoted to Safety and Environmental Management, the quality of the outputs or Safety and Environmental climate. <i>[DMR]</i>	DSA02 - #206
Safety and Environmental Management	The means by which organisational and management and engineering principles are applied in order to achieve safety of personnel and protection of the environment with high confidence. <i>[Adapted from the HSE and DEF STAN 00-056 Part 1, Issue 7]</i>	DSA02 - #206

Term	Definition	Source
Safety and Environmental Management System (SEMS)	<p>The organisational structure, processes, procedures and methodologies that enable the direction and control the activities necessary to meet Safety or Environmental Requirements and policy objectives.</p> <p><i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 - #203
Safety and/or Environmental Case	<p>A structured argument supported by a body of evidence that provides a compelling, comprehensible and valid case that a platform or system is safe to operate and is operated safely and environmentally sound for a given application in a given operating environment.</p> <p><i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 - #206
Safety and/or Environmental Case Report (SECR)	<p>A report that summarises the arguments and evidence of the Safety and Environmental Case and documents progress against the Safety and Environmental Management Plan.</p> <p><i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 - #301
Safety and/or Environmental Management Plan (SEMP)	<p>A document that defines the strategy for addressing safety or environmental protection and may document the Safety and Environmental Management System for a specific project.</p> <p><i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i></p>	DSA02 - #301
Safety and/or Environmental Requirement	<p>A requirement that, once met, contributes to the safety or environmental protection of the system or the evidence that the safety or environmental protection of the system is environmentally sound.</p> <p><i>[Adapted from DEF STAN 00-056 Part 1, Issue 7]</i></p>	Not Used
Safety and Readiness Check (SARC)	<p>The SARC process comprises a series of checks and controls designed to give the CO/SNO confidence and assurance that the ship and her Company are safe to proceed to the next milestone or stage of training. The process recognises the importance of safety training, organisational and administrative arrangements and equipment readiness using a simple pass or fail criteria. SARC training serials are to be conducted by all Ship's Company including Flight and embarked personnel where applicable.</p> <p><i>[BRd 9274 September 2017 Version 1]</i></p>	DSA02 - #906
Scope of Certification	<p>Used by the Naval Authority to define the extent and boundaries of a key material state hazard area.</p> <p><i>[DMR]</i></p>	DSA03 Naval Authority Rules

Term	Definition	Source
Senior Duty Holder (SDH)	<p>A person with overall responsibility for safety and environmental protection management of MOD Shipping within a Top-Level Budget (TLB), on behalf of the Secretary of State.</p> <p>The SDH shall be the TLBH or CE and empowered through a letter of appointment signed by the Perm Sec which shall be formally accepted.</p> <p><i>[Adapted from DSA01.1 and DSA01.2 Chapter 3 Duty Holding]</i></p>	DSA02 - #101
Ship	<p>A manned or unmanned maritime platform used in navigation, for example: a warship, submarine, submersible, MOD Ship, boat, novel craft, reserve or cadet vessel (unless permanently moored alongside), navigable barges operated on open water (whether powered or not), amphibious landing or riverine craft. This does not include floating jetties, cranes, docks and pontoons and other items used as part of permanent dockyard infrastructure.</p> <p><i>[DMR]</i></p>	DSA02 - #101
Ship Class	<p>A group of sister ships from within a Ship Type (NATO), built to similar design, size, role and traditionally named after first commissioned ship.</p> <p><i>[DMR]</i></p>	DSA02 - #602

Term	Definition	Source
Ship Type	<p>One of the following forms of MOD Shipping:</p> <ul style="list-style-type: none"> a. One of the Merchant ship types registered under the Merchant Shipping Act 1995 (MSA95) and chartered for benefit of the crown. They should hold a compliance statement evidencing conformance to International Maritime Organization (IMO) conventions; International Labour Organization (ILO) Maritime Labour Convention (MLC); European Union (EU). b. Government Ship types registered as UK Merchant Shipping, enacted under clauses of the Merchant Shipping Act 1995. When designated as MOD Ships, their NATO Ship classification letters, and pennant number prefix, include: Auxiliary (Axx), and Port Auxiliary (Yxx); c. Military Ship types registered exclusively as UK MOD Shipping (surface warships, submarines, novel) generally with more extensive DED than a Government Ship type but a baseline of comparable legal goals (compliance argument) to inform functional risk analysis. When designated, their NATO Ship classification letters, and pennant number prefix, include: Aircraft Carrier (CVx), Cruiser (Cx), Destroyer (Dxx), Frigate (Fxx), Inshore Patrol (Pxx), Landing/Amphibious (Lxx), Mine countermeasures (Mxx), Offshore Patrol (OPx), Submarine (SSx). 	DSA02 - #208
Standard	<p>A set of technical definitions, rules, codes or practice and guidelines that function as instructions to designers, manufacturers, operators or users of equipment. It provides a solution or generic risk control selected as being to the nature of the system and its intended use or to an activity, which will eliminate or reduce risk from one or more hazards.</p>	DSA02 - #201

Term	Definition	Source
Statutory Authority / Authorities	<p>A Regulator with authority for safety legislation, the regulation and development of that legislation and enforcement by censure on behalf of government. Statutory Authorities include:</p> <p>a. Maritime and Coastguard Agency (MCA) is the Statutory Authority for merchant shipping safety and environmental legislation under the Merchant Shipping Act (MSA);</p> <p>b. Health and Safety Executive (HSE) is the Statutory Authority for safety legislation ashore and on offshore oil rigs, under the Health and Safety at Work etc. Act, 1974;</p> <p>c. Environment Agency (EA) is the Statutory Authority for environmental protection legislation for England and Wales ashore and within territorial waters, under the Environment Act & Environmental Protection Act.</p>	Not Used
		<i>[DMR]</i>
STCW	International Convention on Standards of Training, Certification and Watchkeeping for Seafarers. Adopted by the IMO to set minimum requirements for seafarers internationally.	DSA02 - #404 and #405
Substantial Assurance	System of internal control established and operating effectively with some minor weakness [DIA - Defence Internal Audit Assurance Classifications 2014]	DSA Annual Assurance Report
System	<p>A combination, with defined boundaries, of elements that are used together in a defined operating environment to perform a given task or achieve a specific purpose. The elements may include personnel, procedures, materials, tools, products, facilities, services and/or data as appropriate.</p>	DSA02 - #203
	<i>[DEF STAN 00-056 Part 1, Issue 7]</i>	
Tolerable	A level of risk that may be tolerated when it has been demonstrated that the risk is ALARP and is not unacceptable and compliant with the Goal.	DSA02 - #703
	<i>[DMR]</i>	
Training Authority / Authorities	An organisation, or federation of organisations, responsible for the delivery and assurance of the training required to achieve the competence levels (both individual and collective) detailed in the Organisational baseline to enable the safe conduct of Defence activities.	DSA02 - #208
	<i>[DMR]</i>	

Term	Definition	Source
UK MOD Shipping Register	<p>International law requires that every merchant ship be registered in a country, called its flag state. A ship is subject to the law of its flag state. It is usual to say that the ship sails under the flag of the country of registration.</p> <p>Ship registration is the process by which a ship is documented and given the nationality of the country to which the ship has been documented. The nationality allows a ship to travel internationally as it is proof of ownership of the vessel.</p> <p style="text-align: right;"><i>[DMR]</i></p>	DSA02 - #601
Uncertified Operation	<p>If a Ship operates without Extant Certification for a Required hazard area or outside the Operating Envelope or requirements of Certification, it shall be Uncertified for that operation.</p> <p>Uncertified operation shall be reported to the Naval Authority by the Platform Authority or Duty Holders. The Naval Authority shall maintain a record of Uncertified operations and report these to the Naval Authority Certification Group.</p> <p style="text-align: right;"><i>[DSA03-DMR Naval Authority Rules for Certification of MOD Shipping, 1st May 2019]</i></p>	DSA03 Naval Authority Rules
United Kingdom (Protected) Ship	<p>Those Ships registered under the laws of a relevant British possession (including overseas possessions), visibly displaying its port of registry and a visible sign of that British territory or overseas possession, upon a defaced red ensign.</p> <p style="text-align: right;"><i>[Adapted from Merchant Shipping Act 1995]</i></p>	Not Used
United Kingdom Ship	<p>A Merchant ship, defined under the Merchant Shipping Act (MSA) 1995 which conducts International voyages (Part II of MSA 1995), visibly displaying its port of registry and a plain red ensign.</p> <p style="text-align: right;"><i>[Adapted from the Merchant Shipping Act 1995]</i></p>	DSA02 – #604
United Kingdom Small Ship	<p>A Ship type other than a fishing vessel below 12.5m or 300te, classified separately according to a Code, which meets specified goals or criteria of the MSA 1995.</p> <p style="text-align: right;"><i>[Merchant Shipping Act 1995]</i></p>	Not Used
United Nations Convention on the Law of the Sea (UNCLOS)	<p>United Nations Convention on the Law of the Sea.</p> <p style="text-align: right;"><i>[UNCLOS]</i></p>	DSA02 - #208

Term	Definition	Source
Warship	<p>A ship belonging to the armed forces of a State bearing the external marks distinguishing such ships of its nationality, under the command of an officer duly commissioned by the government of the State and whose name appears in the appropriate service list, or its equivalent, and manned by a crew which is under regular armed forces discipline.</p> <p><i>[United Nations Convention on the Law of the Sea (UNCLOS)]</i></p>	DSA02 - #211
Warships in Harbour	<p>The Warship in Harbour Regulations and Procedures that were detailed in JSP 430 Chapter 8 are superseded by DSA03-DMR NA Rules for the Control of the Explosives Risk from MOD Shipping at Berth. These are the rules to be followed by UK warships carrying explosives in the quiescent state to ensure explosives risks to third parties in the harbour environment are both tolerable and As Low as Reasonably Practicable (ALARP).</p> <p><i>[DMR]</i></p>	DSA02 - #211