



DE&S SAFETY AND ENVIRONMENTAL BULLETIN (SEB)

Serial Number: SEB/003
Issue 2

Keeping our Safety and Environmental Practitioners informed

The Management of Formally-Delegated Safety and Environmental Responsibilities in DE&S

When it takes effect:	January 2020
Valid for:	Until rescinded
Point of contact:	Ian Carter, D ES QSEP Saf-AsstHd Spruce 2C, MOD Abbey Wood #1260 Tel: 030 679 35525

Background

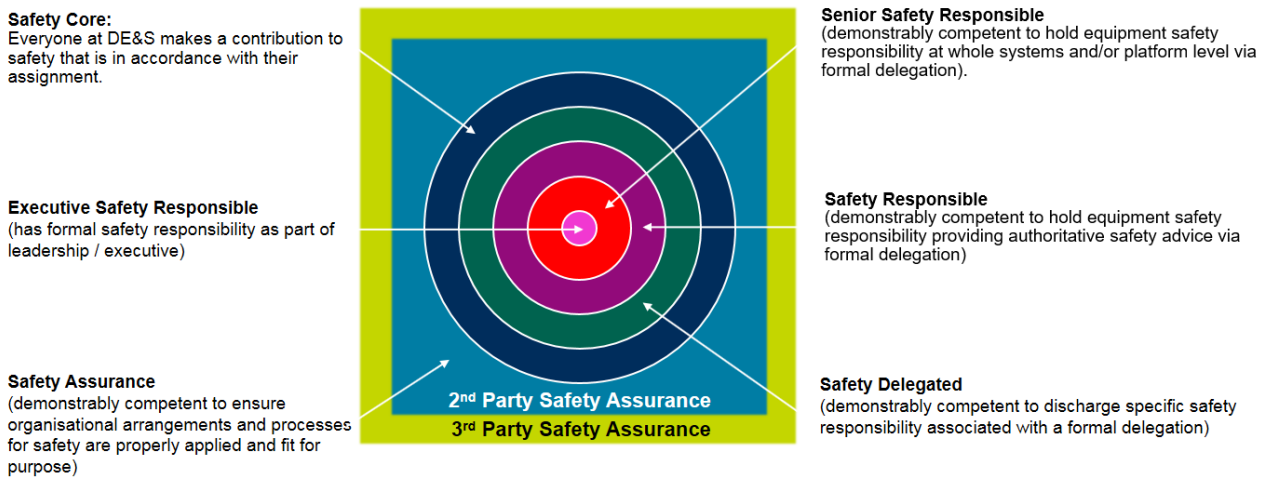
1. Within DE&S, a number of individuals have formally delegated safety and environmental responsibilities which relate to the equipment, platforms and systems that DE&S procures and supports, or to their roles as Duty Holders in accordance with extant DE&S Duty Holding policy¹. These safety and environmental delegations, which take the form of a formally-issued Letter of Delegation, define the scope of the individual’s safety and environmental responsibilities and authorise the holders to be the final DE&S signatory for key artefacts including safety and environmental case documentation, safety and environmental certificates and release-to-service documents. As safety and environmental Letters of Delegation are issued to named individuals, there would be a significant risk that activities would cease should the delegation holder no longer be able to fulfil their duties. DE&S has therefore enacted specific measures to manage assignments that require formal safety and environmental Letters of Delegation, including assessing the competence of the assignment holder and streamlining the recruitment process to minimise the time that such assignments are vacant.

2. DE&S has previously used the term ‘Safety Critical’ to describe these assignments. Work undertaken by the DE&S Acquisition Safety Project highlighted shortcomings with the application of the Safety Critical construct in DE&S, and also with the way people at all levels were made aware of their safety and environmental responsibilities, irrespective of their roles in the organisation. The project recommended the adoption of a new taxonomy against which all assignments within DE&S were mapped. This taxonomy provides greater granularity for the types of assignment previously defined as Safety Critical, and emphasises the need for individuals with safety and environmental responsibilities to be demonstrably competent against defined criteria. It also highlights the essential contribution that every member of DE&S makes towards the overall safety and environmental performance of the DE&S bespoke trading entity. This SEB defines how the taxonomy is to be applied across DE&S and describes how aspects such as competence assessment and safety and environmental delegations shall be managed. The principles defined in this SEB shall be optimised to avoid conflict with Regulatory requirements; in all cases, Regulatory requirements are to take precedent.

¹ S&EP Leaflet 09/2015 - DE&S' Contribution to Managing Risks to Life (RtL) Across MOD

Taxonomy Definition

3. The Acquisition Safety Taxonomy comprises six categories against which all assignments in DE&S may be mapped. These six categories are defined below. The majority of DE&S assignments require no formal safety and environmental delegations and hence people deployed to them, including Safety & Environmental Managers, members of the ASEP discipline and those performing certain assurance roles, will be aligned to the Safety Core category.



4. Domains may optimise the definitions to satisfy their specific organisational arrangements or to align with Regulatory requirements where necessary, but remain responsible for ensuring the taxonomy is applied consistently within their areas.

- **Executive Safety Responsible (ESR)**
Individuals deployed to ESR assignments have formal responsibility for the safety and environmental impact of platforms, systems and equipment as part of DE&S leadership or executive.
Examples of ESR assignments include:
 - DE&S Chief Executive Officer;
 - Chiefs of Materiel
 - Operating Centre Directors.
- **Senior Safety Responsible (SSR)**
Individuals deployed to SSR assignments shall be demonstrably competent to hold formal delegation for safety and environmental protection:
 - At major system and/or platform level, and/or
 - As the final signatory of specialist safety and environmental approvals which permit major systems and/or platforms to enter and/or continue in service, and/or
 - As a DE&S Operating Duty Holder.
 Examples include:
 - Safety and environmentally-competent Team Leaders and Chief Engineers for DE&S projects;
 - Type Airworthiness Authority delegation-holder in the Air Environment;
 - Platform Authority, System Design Authority or Equipment Authority (multiple platforms) in the Ships domain;
 SSR assignment holders may be delegated to:
 - provide authoritative advice to the Duty Holder;
 - be the primary and authoritative interface with the Duty Holder;
 - be the final DE&S signatory before major systems and/or platforms are released to the Duty Holder.
 - be the final signatory and approval authority for site risk assessments

- Safety Responsible (SR)

Individuals deployed to SR assignments shall be demonstrably competent to hold formal delegations for safety and environmental protection:

- At an equipment or system level and/or
- As the final signatory of specialist safety and environmental approvals for equipment and systems.
- As a DE&S Delivery Duty Holder.

Examples include:

- Safety and environmentally-competent Team Leaders, Chief Engineers and Senior Engineers for projects responsible for minor systems and equipments, or those which form part of a larger system or platform,
- Platform Chief Engineer, System or Equipment Authority (single platform) in the Ships domain;
- Engineering Authority delegation-holders in the Air Environment.
- Delivery Duty Holder for a Defence Munition site.

SR assignment holders may be delegated to:

- Represent the SSR to the Duty Holder in a limited capacity;
- Be the final DE&S signatory for those safety and environmental artefacts defined in their formal delegations;
- Make safety and environmental-related decisions within the scope of their formal delegation;
- Escalate key safety and environmental decisions outside of their delegation to the SSR;

- Safety Delegated (SD)

Individuals deployed to SD assignments shall be demonstrably competent to hold formal delegations for safety and environmental protection:

- to discharge a limited part of an SR or SSR's delegation;
- at a sub-system level and/or
- as the final signatory of safety and environmental approvals in specialist areas.

Examples include:

- safety and environmentally-competent project engineers responsible for sub-systems and equipments which form part of a larger system or platform;
- Project Engineers in the Ships domain;
- Letters of Airworthiness Authority-holders in the Air Environment.

SD assignment holders may:

- Represent the SR or SSR in a limited capacity;
- Be the final DE&S signatory for those safety and environmental artefacts defined in their formal delegations;
- Make safety and environmentally-related decisions within the scope of their formal delegation;
- Escalate key safety and environment decisions outside of their delegations to the SSR or SR;

- Safety Assurance

The DE&S governance model requires Safety Assurance to be undertaken at a number of levels, commonly referred to as 1st, 2nd and 3rd-party assurance. In general, 1st party assurance can be viewed as self-assurance activities. 2nd party assurance is provided by parts of DE&S who are independent of the area being assured, whereas 3rd party assurance is provided by organisations external to DE&S. DE&S people engaged in assurance activities may have delegations linked to their specific roles (e.g. Chairs of Ordnance Safety Review Panels or members of the Naval Authority Group), there is currently no requirement for them to have specific delegations as a result of being mapped against the Safety Assurance sector of the ASP taxonomy.

- Safety Core

All other members of DE&S who do not have formal delegations for safety and environmental protection.

The scope of this leaflet is restricted to those categories with formal delegations.

Management of SSR, SR and SD

Identification of SSR, SR and SD Assignments

5. The identification of SSR, SR and SD assignments shall be agreed between the relevant DEFM and Executive Safety Responsible who shall base their decision on an assessment against the criteria defined above. All assignments that satisfy the criteria are to be appropriately identified on the Deployment Tool. Assignment Specifications and Success Profiles are to be used to clearly define the responsibilities, duties and competence requirements of the assignment holder. These shall contain a combination of generic criteria supplemented with domain or assignment-specific material as required.

6. Individuals deployed to SSR, SR and SD assignments shall have formally delegated authority for making safety and environmental decisions. Accordingly, assignments classified as SSR, SR and SD shall:

- Be performed by individuals with formally delegated authority for doing so, AND
- Require those performing the assignment to be demonstrably competent to discharge their responsibilities, AND
- Include a requirement for a named individual to be the final DE&S signatory for safety and environmental artefacts.

Competence of Individuals deployed to SSR, SR and SD Assignments

7. Competence requirements for SSR, SR and SD delegation holders are defined in Assignment Specifications and the corresponding Success Profiles. See Annex A. These are produced to a common format. Minimum requirements for competence (in the form of training, qualifications and experience) are defined at a generic (SQEP 1) level and may be supplemented with domain-specific/assignment-specific (SQEP 2) requirements as appropriate. Individual Assignment Specifications are to be owned by the relevant DEFM.

Competence Assessments

8. All individuals deployed to SSR/SR/SD assignments shall be required to demonstrate safety and environmental competence in accordance with the requirements of their Assignment Specification. This assessment shall be undertaken prior to deployment. Where this is not possible, the individual shall be informed that continued deployment in the assignment is dependent on the outcome of the assessment. For SSR and SR assignments, the assessment of competence shall take the form of a formal interview at which all aspects may be tested to verify that appropriate levels of competence have been attained. The interview shall be conducted by an independent panel with membership established by the relevant DEFM. Mechanisms for verifying the competence of individuals deployed to SD assignments shall be established at Domain level. These may embrace previous relevant assessments of an individual's suitability to receive delegations, such as those undertaken to satisfy the requirements set out in Military Aviation Authority Regulatory Publications (MRPs).

9. The assessment panel shall categorise individuals as either:

- Fully Competent: Fully satisfies all requirements of the relevant Assignment Specification in terms of academic and professional achievement, formal training and relevant experience. For an individual to be deemed 'Competent', they must have provided sufficient evidence to demonstrate their ability to discharge the full set of responsibilities for either SSR or SR assignments and satisfied the panel that they are competent to do so. The assessment will be valid for a maximum of 5 years or move of assignment, whichever is sooner, after which there will need to be a revalidation to ensure continued demonstrable competence.
- Competent with Caveats: the individual may not be able to demonstrate full compliance with all aspects of the Assignment Specification, but their shortcomings are not sufficient to preclude them from discharging their safety and environmental responsibilities in an effective and efficient manner. For example, while individuals may not have completed essential training, the panel is able to satisfy itself via interview that the individual has an acceptable understanding of the subject

to hold a formal delegation. In such instances, the individual may be issued with a caveated delegation. The caveats, which shall be determined by the panel, may include the need for key outputs to be peer reviewed by competent individuals or for the delegation holder to complete specified training within a stated timescale. A recommended approach to improving these areas, together with appropriate timescales, should also be recorded. All caveats are to be time limited, at which point the individual's competence shall be re-assessed (either by a panel or the relevant DEFM) and a decision made on whether the caveats may be removed.

- **Not Competent:** Where it is evident that the individual has significant gaps in competence and / or knowledge and skills, this should be recorded as 'Not Competent'. Individuals assessed as Not Competent shall not be issued formal safety and environmental delegations. In such instances, the panel shall clearly record why they have reached their decision, and define the action required to achieve the required level of competence. As with 'Competent with Caveats', a recommended approach to improving capability should be recorded and an additional recommendation on how the safety and environmental aspects of the assignment should be discharged. The panel's findings are to be reported to the relevant DEFM, who shall decide how to manage the consequences (for instance, replacing the incumbent with a safety and environmentally-competent individual or requiring temporary delegations to be issued to other members of the team who can demonstrate the necessary attributes).

10. Assessments and outcomes are assignment-specific. When individuals move from one assignment to another, or when the safety or environmental responsibilities of an assignment alter significantly, a new assessment of competence should be considered.

11. Senior Leadership Group members in ESR assignments are considered to be competent to discharge their safety responsibilities in line with their letter(s) of delegation where they have been through a selection process for their specific assignment(s). They are not required to undertake any additional assessment.

Recording Outcomes.

12. Panels are to formally capture the findings of their competence assessments in writing, recording the names and tallies of the assessors, the date of the assessment, any caveats, observations or proposed corrective action, and a review date. The completed assessment is to be presented to the DEFM for endorsement. Copies of the assessment report, Letter of Delegation and the individual's acceptance letter (clearly recording any caveats) should be held in their QuEST profile. Documentation is to be entered by the relevant DEFM team.

Safety and Environmental Delegations.

13. In DE&S, general safety and environmental responsibilities are formally delegated in writing via Letters of Delegation (LODs), either as part of a broad delegation covering a range of areas such as finance or as a specific LOD for safety and environmental protection only. For SSR, SR and SD assignments, delegations shall take the form of a bespoke LOD, clearly defining the scope and extent of the delegation holder's responsibilities. They shall also reference the competence requirements defined in the relevant Assignment Specification and Success Profile, and clearly state the outcome of the competence assessment (Competent or Competent with Caveats) and any resulting limitations. Individuals assessed as Not Competent may not be issued with delegations.

14. ESR/SSR/SR/SD Letters of Delegation shall not be time-limited unless required by competence caveats, but should be reviewed on an annual basis to establish whether any factors such as scope or responsibilities have changed significantly, or when such changes occur (whichever is sooner). Where changes have occurred, these should be reflected in the associated Assignment Specification/Success Profile. It is the responsibility of the individual issuing the LOD to determine whether a further assessment of competence is required.

15. Delegations are to cascade through the Delivery Management chain but may skip levels if appropriate. For example, an SD LOD may be issued by an SSR delegation holder if there is no SR assignment (or if regulations require this approach). However, an SSR/SR/SD LOD may not be issued

by an individual who does not themselves hold an ESR/SSR/SR delegation. SSR/SR/SD assignments are not grade dependent and the individual issuing the delegation may be junior in grade to the recipient.

Safety Core

16. As the majority of assignments in DE&S are categorised as Safety Core, the safety and environmental competence requirements for individuals deployed to those assignments must be established on a case-by-case basis using mechanisms such as Success Profiles and the DE&S Competence Maps (published in [S&EP Leaflet 10/2017](#)). The minimum requirement for all people deployed to Safety Core assignments is to satisfy the baseline defined in the DE&S Safety Core Competence to ensure a base level of understanding of their individual responsibilities for acquisition safety and environmental protection. In general, those deployed to Safety Core assignments will not be required to undertake a formal, assignment-specific assessment of their safety and environmental competence. However, a significant number of people will require additional levels of competence. In the case of members of the ASEP discipline, the majority of whom will be deployed to Safety Core assignments, the requirement will be to demonstrate competence potentially up to Practitioner and Expert level in recognition of the key role they undertake in providing safety and environmental advice and assurance to SSR and SR decision makers.

Principles

17. The recent DE&S-sponsored acquisition safety study recommended four principles for aligning competence requirements to safety responsible assignments:

- Everyone in DE&S should have a core Safety Awareness competence, reflecting the need for everyone in DE&S to take ownership for safety;
- All those for formal delegations for safety should have the appropriate level of the System Safety competence
- Assignment Specifications for all assignments requiring formal safety delegations should define the specific technical discipline competence and application area knowledge for the domain in which they are taking safety responsibility (and cross-domain for some assignments); and
- Specific qualifications may be required by the regulator and require specific assessment processes.

18. The Assignment Specifications at Annex A show how these principles have been applied for SSR and SR assignments. Annex B gives an expanded set of principles to provide guidance in interpreting the policy in this leaflet.

Issued under the Authority of

James Inge

DES EngSfty-QSEP SEP TL

Annex A: SSR and SR generic Assignment Specifications

Annex B: Principles for the Management of Formally-delegated Safety & Environmental Responsibilities

GENERIC SENIOR SAFETY RESPONSIBLE ASSIGNMENT SPECIFICATION

(Areas highlighted in yellow to be adapted for Domain / Application Area specific requirements)

SSR Assignment Specification(Typical assignment titles: **Team Leader / Chief Engineer / TAA – replace YYY in document**)**SECTION 1: Assignment Overview**

Why the assignment exists?	<ul style="list-style-type: none"> The YYY has overall accountability for leading and directing the <team> to be effective and efficient in the delivery of XX that are safe to operate. This Assignment Specification relates to the SSR role only; it does not include the wider responsibilities of the YYY Assignment. This assignment specification should be read in conjunction with the relevant Letter of Delegation.
-----------------------------------	---

SECTION 2: The Individual**Role Profile**

This assignment needs to be fulfilled by an individual aligned to and competent to undertake the following role profiles:

- Engineering Manager – Professional I or above
- Individual with equivalent level of core and Engineering competence aligned to Project Manager or Logistics – Professional I or above

Specific Qualification / Registration Required for this Assignment

- Any specific regulatory certification for this assignment (e.g. Type Airworthiness Authority from Military Aviation Authority)
- Engineering Qualifications are specified in role profile (only additional items shown in here)

Professional Engineering Discipline

Discipline	Requirement
Mechanical, Electrical Power & Distribution, Software Engineering, Aero Engineering, Nuclear Engineering, Naval Architecture, Systems Engineering and Integration, Sensors and Electronic Systems	Identify Primary (Foundation), Secondary (Main Area of Expertise) and Tertiary (Useful other area of expertise) <ul style="list-style-type: none"> As appropriate to this assignment

Training Relevant to this Assignment**Essential / Desirable**

System Safety and Environmental Executive Module	Essential
System Safety in Action	Essential
System Safety Process Management	Essential
Environmental Awareness	Essential

Assignment Specific Competence**SYSTEM SAFETY & ENVIRONMENTAL**

Competence	Minimum Level
SYSSAF 1 - Compliance with MOD policy and instructions, legislation and procedures for system safety management	Practitioner
SYSSAF 2 - Complies with the principles of System Safety management	Practitioner
SYSSAF 3 - Complies with MOD requirements for System Safety Management through life, monitoring arrangements, and required documentation	Awareness
SYSSAF 4 - Adoption of a safety risk management process consistent with the level of safety risk	Practitioner

SYSSAF 5 - Applies engineering and scientific knowledge within a domain and complies with applicable specialist safety requirements, procedures and regulations	Practitioner
SYSENV 1 - Formulate Environmental Policy and Procedures	Awareness
SYSENV 2 - Implementation of policy and procedures, creation of strategies and effective plans for environmental aspects of MOD acquisition cycle	Practitioner
SYSENV 3 - Technical authority, advice and guidance on environmental issues in the acquisition cycle.	Awareness

SYSTEMS THINKING AND INTEGRATION

Area of Competence	Required Level
Systems Theory - Applying Systems Theory in Practice	Competent
Relationships - Taking account of relationships between equipment, systems and people when taking safety decisions.	Competent
Perspectives - Examining systems from multiple perspectives	Competent
Systems Thinking – Applying appropriate management styles for the safety system issue being considered	Competent

APPLICATION AREA COMPETENCE – Including Specialisms

Competence	Minimum Level
Specific Application Area Competence e.g. ME1 – Naval Architecture and Warship Engineering	Specify level – typically Practitioner in any key application area competence

Assignment Specific Experience

- Extensive experience, including operating as a manager in a complex organisation.
- Breadth of technical knowledge spanning multiple disciplines and of working in a variety of teams, operational environments, etc.
- Engineering knowledge and experience appropriate to the application area
- Knowledge of the legal and regulatory framework
- Knowledge of the industrial and business context within which the platform/systems etc. is being developed/managed.

SECTION 3 : The Activities

Typical contents shown below but needs to be edited by DFM for generic domain version

Key Activities and Tasks

- Key responsibilities and activities of the YYY assignment are defined below:
 - Insert key responsibilities here
- Additional specific responsibilities are described in the associated Letter of Safety Delegation.

Delegation/Direction/Authorisation

- The YYY assignment is subject to a formal Letter of Safety Delegation from the OC Director
- The SSR is authorised to contact Director of Domain and/or the Delivery/Operating Duty Holder directly on safety matters which he/she regards as needing their specific attention.
- The SSR is authorised to define and approve assignments that are deemed to have Safety Responsible activities, through the use of Safety Responsible Assignment Specifications.

Accountability & Authority

- The YYY is accountable to OC Director for providing and maintaining platforms that are 'safe to operate', in accordance with the regulatory requirements.

- The YYY is the FINAL signatory for the following Safety Artefacts as defined in the OC Director's O&A Statement, unless he/she directs otherwise through Safety Responsible and/or Safety Delegated Assignment Specifications:
 - INSERT LIST OF SAFETY ARTEFACTS HERE

SECTION 4 : Confirmation and Acceptance

Operating Centre Director	Individual Assigned
Name:	Name:
Comments:	Comments:
Signature:	Signature:
Date:	Date:

GENERIC SAFETY RESPONSIBLE ASSIGNMENT SPECIFICATION

(Areas highlighted in yellow to be adapted for Domain / Application Area specific requirements)

SR Assignment Specification

(Typical assignment titles: **Technical SME / ???? - replace YYY in document**)

SECTION 1: Assignment Overview	
Why the assignment exists?	<ul style="list-style-type: none"> The YYY is responsible for YYY This Assignment Specification relates to the SR role only; it does not include the wider responsibilities of the YYY Assignment. This assignment specification should be read in conjunction with the relevant Letter of Delegation.

SECTION 2: The Individual	
Role Profile	
This assignment needs to be fulfilled by an individual aligned to and competent to undertake the following role profiles:	
<ul style="list-style-type: none"> Engineering Manager – Professional II or above Individual with equivalent level of core and Engineering competence aligned to Project Manager or Logistics – Professional II or above 	

Specific Qualification / Registration Required for this Assignment
<ul style="list-style-type: none"> Any specific regulatory certification for this assignment (e.g. Type Airworthiness Authority from Military Aviation Authority) Engineering qualifications are specified in role profile (only additional items shown in here)

Professional Engineering Discipline	
Discipline	Requirement
Mechanical, Electrical Power & Distribution, Software Engineering, Aero Engineering, Nuclear Engineering, Naval Architecture, Systems Engineering and Integration, Sensors and Electronic Systems	Identify Primary (Foundation), Secondary (Main Area of Expertise) and Tertiary (Useful other area of expertise) <ul style="list-style-type: none"> As appropriate to this assignment

Training Relevant to this Assignment	Essential / Desirable
System Safety in Action	Essential
System Safety Process Management	Essential
Environmental Awareness	Essential

Assignment Specific Competence	
SYSTEM SAFETY & ENVIRONMENTAL	
Competence	Minimum Level
SYSSAF 1 - Compliance with MOD policy and instructions, legislation and procedures for system safety management	Practitioner
SYSSAF 2 - Complies with the principles of System Safety management	Practitioner
SYSSAF 3 - Complies with MOD requirements for System Safety Management through life, monitoring arrangements, and required documentation	Awareness
SYSSAF 4 - Adoption of a safety risk management process consistent with the level of safety risk	Practitioner
SYSSAF 5 - Applies engineering and scientific knowledge within a domain and complies with applicable specialist safety requirements, procedures and regulations	Practitioner

SYSENV 1 - Formulate Environmental Policy and Procedures	Awareness
SYSENV 2 - Implementation of policy and procedures, creation of strategies and effective plans for environmental aspects of MOD acquisition cycle	Practitioner
SYSENV 3 - Technical authority, advice and guidance on environmental issues in the acquisition cycle.	Awareness

SYSTEMS ENGINEERING

Competence	Minimum Level
Systems Theory - Applying Systems Theory in Practice	Competent
Relationships - Taking account of relationships between equipment, systems and people when taking safety decisions.	Competent
Perspectives - Examining systems from multiple perspectives	Competent
Systems Thinking – Applying appropriate management styles for the safety system issue being considered	Competent

APPLICATION AREA COMPETENCE – Including Specialisms

Competence	Minimum Level
Specific Application Area Competence e.g. ME1 – Naval Architecture and Warship Engineering	Specify level – typically Practitioner in any key application area competence

Assignment Specific Experience

- Extensive experience, including operating as a manager in a complex organisation.
- Breadth of technical knowledge spanning multiple disciplines and of working in a variety of teams, operational environments etc.
- Engineering knowledge and experience appropriate to the application area
- Knowledge of the legal and regulatory framework
- Knowledge of the industrial and business context within which the platform/systems etc. is being developed/managed.

SECTION 3 : The Activities

Typical contents shown below but needs to be edited by DFM for generic domain version

Key Activities and Tasks

- Key responsibilities and activities of the YYY assignment are defined below:
 - Insert key responsibilities here
- Additional specific responsibilities are described in the associated Letter of Safety Delegation.

Delegation/Direction/Authorisation

- The YYY assignment is subject to a formal Letter of Safety Delegation from the OC Director.
- The SSR is authorised to contact Director of Domain and/or the Delivery/Operating Duty Holder directly on safety matters which he/she regards as needing their specific attention.
- The SSR is authorised to define and approve assignments that are deemed to have Safety Responsible activities, through the use of Safety Responsible Assignment Specifications.

Accountability & Authority

- The YYY is accountable to OC Director for providing and maintaining platforms that are 'safe to operate', in accordance with the regulatory requirements.
- The YYY is the FINAL signatory for the following Safety Artefacts as defined in the OC Director's O&A Statement, unless he/she directs otherwise through Safety Responsible and/or Safety Delegated Assignment Specifications:
 - INSERT LIST OF SAFETY ARTEFACTS HERE

SECTION 4 : Confirmation and Acceptance	
Operating Centre Director	Individual Assigned
Name:	Name:
Comments:	Comments:
Signature:	Signature:
Date:	Date:

SAFETY GOVERNANCE PRINCIPLES

Key

Principles. High-level guiding principles.

Corollaries. Lower-level direction that flows from the guiding principles.

Provenance. Reference to the source of the preceding principles.

Justification. Explanation for the motivation of the principles.

Organizational Design Principles

Principle 1. Everyone in DE&S has a role in delivering military equipment, systems, platforms or services that are safe to operate.

Corollary 1.1. All assignments in DE&S that are not identified more specifically shall be identified as 'Safety Core'.

Principle 2. No individual shall approve or endorse a safety-related artefact unless they have been delegated authority to do so.

Organizational Design Criterion 3 from Annex E of DE&S Transformation Organizational Safety Assessment.

Corollary 2.1. Lists of safety-related artefacts subject to this principle shall be published by the Domain Engineering Functional Managers.

Corollary 2.2. Domain Engineering Functional Managers shall specify the extent to which authority to approve or endorse safety-related artefacts may be sub-delegated.

Principle 3. 'Executive Safety Responsible' assignments shall be nominated by the Chief Executive Officer to be ultimately responsible for ensuring that all military equipment, systems, platforms and services within their area of responsibility are safe to operate.

Korn Ferry Acquisition Safety Review: Formal safety responsibility as part of leadership / executive.

Principle 4. Assignments shall be identified as 'Senior Safety Responsible' when they require full authority to approve or endorse safety-related artefacts for a military equipment, system, platform or service that incorporates safety artefacts from other military equipment, systems, platforms or services.

Korn Ferry Acquisition Safety Review: Demonstrably competent to hold equipment and services safety responsibility at whole systems and/or platform level via formal delegation.

Principle 5. Assignments shall be identified as 'Safety Responsible' when they require full authority to approve or endorse safety-related artefacts for a military equipment, system, platform or service .

Korn Ferry Acquisition Safety Review: Demonstrably competent to hold equipment and services safety responsibility providing authoritative safety advice via formal delegation.

Senior Safety Responsible people will normally have responsibility for major platforms or cross-cutting systems that are fitted to multiple platforms. Safety responsible people will typically be responsible for major subsystems or equipment that forms part of these platforms. However, Safety Responsible people may also be responsible for minor platforms or independently operated equipment.

Principle 6. Assignments that require authority to discharge DE&S Operating Duty Holding responsibilities shall be identified as ‘Senior Safety Responsible’. Those that require authority to discharge DE&S Delivery Duty Holding responsibilities shall be identified as ‘Safety Responsible’

Corollary 6.1. Delegations to act as DE&S Duty Holders shall be made in accordance with SEP Leaflet 09/2015

While not part of the Acquisition Safety Taxonomy, DE&S’s Duty Holders are a key part of its safety arrangements and need to be identified and managed in the same way.

Principle 7. Assignments shall be identified as ‘Safety Delegated’ when they require limited authority to approve or endorse specific safety-related artefacts for a military equipment, system, platform or service on behalf of a Safety Responsible or Senior Safety Responsible person.

Principle 8. Assignments shall be identified as ‘Safety Assurance’ when they require authority to supply authoritative assurance advice to Duty Holders or Executive Safety Responsible, Senior Safety Responsible, Safety Responsible or Safety Delegated people that organisational arrangements and processes for safety are properly applied and fit for purpose

Principles 3-8 define the safety delivery responsibilities in the Acquisition Safety taxonomy.

Principle 9. Delegations of authority for ‘Senior Safety Responsible’ assignments shall only be issued by ‘Executive Safety Responsible’ people.

Principle 10. Delegations of authority for ‘Safety Responsible’ assignments shall only be issued by ‘Executive Safety Responsible’ or ‘Senior Safety Responsible’ people.

Principle 11. Delegations of authority for ‘Safety Delegated’ assignments shall only be issued by ‘Senior Safety Responsible’ or ‘Safety Responsible’ people.

Principles 9-11 define the organizational hierarchy of roles in the Acquisition Safety taxonomy.

Principle 12. People who are delegated safety authority shall be given the resource to discharge their responsibility.

Corollary 12.1. Delegates shall inform the delegating officer when they do not have sufficient resources to discharge their responsibilities.

Principle 13. Delegating officers shall maintain oversight of the activities of their delegates.

Corollary 13.1. Delegating officers shall have no more than 10 immediate sub-delegates, for example, one SSR may issue no more than 10 SR sub-delegations.

Organizational Design Criterion 4 from Annex E of DE&S Transformation Organizational Safety Assessment.
Korn Ferry Acquisition Safety Study: Maintain healthy safety role ratio in line with application guidance.

If a delegating officer’s span of control is larger than 10, they are unlikely to be able to provide sufficient oversight of their delegates.

Principle 14. Safety shall not be degraded through organizational change.

Corollary 14.1. Any organizational changes that impact on safety delegations shall be subject to an Organizational Safety Assessment (OSA) prior to implementation.

Organizational Design Criterion 7 from Annex E of DE&S Transformation Organizational Safety Assessment.
DSA 01.2 Chapter 7.

Corollary 14.2. Organizational Safety Assessments shall be approved, if satisfactory, by the appropriate Executive Safety Responsible person.

Corollary 14.3. Duty Holder-facing delegation holders shall ensure that Duty Holders are aware of organizational design changes.

Organizational Design Criterion 8 from Annex E of DE&S Transformation Organizational Safety Assessment.

Corollary 14.4. Delegation holders shall escalate any organizational design-related safety concerns up the delegation chain.

Organizational Design Criterion 9 from Annex E of DE&S Transformation Organizational Safety Assessment.

Delegation Management Principles**Principle 15. Delegations shall be personal.**

Corollary 15.1. Delegations shall be issued to nominated individuals, not to assignments or roles.

DE&S needs to have assurance that the actual assignment-holder is competent. The fact that someone has been assigned to a role which requires a delegation does not automatically give assurance that they are (yet) competent for the responsibilities of their predecessor.

Principle 16. Delegations shall be specific to assignments or personal roles.

Corollary 16.1. Prior assignment-specific delegations shall not be valid when the holder moves to a new assignment, unless formal review confirms the delegation remains valid for the new assignment.

Corollary 16.2. When a delegation-holder moves to a new delegation-holding assignment, their competence shall be re-assessed against the assignment specification for the new post, and a new delegation issued if appropriate.

Different assignments have different requirements for the competence and experience of the holder. Suitability to hold a safety delegation for one assignment does not automatically imply suitability for another.

Corollary 16.3. Delegations issued to individuals in a personal capacity for a specific role may continue to be valid after the holder moves assignment, if they continue to perform the delegated role.

Principle 17. Safety delegations shall be held only by Crown Servants.

Organizational Design Criterion 1 from Annex E of DE&S Transformation Organizational Safety Assessment.

Corollary 17.1. Safety delegations may not be issued to contractors, manpower substitutes, locally employed civilians, or similar.

DE&S needs to be able to demonstrate that it is able to act as the controlling mind in its safety activities.

If a contractor failed to adequately discharge a safety delegation, DE&S would not be able to hold them to account effectively. MOD internal policies only apply to contractors to the extent that they are called up in their contracts.

Principle 18. Delegations shall be held only by Suitably Qualified and Experienced Personnel.

Corollary 18.1. The delegating officer is responsible for gaining assurance that the delegate is competent and continues to be competent while the delegation is valid.

Corollary 18.2. The competence of a proposed delegate shall be assessed before their delegation is issued.

Corollary 18.3. Delegating officers shall take advice from the relevant Domain or Corporate Functional Manager on the appropriate form of competence assessment.

Organizational Design Criterion 2 from Annex E of DE&S Transformation Organizational Safety Assessment.

Corollary 18.4. Where an individual is not yet competent for the full requirements of their assignment, their delegation shall be limited to reflect the caveats on their competence assessment and shall describe any interim arrangements that must be put in place.

Corollary 18.5. Delegations shall not remain extant beyond the validity of the individual's underpinning competence assessment.

Suitability to hold a delegation must take into account the currency of the holder's competence, and the need to address any competence shortfalls within agreed timescales.