

# DE&S SAFETY AND ENVIRONMENTAL BULLETIN (SEB)

Serial Number: SEB/003  
Issue 4

*Keeping our Safety and Environmental Practitioners informed*

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

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<b>Point of contact:</b>	D ES EngSfty-QSEP SEP-Pol ATL <a href="mailto:DESEngSfty-QSEPSEP-Policy@mod.gov.uk">DESEngSfty-QSEPSEP-Policy@mod.gov.uk</a> Spruce 2C, MOD Abbey Wood #1260

### Background

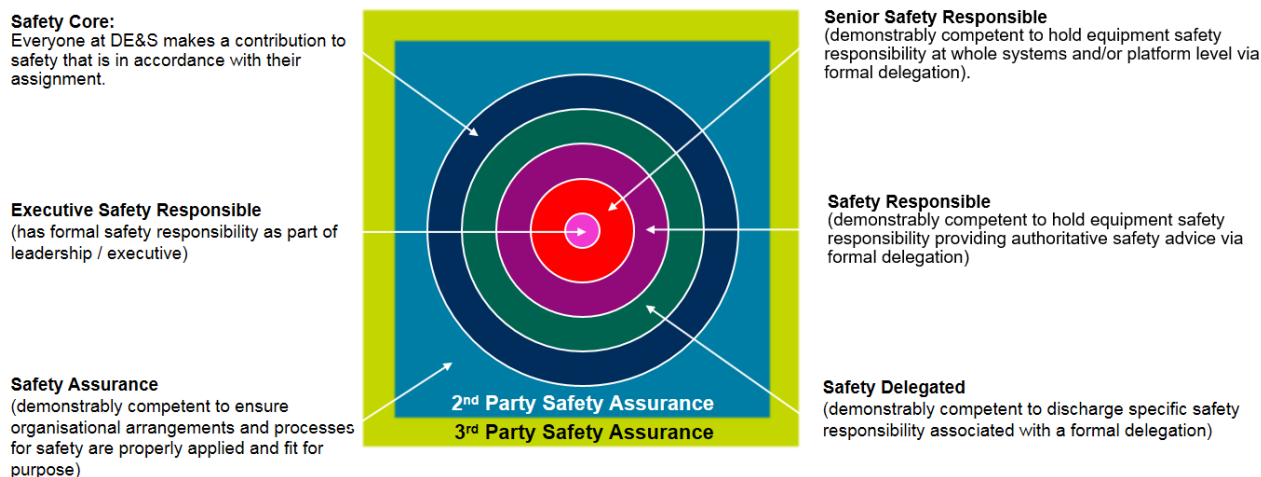
1. Within DE&S, a number of individuals have formally delegated safety and environmental responsibilities which relate to the equipment, systems and platforms that DE&S procures and supports. These safety and environmental delegations, which take the form of a formally-issued Letter of Delegation, define 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<sup>1</sup>, and 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 assignment specifications, competence assessments 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.

<sup>1</sup> Based on the initial Acquisition Safety Project findings.

## 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 1st party 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
  - As the final signatory of specialist safety and environmental approvals which permit major systems and/or platforms to enter and/or continue in service.
  - As the final signatory in the identification of all hazardous materials and restricted substances, ensuring they are recorded within the appropriate Safety and/or Environmental Case/Assessment.
 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.
- **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
- As the final signatory of specialist safety and environmental approvals for equipment and systems.

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.

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
- 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 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup>-party assurance. In general, 1<sup>st</sup> party assurance can be viewed as self-assurance activities. 2<sup>nd</sup> party assurance is provided by parts of DE&S who are independent of the area being assured, whereas 3<sup>rd</sup> party assurance is provided by organisations external to DE&S. Whilst 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.

## **Platform Primacy**

5. Safety at a Platform level relies on the safe integration of multiple, and sometimes complex, systems, sub-systems and equipments. Each of these elements may be the subject of individual safety assessments

and safety case reports which provide the evidence required by the Platform SSR to achieve safe integration, resulting in a platform that is acceptably safe within its defined scope of operations. At times, Platform SSRs therefore rely on advice, evidence and data generated by parts of the organisation outside of their direct command. This advice may sometimes relate to areas of a specialist nature, in which the Platform Delivery Team is unlikely to have the expertise necessary to assess its validity. In such cases, the Platform SSR must satisfy themselves that the organisations providing the data are operating within a safety management system that is suitably robust to generate outputs that accurately demonstrate the safety of their products. Importantly, all such inputs shall be authorised by an individual in possession of a formal letter of safety delegation.

6. In addition, the Platform SSR delegation holder has a broader perspective of safety, providing them with the opportunity to produce safety arguments at a major system or Platform level to demonstrate that risks have been adequately controlled. Potentially, there may be instances where Platform's SSR adopt additional and/or different risk control measures to those recommended in system, sub-system or equipment safety cases, in order to achieve a lower overall risk at the Platform level. Where this happens, the Platform SSR shall fully document their decision and ensure the system/sub-system SSR/SRs are informed. The above principles may also apply to major systems where there is no Platform (so-called "Systems Primacy").

7. The relationship between Platforms, systems, sub-systems and equipments shall be captured in all stakeholders' SEMP's which clearly defines a risk reporting hierarchy. This may include establishing a hierarchy between different Platform SSRs where one Platform SSR reports to another Platform SSR (eg aircraft operating on Naval vessels). The hierarchy must define the DE&S interface with the FLC DH to be used, for example, when risks which DE&S are unable to mitigate further are referred to the FLC Duty Holder. In such cases, the interface should be at the Platform SSR level, even when the risk relates to a system, sub-system or equipment fitted on the platform.

## **Management of SSR, SR and SD**

### **Identification of SSR, SR and SD Assignments**

8. The identification of SSR, SR and SD assignments shall be agreed by the relevant Principal Engineer or Head of Engineering Assurance 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 by the relevant DFM. 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 and/or assignment-specific material as required.

9. 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**

10. Competence requirements for SSR, SR and SD delegation holders are defined in Success Profiles and the corresponding Assignment Specifications - 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 DFM.

### **Competence Assessments**

11. 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, and a less formal assessment has been performed that establishes the individual is deemed likely to be deemed competent when formally assessed, the individual shall be informed that continued deployment in the assignment is

dependent on the outcome of that formal 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 and agreed with the relevant Principal Engineer<sup>2</sup>. Mechanisms for verifying the competence of individuals deployed to SD assignments shall be established at Domain level but must include a face-to-face element and not just rely on a review of written evidence. 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), may support, or be used in lieu of, the formal competence assessment process.

12. The assessment panel shall categorise individuals as either:

- **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<sup>2</sup>) 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<sup>2</sup>, who shall, in consultation with the relevant SSR, 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).

13. 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.

14. 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. For individuals assigned to ESR assignments on TAHL (Temporary Assignment to a Higher Level), the delegating ESR must assure themselves that the individual is deemed competent to hold a safety delegation and that an audit trail is in place which supports that decision. Requirements associated with ESR responsibilities shall be captured in the 'Optional Fields for Completion' of the relevant 'Senior Leadership Group - Additional Information for Success Profiles' document.

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<sup>2</sup> The responsibilities of the DEFM and Principal Engineer may change due to the introduction of Head of Engineering Assurance roles.

## **Recording Outcomes.**

15. 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<sup>2</sup> 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.**

16. 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, and listing Platforms, Systems, sub-systems and equipments which are within scope of the delegation. They shall also reference the relevant Assignment Specification and Success Profile, and clearly state the outcome of the competence assessment (Competent or Competent with Caveats) and any resulting caveats and limitations. Individuals assessed as Not Competent may not be issued with delegations.

17. SSR/SR/SD Letters of Delegation shall not be time-limited unless required by competence caveats. They should be subject to regular review to establish whether any factors such as scope or responsibilities, or the individual's suitability to hold a formal delegation, have changed significantly. As a minimum, delegations shall be reviewed on an annual basis, or when such changes to scope, responsibilities or suitability 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.

18. Delegations are to cascade through the Delivery Management chain but may skip levels if appropriate. ESRs will receive their delegation from the CEO. Only ESRs and SSRs may sub-delegate. SSRs are to receive their delegations from ESRs. SSRs may delegate to SRs or SDs. SSR/SR/SD assignments are not dependent on seniority and the individual issuing the delegation may be at a level below that of the recipient.

## **Safety Core**

19. 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 ESR, SSR, SR and SD decision makers.

## **Principles**

20. The 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 with formal delegations for safety and environmental protection should have the appropriate level of the System Safety and environmental protection 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.

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

*Issued under the Authority of*

**Paul Reason**

DES EngSfty-QSEP SEP TL

Annex A: SSR, SR and SD 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

<b>Why the assignment exists?</b>	<ul style="list-style-type: none"> <li>The [YYY][YYY] has overall accountability for leading and directing the &lt;team&gt; to be effective and efficient in the delivery of XX that are safe to operate.</li> <li>This Assignment Specification relates to the SSR role only; it does not include the wider responsibilities of the [YYY][YYY] Assignment.</li> <li>This assignment specification should be read in conjunction with the relevant Letter of Delegation.</li> </ul>
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#### SECTION 2: The Individual

##### Success Profile

This assignment needs to be fulfilled by an individual aligned to and competent to undertake the following success 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"> <li>As appropriate to this assignment</li> </ul>

##### Training Relevant 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	Supervised Practitioner
SYSSAF 2 - Complies with the principles of System Safety management	Supervised 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	Supervised Practitioner



SYSSAF 5 - Applies engineering and scientific knowledge within a domain and complies with applicable specialist safety requirements, procedures and regulations	Supervised 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	Supervised 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][[YYY]] assignment are defined below:
  - Insert key responsibilities here
- SSR responsibilities to include ensuring the identification and recording of all hazardous materials and restricted substances within the Platforms, Systems and Equipment and record within the appropriate Safety and/or Environmental Cases/Assessment. If required promulgating any associated risks to human health and the environment to the appropriate Duty Holder and supporting maintenance organisations.
- SSR should be aware that if elimination activity is planned to use a less or non-hazardous alternatives, JSP 515 Part 2 Para 5.4 states that “To prevent the inadvertent reintroduction of Hazardous Materials into service, DTs must ensure part numbers are revised when replacing a Hazardous Materials spare with a non-Hazardous Material alternative, this must be completed at the earliest opportunity.”
- Additional specific responsibilities are described in the associated Letter of Safety Delegation.

#### Delegation/Direction/Authorisation

- The [YYY][[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 or Safety Delegated activities, through the use of appropriate 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	
<b>Why the assignment exists?</b>	<ul style="list-style-type: none"> <li>The [YYY] is responsible for [YYY]</li> <li>This Assignment Specification relates to the SR role only; it does not include the wider responsibilities of the [YYY] Assignment.</li> <li>This assignment specification should be read in conjunction with the relevant Letter of Delegation.</li> </ul>

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

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

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"> <li>As appropriate to this assignment</li> </ul>

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	Supervised Practitioner
SYSSAF 2 - Complies with the principles of System Safety management	Supervised 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	Supervised Practitioner
SYSSAF 5 - Applies engineering and scientific knowledge within a domain and complies with applicable specialist safety requirements, procedures and regulations	Supervised 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	Supervised 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 [SSR].
- The SR is authorised to contact SSR directly on safety matters which he/she regards as needing their specific attention.

#### Accountability & Authority

- The [YYY] is accountable to [SSR] for providing and maintaining equipments that are 'safe to operate', in accordance with the regulatory requirements.
- The [YYY] is accountable to SSR for safety recommendations detailed within the Letter of Safety Delegation.
- The [YYY] is the FINAL signatory for the following Safety Artefacts as defined in the [OC Director]'s O&A Statement:
  - INSERT LIST OF SAFETY ARTEFACTS HERE

### SECTION 4 : Confirmation and Acceptance

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

## GENERIC SAFETY DELEGATED ASSIGNMENT SPECIFICATION

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

### SD 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"> <li>The [YYY] is responsible for [YYY]</li> <li>This assignment specification should be read in conjunction with the relevant Letter of Delegation.</li> </ul>

SECTION 2: The Individual
Success Profile
<p>This assignment needs to be fulfilled by a subject matter expert working in a safety-related field. The individual shall be competent to undertake one of a range of engineering success profiles at Level 2 or above, including Engineering Manager.</p> <p style="color: red;">This assignment needs to be fulfilled by an individual aligned to and competent to undertake the Level x Engineering Manager success profile.</p>

Specific Qualification / Registration Required for this Assignment
<ul style="list-style-type: none"> <li>Any specific regulatory endorsement for this assignment (e.g. Type Airworthiness Authority from Military Aviation Authority)</li> <li>Qualifications, Registrations and generic competence requirements are specified in the Level x Engineering Manager Role Profile.</li> </ul>

Professional Engineering Discipline	
Discipline (delete as appropriate)	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) - As appropriate to this assignment

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

Assignment Specific Competence	
SYSTEM SAFETY & ENVIRONMENTAL	
Competence	Minimum Level
SYSSAF 1 - Compliance with MOD policy and instructions, legislation and procedures for system safety management	Awareness
SYSSAF 2 - Complies with the principles of System Safety management	Awareness
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	Awareness
SYSSAF 5 - Applies engineering and scientific knowledge within a domain and complies with applicable specialist safety requirements, procedures and regulations	Awareness
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	Awareness

SYSENV 3 - Technical authority, advice and guidance on environmental issues in the acquisition cycle.	Awareness
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### 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

- Engineering knowledge and experience appropriate to the application area
- Knowledge of the legal and regulatory framework

### 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 [YYY]
- The SD is authorised to make key safety recommendations in line with the Letter of Safety Delegation.

#### Accountability & Authority

- The [YYY] is accountable to SR/SSR for safety recommendations detailed within the Letter of Safety Delegation.
- The [YYY] is the FINAL signatory for the following Safety Artefacts as defined in the [OC Director]'s O&A Statement:
  - 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 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 7. 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 8. Delegations of authority for ‘Senior Safety Responsible’ assignments shall only be issued by ‘Executive Safety Responsible’ people.**

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

**Principle 10. 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 11. People who are delegated safety authority shall be given the resource to discharge their responsibility.**

Corollary 11.1. Delegates shall inform the delegating officer when they do not have sufficient resources to discharge their responsibilities.

**Principle 12. Delegating officers shall maintain oversight of the activities of their delegates.**

Corollary 12.1. 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 13. Safety shall not be degraded through organizational change.**

Corollary 13.1. 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 13.2. Organizational Safety Assessments shall be approved, if satisfactory, by the appropriate Executive Safety Responsible person.

Corollary 13.3. 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 13.4. 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 14. Delegations shall be personal.

Corollary 14.1. 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 15. Delegations shall be specific to assignments or personal roles.

Corollary 15.1. 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 15.2. 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 15.3. 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 16. Safety delegations shall be held only by Crown Servants.

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

Corollary 16.1. 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 17. Delegations shall be held only by Suitably Qualified and Experienced Personnel.

Corollary 17.1. The delegating officer is responsible for gaining assurance that the delegate is competent and continues to be competent while the delegation is valid.

Corollary 17.2. The competence of a proposed delegate shall be assessed before their delegation is issued.

Corollary 17.3. 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 17.4. 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 17.5. 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.