DE&S SAFETY AND ENVIRONMENTAL PROTECTION LEAFLET 17/2023

DELEGATED ACQUISITION SAFETY RESPONSIBILITIES IN DE&S		
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1. Introduction

1.1. Within DE&S, a number of individuals have formally delegated safety responsibilities which relate to the equipment, systems, and platforms that DE&S procures and supports. These safety delegations, which take the form of a formally issued Letter of Delegation, define the scope of the individual's safety delegations, and authorise the holders to be the final DE&S signatory for key artefacts including safety case documentation, safety certificates and release-to-service documents. As safety 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 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. Taxonomy

2.1. The Acquisition Safety Taxonomy comprises nine categories against which all assignments in DE&S may be mapped. These categories are defined in Figure 1 below. The majority of DE&S assignments require no formal safety delegations and hence people deployed to them will be aligned to the Safety Core (SC) category.

2.2. See Annex A – Taxonomy Definitions and Guidance which provides further guidance.

Safety Assurance – 1st Line of Defence
(the dotted circular line represents assurance activities of the Domain organisational arrangements and processes)
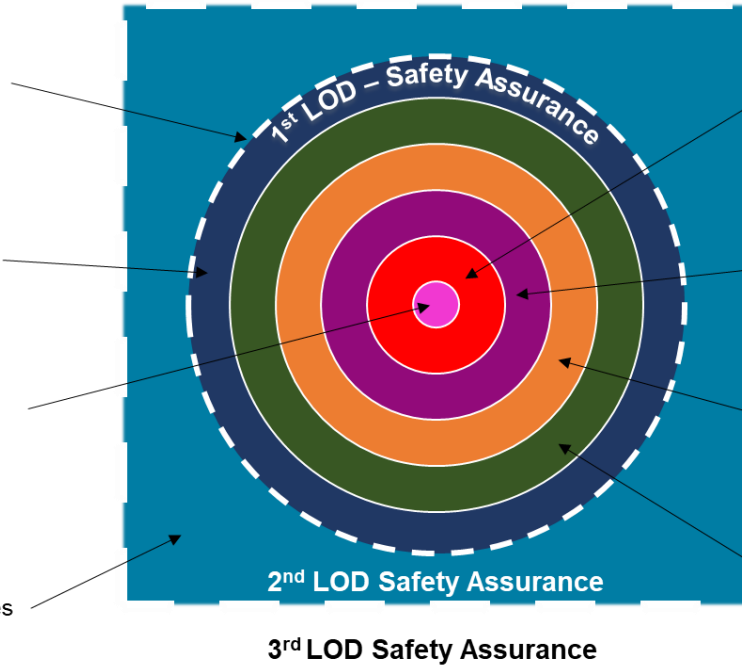
Safety Core (SC)
(everyone at DE&S makes a contribution to safety)

Executive Safety Responsible (ESR)
(has formal safety responsibility as part of leadership / executive)

Safety Assurance – 2nd Line of Defence
(demonstrably competent to assure organisational arrangements and processes for safety are properly applied and fit for purpose)

Senior Safety Responsible (SSR)
(demonstrably competent to hold equipment safety responsibility at whole systems and/or platform level via formal delegation).

Safety Responsible (SR)
(demonstrably competent to hold equipment safety responsibility providing authoritative safety advice via formal delegation)

Safety Delegated (SD)
(demonstrably competent to discharge specific safety responsibility associated with a formal delegation)

Safety Manager (SM)
(demonstrably competent to perform safety management responsibilities associated with a formal Letter of Appointment (LoA))

1st LOD – Safety Assurance

2nd LOD Safety Assurance

3rd LOD Safety Assurance

Figure 1: Taxonomy of Safety Responsibility

3. Rules

3.1. The following Rules are to be followed to the satisfaction of the ESR and Director Engineering Safety.

Key:

Rule – Organisational Rule
Guidance – Lower-level direction that flows from the Rule
Reference – The source of the preceding Rule / further guidance
Justification – Explanation for the motive of the Rule

Identification of Formally Delegated Individuals

Rule 1 – The SSR shall be the primary safety interface to the respective Duty Holders (DHs)[1] (or equivalent) which shall be documented within the relevant Safety and Environmental Management Plan (SEMP)
Guidance – SSR/DH interfaces will be identified and documented along with responsibilities, resources and interfaces with MOD, contractor, and specialist advisors as per ASEMS. This will be aligned to the DH construct.
References – ASEMS SMP03 – Safety Planning. See also ASEMS SMP01 – Project Safety Initiation for identification of Stakeholders. Definitions and guidance on the Safety Taxonomy - Annex A – Taxonomy Definitions and Guidance
Justification – Essential to define DE&S responsibilities aligned to DH Accountability.

Rule 2 – Independence between SSR and Delivery Team Leader Responsibilities shall be demonstrated.
Guidance – The two acceptable means of compliance: • The accepted method for demonstrating independence is to assign delivery/TL responsibilities and safety responsibilities to different people. • By exception, with appropriate mitigation, the delivery and safety roles may be assigned to the same person. This will be **authorised by the SEMS owner** (by issuing a delegation) with arrangements and safeguards to mitigate potential conflicts of interest documented in the SEMP. S&EP Leaflet 03/2011 provides further information on escalation/referral mechanisms within the delegation construct.
References HS&EP Operating Model Section 5.1 Engagement with Internal Stakeholders and Section 3 – Performance, Risk and Assurance Figure 5
Justification – Within DE&S there is a need to consider safety as an equal to the programme, which is also detailed as a requirement within the HS&EP Operating Model. Therefore, it is essential to demonstrate and document independence between the SSR and Delivery Team Leader Responsibilities.

Rule 3 – Safety Manager (SM) assignments shall be fulfilled by an individual who demonstrably meets the Safety Engineer Success Profile
Guidance – Illustrative assignments are captured in the relevant Engineering Success Profile and responsibilities for the Safety Manager captured in the individuals Assignment Specification.
References – Annex D – Assignment Specification Templates, – Engineering Success Profiles
Justification – Essential to demonstrate the SM competence and maintain separation between SM responsibility for process rigor and the SSR responsibility for safety decision.

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[1] Prior to in-service use and the appointment of a DH, the Senior Responsible Owner (SRO) is accountable for risk to life. The SRO shall therefore be engaged where the DH is not established.

Rule 4 – SSR Assessment Panels shall be conducted by individuals nominated by the ESR
Guidance – It is likely that this will be the Head Engineering Assurance (HEA) or Principal Engineer but may be pertinent that other qualified Engineers with appropriate SQEP may be nominated by the ESR, specifically to address cross Operating Centre/Technical Discipline responsibilities (OME etc.). ESRs will ensure that the panel consists of a minimum of two individuals. The panel chair will be at least one level higher than the interviewee. The panel must include SME from the relevant domain and have demonstrable experience in an SSR role.
References – Engineering Success Profiles,   – Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet   – Annex F – ASP Guidance Artefacts for Assignment Holders and Assessors
Justification – Need to ensure that the SSRs are demonstrably competent.

Rule 5 – SR/SD Assessment Panels/Assessment shall be conducted by the SSR or individuals nominated by the SSR
Guidance – The SSR may require support from; the Head Engineering Assurance (HEA), Principal Engineer or other pertinent qualified Engineers with appropriate SQEP. Note: the SR will be at the Systems/Equipment layer supporting the Platform SSR so the pertinent qualified Engineer assessor may be required to address the cross Operating Centre/Technical Discipline responsibilities (OME etc).
References – Engineering Success Profiles,   – Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet   – Annex F – ASP Guidance Artefacts for Assignment Holders and Assessors
Justification – Need to ensure that the SR/SDs are demonstrably competent.

Rule 6 – The SSR/SR/SD/SM shall ensure their assignments and competency assessment evidence including caveats are recorded in MyHR
Guidance – Scope and responsibilities of delegations will be captured in the relevant SEMP. The delegations and caveats to be recorded via MyHR. Assessments 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 as an auditable declared record. The assessment shall categorise individuals as either Competent, Competent with Caveat(s) or Not Yet Competent. Assessments will note whether caveats are minor or major. The assessor will consider that if the individual being assessed has gaps associated with completing all relevant training but has demonstrably competence/experience in these areas then this can be considered a "minor" caveat (each training gap is to be considered in isolation). An accumulation of "minor" caveats (i.e., above 2) will be considered as a "major" caveat. All other caveats are to be considered "major".
References – ASEMS SMP03 – Safety Planning,   – Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet   – Annex F – ASP Guidance Artefacts for Assignment Holders and Assessors
Justification – MyHR is the corporate reporting tool that feeds the DE&S Safety Dashboard for ASP Laydown and caveats.

Rule 7 – Any movement within the first three years of an individual in an SSR/SR Assignment shall be subject to approval by the ESR and Dir Eng & Safety
Guidance – Individuals will be automatically exempt from staffing trawls/ alternative posting without agreement of ESR and Dir Eng & Safety.
Reference – Corporate Engineering Function Management (CEFM) to define succession planning process.
Justification – Continuity is required for these assignments.

Rule 8 – Any organisational changes that impact on safety delegations shall be subject to an Organisational Safety Assessment (OSA) prior to implementation and shall be approved by the ESR

Guidance – OSA shall be conducted, in consultation with the relevant HEAs and the Domain Engineering Function Manager (DEFM), in support of the Domain ASP laydown. Engagement with CEFM and QSEP to support the Domain OSA may be required.

Reference – JSP 815 Part 1: Defence Safety Management System (SMS) Framework - E2 Organisation and Dependencies [1]

Justification – Requirement to consider organisation safety changes.

Rule 9 – ESR/SSR/SR/SD assignments shall be held by Crown Servants

Guidance – Safety delegations may not be issued to contractors, locally employed civilians, or similar.

Reference – JSP 815 Part 1 – Defence Safety Management System Framework [1]

Justification – 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.

Competence of Formally Delegated Individuals

Rule 10 – The SSR individual shall be at least at Professional I (Level 4) as a minimum

Guidance – Definitions and guidance on the Safety Taxonomy given in Annex A will be followed. The SSR is not required to be a member of the Engineering function, but the training requirements of each formally delegated individual as defined in Annex B will be demonstrated. Engineering Success Profiles capture illustrative Assignments and typical Experience, Qualifications, and Experience of Engineers. A waiver may be granted on agreement of ESR and Dir Eng and Safety to allow Professional II (Level 3) to hold a SSR position.

References – Annex A – Taxonomy Definitions and Guidance,
– Annex B – Training / Competence Maps,
– Engineering Success Profiles,
– Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet,
– Annex F – ASP Guidance Artefacts for Assignment Holders and Assessors

Justification – Ensures a common approach is taken across the Domains and supports succession planning. The complexity of the SSR role demands the assignment is filled with an individual with appropriate SQEP. See Rule for details on waiver requests.

Rule 11 – SSR individual shall hold Chartered Engineer Status

Guidance – Definitions and guidance on the Safety Taxonomy given in Annex A will be followed. The SSR is not required to be a member of the Engineering function, but the training requirements of each formally delegated individual as defined in Annex B will be demonstrated. Engineering Success Profiles capture illustrative Assignments and typical Experience, Qualifications and Experience of Engineers. A waiver may be granted on agreement of ESR and Dir Eng and Safety to allow SSR role to be held to an individual that does not hold Chartered Engineer status.

References – Annex A – Taxonomy Definitions and Guidance,
– Annex B – Training / Competence Maps,
– Engineering Success Profiles,
– Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet

Justification – The complexity of the SSR role demands the assignment is filled with an individual with appropriate SQEP. See Rule for details on waiver requests.

Rule 12 – SR/SD individual shall hold as a minimum Incorporated Engineer status
Guidance – Definitions and guidance on the Safety Taxonomy given in Annex A will be followed. The SR/SD is not required to be a member of the Engineering function, but the training requirements of each formally delegated individual as defined in Annex B will be demonstrated. Engineering Success Profiles capture illustrative Assignments and typical Experience, Qualifications and Experience of Engineers. A waiver may be granted on agreement of ESR and Dir Eng and Safety to allow SR/SD role to be held to an individual that does not hold incorporated engineer status as a minimum.
References – Annex A – Taxonomy Definitions and Guidance, – Annex B – Training / Competence Maps, – Engineering Success Profiles, – Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet
Justification – The complexity of the SR/SD role demands the assignment is filled with an individual with appropriate SQEP. See Rule for details on waiver requests.

Rule 13 – Individuals deployed to any safety delegated assignments shall be demonstrably competent to hold a formal delegation for safety
Guidance – Training requirements of each formally delegated individual as defined in Annex B will be demonstrated. Engineering Success Profiles capture illustrative Assignments and typical Experience, Qualifications and Experience of Engineers. The delegating officer is responsible for gaining assurance that the delegate is competent and continues to be competent while the delegation is valid.
References – Annex B – Training / Competence Maps, – Engineering Success Profiles, – Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet – Annex F – ASP Guidance Artefacts for Assignment Holders and Assessors
Justification – Cornerstone to the ASP laydown and the requirement to demonstrate DE&S have competent SQEP individuals holding specific responsibilities.

Rule 14 - The completed assessment shall be presented to the ESR/SSR dependant on the delegation level for endorsement. Copies of the assessment report, Letter of Delegation/Responsibility, and the individual's acceptance (clearly recording any caveats) should be held in their MyHR
Guidance – Assignment Specifications and the Letter of Delegation/Responsibility will capture the required level of competence, competence achieved and any caveats. Formal signature of these documents from both the assessor and formally delegated individual will provide a formal record of acceptance. The process of recording findings of competence assessments will be captured in the relevant Domain Safety Document, ideally a common process will be adopted across all domains.
References – Annex C – Letter of Delegation/Responsibilities Template, – Annex D – Assignment Specification Templates, – ASEMS SMP03 – Safety Planning, – Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet – Annex G – ASP Safety Delegation (SSR/SR/SD) Handover Checklist
Justification – MyHR is the corporate reporting tool that feeds the DE&S Safety Dashboard for ASP Laydown and caveats.

Responsibilities

Rule 15 – Assignment Specification and Letter of Delegation/Responsibility shall be issued to a named individual and shall define the scope of safety responsibilities and with final sign off of specified artefacts
Guidance – Responsibilities and scope of LoD holders will be captured within project / team SEMP. It is recommended that domains set up a system approving authority construct to manage interfaces between Equipment/Systems and Platforms. Delegations are to be issued to nominated individuals, not to assignments or roles. Letter of Appointment applies to Safety Manager Assignment only, and does not allow final signatory of safety artefacts (only signs to demonstrate compliance to process).
References – Annex C – Letter of Delegation/Responsibilities Template,   – Annex D – Assignment Specification Templates,   – ASEMS SMP03 – Safety Planning
Justification – To remove any ambiguity between roles, responsibilities, and associated scopes.

Rule 16 – SSR/SR shall issue a Letter of Appointment (LoA) to the Safety Manager (or to the Service Provider). This letter will not grant final signatory or decision-making responsibility, but will demonstrate competence in providing Subject Matter Expert (SME) advice/guidance to the SSR/SR/SD that the appropriate safety policy and process have been applied and can be demonstrated
Guidance – The Safety Manager as per the Assignment Specification is responsible for ensuring process, policy and appropriate safety tools and techniques are applied. SSR is to be considered to be at a Platform Level and would issue the LoA to the Platform SM, and the SR is to be considered to be at a System/Equipment Level and would issue the LoA to the System/Equipment SM.   Where the resource is provided through Internal Technical Services (the Service Provider), the Assistant Head Safety (DES EngSfty-EG-ITSSED AstHd-Sfty) will accept the Letter of Appointment as the responsible Service Provider against a defined activity-based scope. Through this responsibility, the Service Provider will provide assurance to the SSR of the competence and suitability of the supplied capacity to fulfil the scope of activity.
References – Annex C – Letter of Delegation/Responsibilities Template,   – Annex D – Assignment Specification Templates,   – Engineering Success Profiles
Justification – There is a need to recognise the Safety Manager is key to providing support to the SSR/SR/SD and safety decision making. The Safety Manager must be able to provide the SSR with assurance the appropriate tools/process have been applied, and the LoA is to recognise this close dependency between the SSR and Safety Manager.

Rule 17 – Delegations shall only remain valid whilst the individual is fulfilling the specific assignment/role they were assessed against. If the holder moves to a new assignment/role, the delegation will lapse unless formal review confirms the delegation remains valid for the new assignment/role
Guidance – When a delegation holder moves to a new delegation holding assignment, their competence will be reassessed against the assignment specification for the new assignment, and a new delegation issued if appropriate in accordance with the ASP laydown in the relevant SEMP. It may be an individual is requested to retain a delegated responsibility whilst recruitment activities are ongoing or alternatively another delegation holder may be asked to provide cover if appropriate.
References – Annex C – Letter of Delegation/Responsibilities Template,   – Annex D – Assignment Specification Templates,   – ASEMS SMP03 – Safety Planning,   – Annex G – ASP Safety Delegation (SSR/SR/SD) Handover Checklist
Justification – Recognition that LoD are specific to an individual performing safety assignment against a prescribed scope.

Rule 18 – If an individual issuing the Letter of Delegations leaves an assignment, interim arrangements shall be put in place by the higher-level delegation holder in order to maintain the delegation chain
Guidance – These interim arrangements could include identifying an alternative delegation holder or issuing an interim delegation from the higher-level delegation holder.
References – Annex C – Letter of Delegation/Responsibilities Template,   – Annex D – Assignment Specification Templates,   – ASEMS SMP03 – Safety Planning,   – Annex G – ASP Safety Delegation (SSR/SR/SD) Handover Checklist
Justification – Aligns with MAA regulation 1003 and provides some level of flexibility to domains.

Risk Identification/Assessment

Rule 19 – Platform SSRs are responsible for the safe integration of Systems or Equipment into their platform
Guidance – DE&S Delivery Teams (DTs) determine the levels of risk presented by the PSS which they manage through the application of formal risk identification and assessment. The essential requirement (for safety risk) is to recommend to the DH that the level of risk is As Low As Reasonably Practicable (ALARP) and tolerable, and establish the levels of residual risk within the Scope of their responsibilities as defined in their LoD/LoA and Assignment Specification. An equivalent level of residual risk for environmental protection will be met, ensuring that any significant environmental impacts are prevented or minimised.
References – Annex C – Letter of Delegation/Responsibilities Template,   – Annex D – Assignment Specification Templates,   – ASEMS SMP09 – Risk Acceptance
Justification – To ensure the Platform primacy approach, it is the responsibility of the Platform SSR to present a safety recommendation to the DH. The Platform SSR must therefore provide assurance that the Systems/Equipment have been safely integrated into the Platform to provide the desired operating capability. To note, the main thinking behind Generic Soldier Architecture (GSA), (was considering the soldier as a platform), the GSA was aimed at assessing the safe integration of systems or equipment onto the platform/soldier. A networked system will integrate to a platform somewhere, and the assumption is the responsibilities lays with the platform to assess intrinsic and functional safety. For example, firing a weapon may be dependent on the target data set provided via a comms network, someone needs to make sure the data is not corrupted prior to firing.

Rule 20 – The Platform SSR shall satisfy themselves that the organisations providing the Products, Systems and Services (PSS) are operating within a robust safety management system that is suitably robust to generate outputs that accurately demonstrate the safety of their products. Importantly, all such inputs shall be assessed/endorsed by an individual in possession of a formal Letter of Safety Delegation
Guidance – This shall apply across all the organisational layers providing the PSS. System and equipment Layers supporting the Platform Layer should similarly satisfy themselves that robust safety management systems are in place. This shall include Industry who are expected to comply with DefStan 00-056 and provide demonstrable evidence of compliance, when requested by the Authority/Representative.
References – Annex C – Letter of Delegation/Responsibilities Template,   – ASEMS SMP10 – Safety Requirements and Contracts
Justification – This is creating the build-up of supporting safety evidence underpinning the Safety Case/Assessment.

Rule 21 – Project Safety and Environmental Committees shall be Quorate in order to make safety decisions iaw ASEMS and the relevant SEMP
Guidance – The Quorum will include (but not limited to) individuals in safety delegated assignments including a Safety Manager.
Reference – ASEMS SMP02 – Safety Committee
Justification – To reinforce the requirement for SSR/SR/SD and SM as part of the Quorate to be in attendance at a Safety Committee reflecting their different roles and responsibilities.

4.   Authorisation

Issued under the Authority of

John Allan DES EngSfty-QSEP Hd

Acronyms / Abbreviations / Definitions

ALARP	As Low As Reasonably Practicable
AS	Assignment Specification
ASEMS	Acquisition Safety and Environmental Management System
ASP	Acquisition Safety Project
CEFM	Corporate Engineering Function Management
DE&S	Defence Equipment and Support
DEFM	Domain Engineering Function Manager
Dir Eng and Safety	Director Engineering and Safety
DT	Delivery Team
Duty Holders	Duty Holders (DH) have a personal level duty of care for the personnel under their command; those who, by virtue of their activities, come within an DH's Area of Responsibility (AoR); and the wider public who may be affected by their operations. They are thus legally accountable for the safe operation of systems in their AoR and for ensuring that Risks to Life are As Low As Reasonably Practicable and Tolerable.
EP	Environmental Protection - Environmental Protection is about maintaining, and recovering where necessary, a healthy natural environment through preventing the emission of pollutants or reducing the presence of polluting substances.[3]
ESR	Executive Safety Responsible
HEA	Head of Engineering Assurance
LoA	Letter of Appointment
LoD	Letter of Delegation
MyHR	Human Resources online portal used by DE&S staff
PSEC	Project Safety and Environmental Committee
PSS	Products, Systems and Services
QSEP	Quality Safety Environmental Protection
S&E	Safety and Environmental
SD	Safety Delegated
SEB 003	Safety and Environmental Bulletin 003 - The Management of Formally Delegated Acquisition Safety and Environmental Responsibilities in DE&S
SEMP	Safety and Environmental Management Plan
S&EP	Safety and Environmental Protection
S&EP Leaflet 03/2011	Safety and Environmental Protection Leaflet 03/2011 Equipment Safety and Environmental Protection Risk Referral [4]
SM	Safety Manager
SME	Subject Matter Expert
SQEP	Suitably Qualified and Experienced Personnel
SR	Safety Responsible
Senior Responsible Owner	The Senior Responsible Owner (SRO) is responsible for Managing Successful Programmes (MSP), as the single individual with overall accountability for ensuring that a programme meets its objectives and delivers the projected benefits. [1]
SSR	Senior Safety Responsible
TL	Team Leader

References

[1] Ministry of Defence, "JSP 815 Part 1 : Defence Safety Management System (SMS) Framework Version 1.0," Sept 2022.

[2] C. Haddon-Cave, "The Nimrod Review," 2009.

[3] DE&S, "DE&S 2025 Defence Equipment and Support Environmental Strategy," [Online].

[4] ATL, DES EngSfty QSEP Pol, "DE&S SAFETY AND ENVIRONMENTAL PROTECTION LEAFLET 03/2011 Risk Referral - Guidelines for the Referral of Equipment Safety and Environmnetal Risks to Senior Authorities Issue 3.1," DE&S, April 2024.

Annex A – Taxonomy Definitions and Guidance

1. Domains may tailor 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)

2. Individuals deployed to ESR assignments have formal responsibility for the safety of platforms, systems, and equipment as part of DE&S leadership or executive. 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.

3. Individuals deployed to ESR assignments have formal responsibility for the safety of platforms, systems, equipment and ensuring sufficient resourcing as part of DE&S leadership or executive. To fulfil this responsibility, they would need to understand and endorse the ASP Safety Laydown within their respective areas and ensure that any personal S&E Training requirements are fulfilled, across the ASP S&E Laydown.

4. The ESR construct is based on the following delegations shown in Figure 2 below:
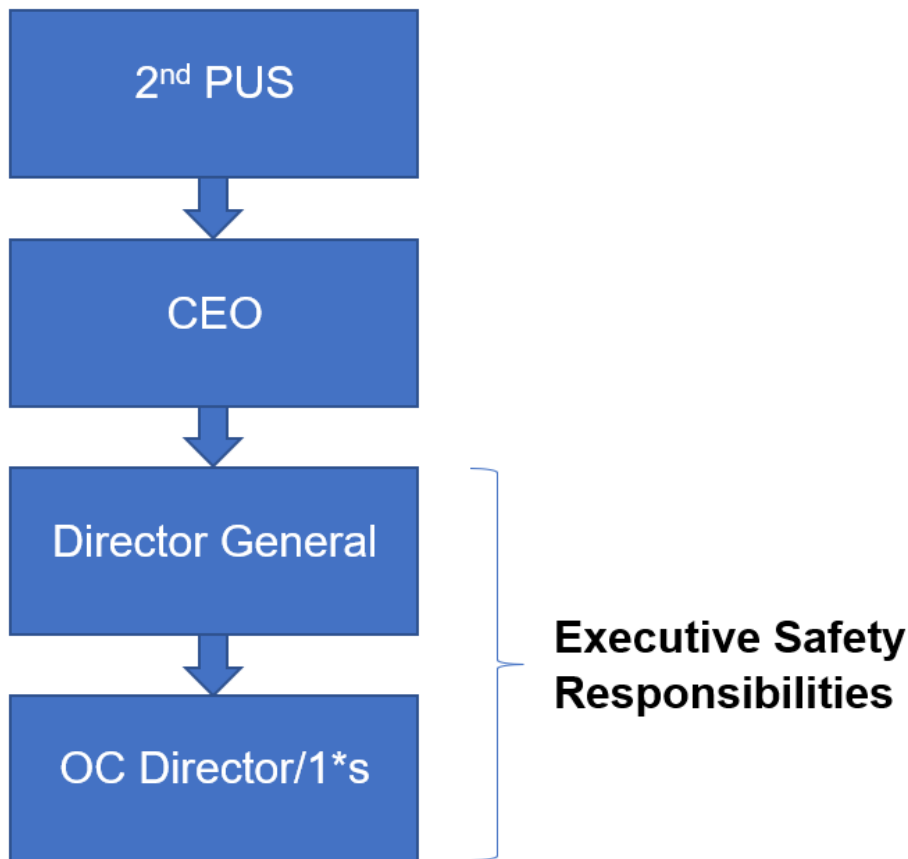

Figure 2: ESR Construct

Senior Safety Responsible (SSR)

5.   Individuals deployed to SSR assignments shall be demonstrably competent to hold formal delegation for safety and hazardous materials.

- At major System and/or Platform level, and as the final signatory of safety 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 or Safety and Environmental Case/Assessment.

6.   The SSR is "the" key individual responsible for the delivery of safe PSS to the Commands (represented by the DH). Where practicable the responsibilities for safety and delivery should be separate.

7.   SSR assignment holders may be delegated to:

- Provide authoritative advice to the DH;
- Be the primary and authoritative interface with the DH;
- Be the final DE&S signatory before major systems and/or platforms are released to the DH.

Safety Responsible (SR)

8.   Individuals deployed to SR assignments shall be demonstrably competent to hold formal delegations for safety and hazardous materials.
- At an equipment or system level;
- As the final signatory of specialist safety approvals for equipment and systems.

9.   SR assignment holders may be delegated to:

- Represent the SSR to the DH within the scope of their Letters of Delegation, i.e., making representation to the DH about equipment that they manage, which is supplied directly to the DH;
- Be the final DE&S signatory for those safety artefacts defined in their formal delegation, including approval of technical documentation;
- Make safety-related decisions within the scope of their formal delegation;
- Escalate key safety decisions outside of their delegation to the SSR.

Safety Delegated (SD)

10.   Individuals deployed to SD assignments shall be demonstrably competent to hold formal delegations for safety and hazardous materials:
- To discharge a limited part of an SR's or SSR's delegation at a sub-system level;
- As the final signatory of safety approvals in specialist areas.

11.   SD assignment holders can:
- Represent the SR or SSR in a limited capacity;
- Be the final DE&S signatory for those safety artefacts defined in their formal delegation;
- Make safety related decisions within the scope of their formal delegation;
- Escalate key safety decisions outside of their delegations to the SSR or SR;
- Escalate key safety issues to the relevant SRR or Duty Holder.

Safety Assurance

12.   The DE&S governance model requires Safety Assurance to be undertaken at a number of levels, commonly referred to as 1st, 2nd and 3rd Line of Defence. This is shown in Figure 3 below:
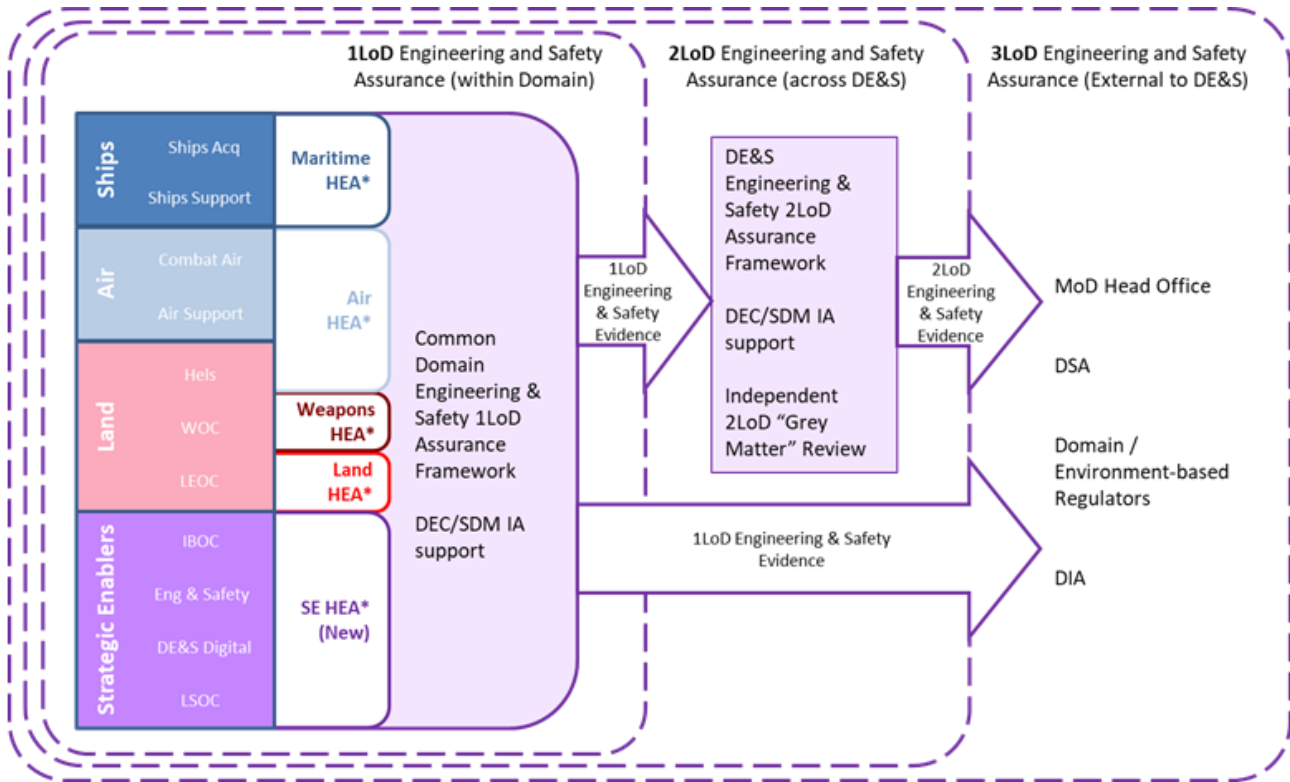

Figure 3: Lines of Defence Construct

Safety Manager (SM)

13.   Individuals deployed to SM assignments shall be demonstrably competent to support the SSR, SR, and SD by undertaking responsibilities in ensuring policies and processes for safety are identified and implemented by:

- Supporting the development and maintenance of policy and process to satisfy the DE&S corporate standards for Acquisition Safety;
- Developing, managing, and maintaining effective Safety Management Systems;
- Identifying and analysing hazards and contributing to the identification and evaluation of risk reduction measures, ensuring that these are adequately documented and managed;
- Working with colleagues at all levels to ensure compliance with relevant statutory legislation and regulations, MOD regulations and DE&S Policy.

14.   SM assignment holders may:

- Advise the SD, SR or SSR in process and policy and provide informed safety advice to decision makers through Project Safety Committees;
- Escalate key safety issues to the SSR or SR;
- Develop and maintain project safety assurance plans, monitor compliance, and ensure that safety assurance evidence is gathered and assessed for safety case preparation;
- Produces, reviews, and recommends acceptance/rejection of safety artefacts defined in their formal responsibilities against safety policies, but not act as final signatory on safety artefacts.
- Oversee the management of contractual aspects to ensure safety requirements are captured and the management of contractors who perform safety activities.

<u>Safety Core</u>

15.   All other members of DE&S who do not have formal delegations or letters of responsibility for safety. However, everyone in DE&S makes a contribution to ensuring safety.

Annex B – Training / Competence Maps

Figure 4 below defines the System Safety Training in DE&S.

The Training Matrix, which generates domain specific training requirements, can be found here.

Asbestos Training is "Mandatory" for any Platform Authority where associated Platforms contain or may contain Asbestos.

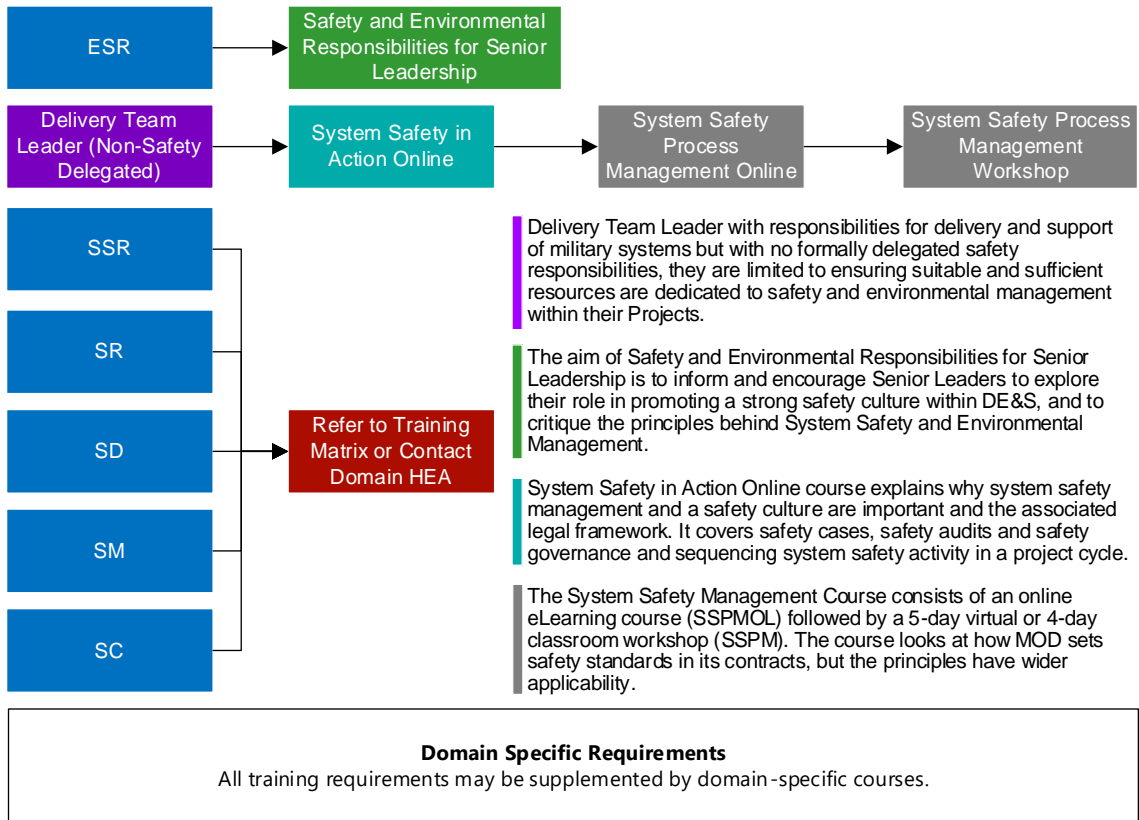Figure 4: System Safety Training in DE&S.

Annex C – Letter of Delegation/Responsibilities Template

SENIOR SAFETY RESPONSIBLE/SAFETY RESPONSIBLE/SAFETY DELEGATED LETTER OF SAFETY DELEGATION OR SAFETY MANAGER LETTER OF SAFETY RESPONSIBILITY[2] (Delete as Appropriate)

1. As the {Executive Senior Responsible/Senior Safety Responsible/Safety Responsible} assignment holder for {Platform/System/Equipment Team}, I am authorised to delegate safety responsibilities to suitably competent individuals in Senior Safety Responsible, Safety Responsible or Safety Delegated assignments and to empower those in Safety Manager assignments in their responsibilities. Accordingly, this Letter of Safety Delegation/Responsibility confirms your status as a **Senior Safety Responsible/Safety Responsible/Safety Delegated/Safety Manager** assignment holder. The activities, outputs and those specific safety artefacts related to your Senior Safety Responsible/Safety Responsible/Safety Delegated/Safety Manager assignment are detailed in the accompanying Assignment Specification[3], together with the competence and training requirements.

2. The competence assessment conducted on {Date}[4] concluded that you are {Competent to hold this Safety Delegation/Safety Responsibility or Competent to hold this Safety Delegation/Safety Responsibility with the following caveats/restrictions}:

    a. {Insert caveats and/or restrictions as appropriate}

3. You should be diligent in maintaining and improving your Engineering and Safety/Environmental Management competence and if you, your Delivery Manager or Function Development Officer (FDO) identify an area where your knowledge or skills need to be enhanced you should discuss this with your FDO or the {Insert Domain} Engineering Function in the first instance.

4. You should personally role model and lead by example positive safety behaviours, prioritising and maintaining a "Just Culture", where everyone is empowered to speak up on safety matters, to contribute to safety objectives and to actively encourage open and transparent reporting.

5. Your normal route for communication on routine safety matters should be through {Insert relevant SD/SR/SSR/ESR assignment}, but you are authorised to contact me directly if you have any doubts on an appropriate course of action to be taken or where you consider that a matter requires my specific attention. However, you <u>must</u> bring to my attention:

    a. Any risk which you consider should be highlighted to the Operating DH in accordance with S&EP Leaflet 03/2011.

    b. Any approach or request for you to make a safety decision or sign a safety artefact that you are not responsible for.

    c. Any practice or procedure that may compromise safety which is beyond your authority to correct.

    d. Any accidents, incidents without loss or harm, or near misses should be reported in accordance with S&EP Leaflet 12/2017 or via the appropriate Safety and Environmental reporting mechanism available on the Health and Safety Portal.

6. As a Senior Safety Responsible/Safety Responsible/Safety Delegated/Safety Manager assignment holder, you are a focal point for the identification and management of safety risk within your area of the {Insert domain} domain. Please be assured of my personal support and that of the Department in undertaking this assignment. I draw your attention to 2024DIN01-005[5] which sets out the principles on which support is provided by the Department.

7. As a Senior Safety Responsible/Safety Responsible/Safety Delegated/Safety Manager assignment holder, you shall ensure that Acquisition Safety and Environmental Management System (ASEMS) and Domain Specific Regulations are followed.

8. As a Senior Safety Responsible/Safety Responsible/Safety Delegated, you shall conduct a self-assessment of performance, declaring your assurance level against key elements and associated

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[2] Letter of Appointment applies to Safety Manager assignment only and does not allow final signatory of safety artefacts.
[3] {Insert reference of associated Assignment Specification}
[4] {Insert reference to completed Annex E}
[5] 2024DIN01-005 - Support Available for Current and Former Staff Involved in Legal Proceedings.

expectations of JSP 815 Part 1. ==This is particularly relevant in circumstances where changes in operations, equipment state, organisation or control measures have the potential to appreciably alter risk.==

9. This letter relates specifically to your ==Senior Safety Responsible/Safety Responsible/Safety Delegated/Safety Manager== assignment and is additional to any letter you may receive through the delivery management chain relating to wider business management delegations. Please let me know if you perceive any conflict.

10. I now require you to confirm below your acceptance of this ==Letter of Safety Delegation/Letter of Safety Responsibility== and the accompanying Assignment Specification.

{ESR/SSR/SR Position}	**Individual Assigned**
Name: {ESR/SSR/SR name}	Name: {SSR/SR/SD/SM name}
Comments:	Comments:
Signature:	Signature:
Date:	Date:
Agreed Review Date:	

Annex D – Assignment Specification Templates

GENERIC SAFETY MANAGER ASSIGNMENT SPECIFICATION
(Areas highlighted in yellow to be adapted for Domain / Application Area specific requirements)

Safety Manager Assignment Specification
(Typical assignment title: Safety Manager / ???? – replace [XXX] in document

SECTION 1: Assignment Overview	
Why the assignment exists?	• The [XXX] is responsible for [XXX] • This assignment specification should be read in conjunction with the related Letter of Appointment.

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: • Safety Engineer – Senior Technical Specialist I or above.
Certification / Qualifications / Registrations Required for this Assignment
• Any specific regulatory endorsement for this assignment • Qualifications, Registrations, and generic Engineering competence requirements are specified in the Safety Engineer Engineering Function Success Profile. (Senior Technical Specialist I or above)

Professional Engineering Discipline

Discipline (delete as appropriate)	Requirement
Mechanical Engineering; Electrical Engineering; Systems Engineering & Integration; Sensors and Electronic Systems; Software and Missions Systems; Safety and Environment;	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**
Insert relevant training for assignment from Annex B – Training/Competence Maps for required Training	Insert from relevant training for assignment from Annex B – Training/Competence Maps

SECTION 3: Assignment Specific Competence	
Core Area 1: DE&S Success Profile Behaviours	
Behaviour	**Minimum Level**
Changing and Improving	CSBC 3
Leadership	CSBC 3
Communicating and Influencing	CSBC 3
Safety Focus	TBC
Core Area 2: Engineering Function Competency	
Competence	**Minimum Level**
EFCF 1 – Improve Engineering Capability	Supervised Practitioner

SECTION 3: Assignment Specific Competence	
EFCF 2 – Application of Analytical Techniques	Supervised Practitioner
EFCF 3 – Technical Requirements, Evaluation & Acceptance	Supervised Practitioner
EFCF 4 – Technical Decision Making	Supervised Practitioner
EFCF 5 – Technical Risk Management	Supervised Practitioner

Core Area 3: Systems Safety Competences	
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	Practitioner
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

Core Area 4: Systems Thinking and Integration Competence	
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

Core Area 5: Application Environment, Technical Discipline & Specialism	
Domain Specific	
Competence	**Minimum Level**
Specific Application Environment Competence	Specify level – typically Supervised 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 4: 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 [XXX] assignment are defined below:
    - Insert key responsibilities here. Example of Professional II Safety Engineer shown below, but needs to be tailored to suit specific assignment:
    - The Safety Manager is responsible for confirming the processes and tools have been applied to the appropriate rigor and subsequently provide supporting statement to the SSR/SR to this fact.
    - Support the development and maintenance of policy and process to satisfy the DE&S corporate standards for Acquisition Safety.

SECTION 4: The Activities
Typical contents shown below but needs to be edited by DFM for generic domain version

o   Develops, manages, and maintains effective Safety Management Systems. Identifies and analyses hazards and contributes to the identification and evaluation of risk reduction measures, ensuring that these are adequately documented and managed
 	
   o   Work with colleagues at all levels to ensure compliance with relevant statutory legislation and regulations, MOD regulations and DE&S Policy.
 	
   o   Develops and maintains project safety assurance plans, monitors compliance, and ensures that safety assurance evidence is gathered and assessed for safety case preparation
 	
   o   Produces, reviews, and recommends acceptance/rejection of safety artefacts defined in their formal responsibilities against safety policies, but not act as final signatory on safety artefacts.
 	
   o   Supports the management of contractual aspects to ensure safety requirements are captured and the management of contractors who perform safety activities.
 	
   o   Provides informed safety advice to decision makers through Project Safety Panels
  • Additional specific responsibilities are described in the associated Letter of Appointment

Responsibilities/Direction/Authorisation
• This [XXX] assignment is subject to formal Letter of Appointment from [XXX] • The [XXX] assignment has no delegated authority to make technical decisions or responsibilities to state that a system is safe or to determine the ALARP status of risk.
Accountability & Authority
• This [XXX] assignment has no delegated authority to be the FINAL signatory on Safety Artefacts.

SECTION 5: Confirmation and Acceptance	
Senior Safety Responsible	**Individual Assigned**
Name:	Name:
Comments:	Comments:
Signature:	Signature:
Date:	Date:

GENERIC SENIOR SAFETY RESPONSIBLE ASSIGNMENT SPECIFICATION
(Areas highlighted in yellow to be adapted for Domain / Application Area specific requirements)

Senior Safety Responsible Assignment Specification
(Typical assignment titles: Chief Engineer / Platform Authorities / TAA – replace [[XXX]] in document)

SECTION 1: Assignment Overview	
Why the assignment exists?	• The [XXX] has overall accountability for leading and directing the \<team\> to be effective and efficient in the delivery of [XXX] that are safe to operate. • This Assignment Specification relates to the SSR role only; it does not include the wider responsibilities of the [XXX] Assignment. • This assignment specification should be read in conjunction with the relevant Letter of Delegation.

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:

- Professional Engineer – Typically Senior Professional/Professional I

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

Certification / Qualifications / Registrations Required for this Assignment

- Chartered Engineer status with a relevant Professional Body.
- Any specific regulatory certification for this assignment (e.g. Type Airworthiness Authority from Military Aviation Authority)
- Engineering Qualifications are specified in success profile (only additional items shown in here)

Professional Engineering Discipline	
Discipline (delete as appropriate)	**Requirement**
Mechanical Engineering; Electrical Engineering; Systems Engineering & Integration; Sensors and Electronic Systems; Software and Missions Systems; Safety and Environment;	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**
Insert relevant training for assignment from Annex B – Training/Competence Maps for required Training	Insert from relevant training for assignment from Annex B – Training/Competence Maps

SECTION 3: Assignment Specific Competence	
Core Area 1: DE&S Success Profile Behaviours	
Behaviour	**Minimum Level**
Changing and Improving	CSBC 4
Leadership	CSBC 4
Communicating and Influencing	CSBC 4
Safety Focus	TBC
Core Area 2: Engineering Function Competency	
Competence	**Minimum Level**
EFCF 1 – Improve Engineering Capability	Practitioner
EFCF 2 – Application of Analytical Techniques	Practitioner
EFCF 3 – Technical Requirements, Evaluation & Acceptance	Expert
EFCF 4 – Technical Decision Making	Expert
EFCF 5 – Technical Risk Management	Expert
Core Area 3: Systems Safety Competences	
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	Practitioner
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
Core Area 4: Systems Thinking and Integration Competence	
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
Core Area 5: Application Environment, Technical Discipline & Specialism	
Domain Specific	
Competence	**Minimum Level**
Specific Application Environment Competence	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 4: 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 [XXX] 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 DH 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.

Responsibilities/Direction/Authorisation
- The [XXX] 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 DH 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 [XXX] is accountable to [OC Director] for providing and maintaining platforms that are 'safe to operate', in accordance with the regulatory requirements.   - The [XXX] 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 5: Confirmation and Acceptance	
Executive Safety Responsible	**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)

Safety Responsible Assignment Specification
(Typical assignment titles: Technical SME / ???? – replace [XXX] in document

SECTION 1: Assignment Overview	
Why the assignment exists?	• The [XXX] is responsible for [XXX]. • This Assignment Specification relates to the SR role only; it does not include the wider responsibilities of the [XXX] Assignment. • This assignment specification should be read in conjunction with the relevant Letter of Delegation.

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: • Professional Engineer – Professional II or above. • Individual with equivalent level of core and Engineering competence aligned to Project Manager or Logistics – Professional II or above.	
Certification / Qualifications / Registrations Required for this Assignment	
• As a minimum, Incorporated Engineer status with a relevant Professional Body. • Any specific regulatory approval 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 (delete as appropriate)	**Requirement**
Mechanical Engineering; Electrical Engineering; Systems Engineering & Integration; Sensors and Electronic Systems; Software and Missions Systems; Safety and Environment;	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**
Insert relevant training for assignment from Annex B – Training/Competence Maps for required Training	Insert from relevant training for assignment from Annex B – Training/Competence Maps

SECTION 3: Assignment Specific Competence	

Core Area 1: DE&S Success Profile Behaviours

Behaviour	Minimum Level
Changing and Improving	CSBC 3
Leadership	CSBC 3
Communicating and Influencing	CSBC 3
Safety Focus	TBC

Core Area 2: Engineering Function Competency

Competence	Minimum Level
EFCF 1 – Improve Engineering Capability	Supervised Practitioner
EFCF 2 – Application of Analytical Techniques	Practitioner
EFCF 3 – Technical Requirements, Evaluation & Acceptance	Practitioner
EFCF 4 – Technical Decision Making	Practitioner
EFCF 5 – Technical Risk Management	Practitioner

Core Area 3: Systems Safety Competences

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	Practitioner
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

Core Area 4: Systems Thinking and Integration Competence

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

Core Area 5: Application Environment, Technical Discipline & Specialism

Domain Specific	
Competence	**Minimum Level**
Specific Application Environment Competence	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 4: 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 [XXX] assignment are defined below: ○ Insert key responsibilities here • Additional specific responsibilities are described in the associated Letter of Safety Delegation.
Responsibilities/Direction/Authorisation
• The [XXX] 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 they regard as needing their specific attention.
Accountability & Authority
• The [XXX] is accountable to [SSR] for providing and maintaining equipment that are 'safe to operate', in accordance with the regulatory requirements. • The [XXX] is accountable to SSR for safety recommendations detailed within the Letter of Safety Delegation. • The [XXX] 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 5: Confirmation and Acceptance	
Senior Safety Responsible	**Individual Assigned**
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)

Safety Delegated Assignment Specification
(Typical assignment titles: Technical SME / ???? – replace [XXX] in document

SECTION 1: Assignment Overview	
Why the assignment exists?	• The [XXX] is responsible for [XXX]. • This assignment specification should be read in conjunction with the relevant Letter of Delegation.

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:

- Professional Engineer – Professional II or above.

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

Certification / Qualifications / Registrations Required for this Assignment

- Incorporated Engineer status with a relevant Professional Body.
- Any specific regulatory endorsement for this assignment (e.g. Type Airworthiness Authority from Military Aviation Authority).
- Qualifications, Registrations, and generic competence requirements are specified in the Level x Engineering Manager Role Profile.

Professional Engineering Discipline

Discipline (delete as appropriate)	Requirement
Mechanical Engineering; Electrical Engineering; Systems Engineering & Integration; Sensors and Electronic Systems; Software and Missions Systems; Safety and Environment;	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
Insert relevant training for assignment from Annex B – Training/Competence Maps for required Training	Insert from relevant training for assignment from Annex B – Training/Competence Maps

SECTION 3: Assignment Specific Competence	
Core Area 1: DE&S Success Profile Behaviours	
Behaviour	**Minimum Level**
Changing and Improving	CSBC 3
Leadership	CSBC 3
Communicating and Influencing	CSBC 3
Safety Focus	TBC
Core Area 2: Engineering Function Competency	
Competence	**Minimum Level**
EFCF 1 – Improve Engineering Capability	Supervised Practitioner
EFCF 2 – Application of Analytical Techniques	Practitioner
EFCF 3 – Technical Requirements, Evaluation & Acceptance	Practitioner
EFCF 4 – Technical Decision Making	Practitioner
EFCF 5 – Technical Risk Management	Practitioner
Core Area 3: Systems Safety Competences	
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	Supervised Practitioner
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
Core Area 4: Systems Thinking and Integration Competence	
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
Core Area 5: Application Environment, Technical Discipline & Specialism	
Domain Specific	
Competence	**Minimum Level**
Specific Application Environment Competence	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 4: 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 [XXX] assignment are defined below: o Insert key responsibilities here • Additional specific responsibilities are described in the associated Letter of Safety Delegation.
Responsibilities/Direction/Authorisation
• The [XXX] assignment is subject to a formal Letter of Safety Delegation from [XXX] • The SD is authorised to make key safety recommendations in line with the Letter of Safety Delegation.
Accountability & Authority
• The [XXX] is accountable to SR/SSR for safety recommendations detailed within the Letter of Safety Delegation. • The [XXX] 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 5: Confirmation and Acceptance	
Senior Safety Responsible	**Individual Assigned**
Name:	Name:
Comments:	Comments:
Signature:	Signature:
Date:	Date:

Annex E - Acquisition Safety Responsibility Assessment Evidence and Record Sheet

(Assessors to complete relevant sections during Assessment/Interview)

When returning document before assessment, you should also attach your C.V. and a copy of your Letter of Delegation. Further information and guidance can be found in the Guidance for Assignment Holders ASP specific to the assignment being assessed for.

Assignment associated with evidence		
Assignment Holder	Name:	Date of taking up assignment: <mark>XX/XX/XXXX</mark>
	<mark>ASP Safety Tag: SSR/SR/SD/SM (Delete as appropriate)</mark>	
Date of Assessment/Interview	<mark>XX/XX/XXXX</mark>	
Assessors	Assessor 1:	
	Assessor 2:	
	Assessor 3 (optional):	

The following sections focus on the three main stages of the Assessment Panel / Assessment process. The stages in the Assessment Panel / Assessment process are captured in Figure 5. The document contains tables to be populated by both the Assignment Holder and Assessor. Areas to be populated by the Assignment Holder are Grey and areas to be populated by the Assessor are Lilac.
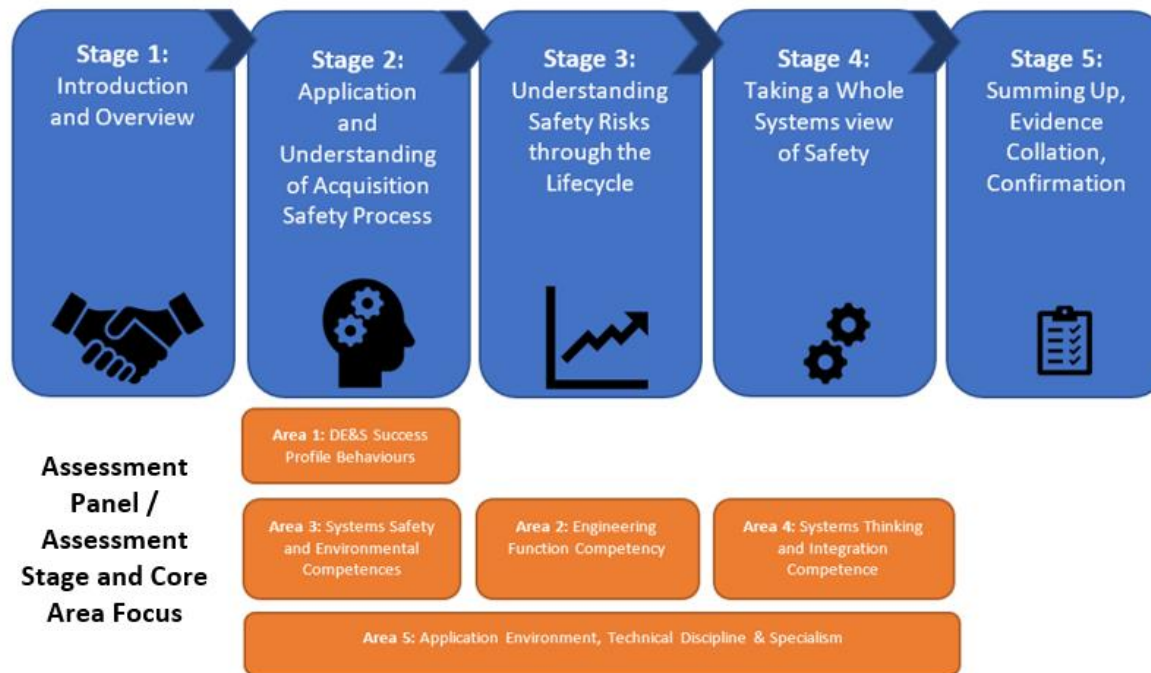
Figure 5: Five Stages of the Assessment Panel / Assessment Process

The 3 main stages that are focussed on in the following sections are:

- Stage 2: Application and Understanding of the Acquisition Safety Process
- Stage 3: Understanding of Safety Risks Through the Lifecycle
- Stage 4: Taking a Whole Systems View of Safety

Summary of Core Areas and Competencies

The following sections focus on Stages 2-4 of the Assessment Panel/Assessment Process and consider the five Core Areas that each applicant is being assessed against. This section provides a summary of the five Core Areas and their comprising Behaviours and Competencies.

Core Areas	Behaviours & Competencies	Level
Area 1 – DE&S Success Profile Behaviours	- Seeing the Big Picture - Changing and Improving - Making Effective Decisions - Leadership - Communicating and Influencing - Working Together - Developing Self and Others - Managing a Quality Service - Delivering at Pace - Safety Focus - Working as one with our Customer	\<TBC by Assessor depending on Role>
Area 2 – Engineering Function Competency	**EFCF 1 – Improve Engineering Capability** – Explores innovative opportunities and exploit emerging technology to develop, sustain and enhance Defence capability. **EFCF 2 – Application of Analytical Techniques** – Applies systems thinking and analytical techniques to refine the approach, achieve intended outcomes and challenge assumptions. **EFCF 3 – Technical Requirements, Evaluation and Acceptance** – Develops well-formed requirements and evaluates technical solutions against verified acceptance criteria whilst promoting best practice **EFCF4 – Technical Decision Making** – Applies technical expertise and uses available evidence to make informed technical decisions on complex issues, **EFCF 5 – Technical Risk Management** – Assesses, communicates and manages technical risk associated with engineering activities to enable regulatory compliance and deliver operational effectiveness.	\<TBC by Assessor depending on Role>
Area 3 – Systems Safety Competences	**SYSSAF 1** – Compliance with MOD policy and instructions, legislation and procedures for system safety management **SYSSAF 2** – Complies with the principles of System Safety management **SYSSAF 3** – Complies with MOD requirements for System Safety Management through life **SYSSAF 4** – Adoption of a safety risk management process consistent with the level of safety risk **SYSSAF 5** – Applies engineering and scientific knowledge within a domain and complies with applicable specialist safety requirements, procedures and regulations	\<TBC by Assessor depending on Role>
Area 4 – Systems Thinking and	**Applying systems theory in practice** – Ensuring safety judgements are based upon an understanding of basic systems concepts (such as emergence and hierarchy)	\<TBC by Assessor

Core Areas	Behaviours & Competencies	Level
Integration Competence	• **Taking account of relationships between equipment, systems and people when taking safety decisions** – Ensuring safety judgements are made based upon an understanding of how elements of the system work together. • **Examining systems from multiple perspectives** – Ensuring safety judgements are based upon a diverse range of views of the system (such as an operational perspective or sustainment perspective). • **Applying appropriate management styles for the safety system issue being considered** – Knowing when to think slow and apply systems thinking and when it is OK to take shortcuts and think fast. Focussing on the task at hand whilst exploring the wider context. Having the paradoxical mindset (Big-Picture Thinking and Attention to Detail, Strategic and Tactical, Analytic and Synthetic, Courageous and Humble, Methodical and Creative). Being adaptable. Abstracting. Having foresight and vision.	depending on Role>
Area 5 – Application of Domain Technical Discipline & Specialism	**Air Systems and Platforms** • ACS1 – Core Function • ACS2 – Type Airworthiness • ACS3 – Continuing Airworthiness Support • ACS4 – Aircraft Systems • ACS5 – Air Safety Management • ACS6 – Release to Service and Military Permit to Fly Management **Land Systems and Platforms** • LSFC 1.1 – Land Vehicle Operations • LSFC 1.2 – Soldier Systems Operations • LSFC 1.3 – Operational Infrastructure • LSFC 2.1 – Land Vehicle Design • LSFC 2.2 – Soldier System Design • LSFC 2.3 – Electrical and Mechanical Systems • LSFC 2.4 – Systems Integration **Maritime Systems & Platforms** • ME1 – Naval Architecture and Warship Engineering • ME2 – Marine Engineering (Mechanical) knowledge • ME3 – Marine Engineering (Electrical) knowledge • ME4 – Marine Engineering (Naval Electronic Combat Systems) • ME5 – Maritime Safety & Environmental Knowledge	<TBC by Assessor depending on Role>

Core Areas	Behaviours & Competencies	Level
	• ME6 – Warship In-Service Support	
	Nuclear Systems	
	• Competence Group 1 – Nuclear Safety and Security	
	• Competence Group 2 – Defence Nuclear Programme Management	
	• Competence Group 3 – Nuclear Emergency Response	
	• Competence Group 4 – Concept, Assessment and Design of Nuclear Systems and Infrastructure	
	• Competence Group 5 – Manufacturing, Testing, Commissioning and Acceptance of Nuclear Systems and Infrastructure	
	• Competence Group 6 – In-service, Support and Maintenance of Nuclear Systems and Infrastructure	
	• Competence Group 7 – Nuclear Liabilities Management (Decommissioning and Disposal)	
	OME	
	• WOME SM 2.3 – Review the factors affecting the safety of specific explosive substances and/or articles.	
	• WOME SM 2.4 – Analyse the acceptability of safety control measures for specific explosive substances and/or articles.	
	• WOME SM 2.4A – Review safety control measures for specific explosive substances and/or articles.	
	• WOME SM 2.9 – Determine and implement aggregated risk control measure for explosives.	
	• WOME SM 2.12 – Investigate explosives-related safety incidents.	
	• WOME FM 9.1 – Define explosives facilities requirement.	
	• WOME FM 9.2 – Ensure explosives facilities are fit for purpose.	
	• WOME FM 9.3 – Conduct safety checks on explosives facilities.	

Stage 2: Application and Understanding of the Acquisition Safety Process

This Stage considers the following Core Areas:

- Area 1 – DE&S Success Profile Behaviour
- Area 3 – Systems Safety Competences
- Area 5 – Application of Domain Technical Discipline & Specialism

Supporting Evidence *To be completed by Assignment Holder*	
Safety Competence including experience with formal system safety management (e.g., ASEMS, safety case development)	
Experience of producing, approving, or obtaining safety artefacts (e.g., Naval Authority Certificates, CCUs, etc.)	
Previous experience of holding and executing formal safety delegations.	
Previous experience of making difficult, complex, or challenging decisions and communicating (2 way) effectively where safety was at stake.	
Experience and understanding of the specific Application Environment (platform, equipment, etc.) related safety management systems.	

Safety Training	Please refer to the Training Matrix.	Date Completed
Formal Systems and Environment Safety Training		

Requirements and Evidence *To be completed by Assessor*		Assessment Outcome: - Competent - Competent with Caveat(s) - Not Yet Competent
Safety Competence including experience with formal system safety management (e.g., ASEMS, safety case development).		
Experience of producing, approving, or obtaining safety artefacts (e.g., Naval Authority Certifications, CCUs, etc.)		
Previous experience of holding and executing formal safety delegations		
Previous experience of making difficult, complex, or challenging decisions and communicating (2 way) effectively where safety was at stake.		

Requirements and Evidence *To be completed by Assessor*		Assessment Outcome: - Competent - Competent with Caveat(s) - Not Yet Competent
Experience and understanding of the specific Application Environment (platform, equipment, etc.) related safety management systems		

Safety Training	Please refer to the Training Matrix.	Assessors Comments
Formal Systems and Environment Safety Training		

Stage 3: Understanding of Safety Risks Through the Lifecycle

This Stage considers the following Core Areas:

- Area 2 – Engineering Function Competency
- Area 5 – Application of Domain Technical Discipline & Specialism

Supporting Evidence *To be completed by Assignment Holder*	
Qualifications	

Supporting Evidence *To be completed by Assignment Holder*	
Membership and Registrations	
Understanding of safety risks across Equipment and Service Lifecycle (CADMID) and the different types of risk at each stage (e.g., maintenance related issues during in-service).	
Experience and understanding of the specific platform, equipment or domain related technical risks arising at each stage (e.g., airworthiness considerations in air domain).	

Requirements and Evidence *To be completed by Assessor*		Assessment Outcome: - Competent - Competent with Caveat(s) - Not Yet Competent
Qualifications		
Membership and Registrations		

Requirements and Evidence *To be completed by Assessor*		Assessment Outcome: - Competent - Competent with Caveat(s) - Not Yet Competent
Understanding of safety risks across Equipment and Service Lifecycle (CADMID) and the different types of risk at each stage (e.g., maintenance related issues during in-service).		
Experience and understanding of the specific platform, equipment, or domain technical risks at each stage (e.g., airworthiness considerations in air domain).		

Stage 4: Taking a Whole Systems View of Safety

This Stage considers the following Core Areas:

- Area 4 – Systems Thinking and Integration Competence
- Area 5 – Application of Domain Technical Discipline & Specialism

Supporting Evidence *To be completed by Assignment Holder*	
Systems integration experience (e.g., platform / combat system integration, mechanical / electrical integration). (Matched against competencies)	
Evidence of thinking through "whole system" usage risks. This includes interaction of environmental, human factors and technical risks (e.g., aircraft used in hot, dry climate at lower altitudes).	

Requirements and Evidence *To be completed by Assessor*		Assessment Outcome: - Competent - Competent with Caveat(s) - Not Yet Competent
Systems integration experience (e.g., platform / combat system integration, mechanical / electrical integration). (Matched against competencies)		

Requirements and Evidence *To be completed by Assessor*		Assessment Outcome: - Competent - Competent with Caveat(s) - Not Yet Competent
Evidence of thinking through "whole system" usage risks. This includes interaction of environmental, human factors and technical risks (e.g., aircraft used in hot, dry climate at lower altitudes).		

Summary and Recommendations

Summary and Recommendations *To be completed by Assessor*	
Overall Assessment – Commentary	
Decision **Select Appropriate Assessment:** - Competent - Competent with Caveat(s) - Not Yet Competent	**Recommended caveats including additional training requirements and target completion dates, specifying whether the caveat is MAJOR or MINOR:**

Summary and Recommendations	
To be completed by Assessor	
If found competent for ==INSERT APPLICABLE ROLE==, does the Assignment Holder have potential to hold an ==INSERT APPLICABLE ROLE== assignment? Yes / No	**Recommended caveats for candidate deemed to have potential to hold higher safety responsibility assignment:**
Assessor 1 Signature, Date and Position	
Assessor 2 Signature, Date and Position	
Assessor 3 Signature, Date and Position (Where required)	

Annex F – ASP Guidance Artefacts for Assignment Holders and Assessors

The ASP Guidance Artefacts for Assignment Holders and Assessors can be found here.

Annex G – ASP Safety Delegation (SSR/SR/SD) Handover Checklist

- Does a SM require a new interview and LoA when the SSR/SR changes?
  - If the new SSR/SR is comfortable with the previous SSR interview assessment of the SM, a new LoA shall be issued.
- The new SSR/SR shall review the existing ASP Safety delegation laydown construct for their and interfacing Environments and Technologies Sub-Boundary 2 Core Definition and Gateway.
- The new SSR/SR shall review all sub-ASP Safety delegations and reissue formal endorsed assignment specification and Letter of Delegation (a full reassessment is not necessarily required) and existing Waivers.
- The exiting SSR/SR/SD shall formally document the position of Safety artefacts under their areas of responsibility as defined in the associated assignment specifications, i.e., status of current safety case report (draft/endorsed etc.), utilising the Safety Case Maturity Tool (SCMT) for Platforms and Complex Systems[6].
- The exiting SSR/SR/SD shall formally document what meetings/steering groups/working groups that they support (including frequency), their associated role within these meetings, status of any outstanding actions against their role in these meetings and ensuring "Records" are declared.
- The new SSR/SR/SD shall review and sign off Safety artefacts as defined within their associated assignment specification for the role.
- The new SSR/SR/SD shall conduct a review of extant risks (under their area of responsibility) and management solution.
- The new SSR/SR/SD shall ensure adoption of the SCMT for Platforms and Complex Systems[7]. as a route to baseline gaps within safety cases (under their area of responsibility). The SCMT is aimed at documenting the maturity and understanding of where the project is.
- The new SSR/SR/SD shall be aware that projects in Pre-Concept and early Concept (Gateway activity), will not have a fully mature safety argument and all supporting documentation.
- The new SSR/SR/SD shall ensure that they fully understand where their areas of responsibility sit within the Equipment, System, Platform hierarchy. Furthermore, they shall ensure that they fully understand the associated interfaces of their areas of responsibility within this hierarchy and documented in the relevant Safety and Environmental Management Plan.
- Any changes to the ASP Delegation construct and ASP Delegation personnel shall be conducted using the form here. This is to ensure QSEP distribution lists remain current.

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[6] If beneficial, the SCMT may be adopted for Systems/Equipment transfers to aid handover.