



Ministry
of Defence



DE&S SAFETY AND ENVIRONMENTAL PROTECTION LEAFLET 17/2023

DELEGATED ACQUISITION SAFETY RESPONSIBILITIES IN DE&S (NEW OPERATING MODEL)		
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1. Introduction

- 1.1. Within Defence Equipment and Support (DE&S), several 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 (LoD), define the scope of the individual's safety delegations, and where necessary authorise the holders to be the final DE&S signatory for key artefacts.
- 1.2. As Acquisition Safety LoDs 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 LoDs, including assessing the competence of the assignment holder and streamlining the recruitment process to minimise the time that such assignments are vacant.
- 1.3. The new DE&S Operating Model highlighted inconsistencies in legacy domain approaches to Safety Delegation, with differing interpretation of responsibility, qualification and equity, especially at Senior Safety Responsible (SSR) level.
- 1.4. As part of the changes implemented through the new Operating Model, Director Engineering and Safety (Dir E&S) will delegate Executive Safety Responsibility (ESR) responsibility, providing a clear delegation chain from the DE&S CEO/ Deputy CEO.

- 1.5. To support this, Dir E&S¹ will own a unified DE&S Safety and Environmental Management System (SEMS) incorporating Regulated Environment elements (shifting from ESRs being SEMS owners for their respective themes).
- 1.6. This leaflet details the rules and guidance, incorporating changes due to the new Operating Model, to support the management of those with delegated Acquisition Safety responsibilities.
- 1.7. The implementation of the changes will provide the following benefits:
 - a) Provide clear ESR responsibility at Theme level with reference to OBIs and Products, Systems & Services (PSS) category.
 - b) Control DE&S ESR laydown as only Dir E&S may delegate ESR (no sub-Delegation of ESR without waiver).
 - c) Provide a foundation for the unified DE&S SEMS.
 - d) Provide equity across Regulated Environments and Technologies.
 - e) Simplification of delegation chain recognising responsibilities for Platform Primacy, System Primacy, Standalone Systems, Technologies for fixed infrastructure locations and portable equipment delivered directly to an 'Operate Safely' Accountable Person (AP)².

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. Most 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, Delegated Responsibilities and Guidance](#) which provides further guidance.
- 2.3. The ESR Delegation laydown³ across DE&S following the taxonomy is shown in Figure 2 below.

¹ Dir E&S also holds Military Aviation RA1012 responsibilities

² Accountable Person defined as: individual accountable for 'Operate Safely', referred differently in respective regulations as Delivery Duty Holder / Operating Duty Holder / Senior Duty Holder / Senior Responsible Officer / Lead User / Head of Establishment.

³ ESR delegations assumed in time to be extended to include Executive Environment Responsible (EER).

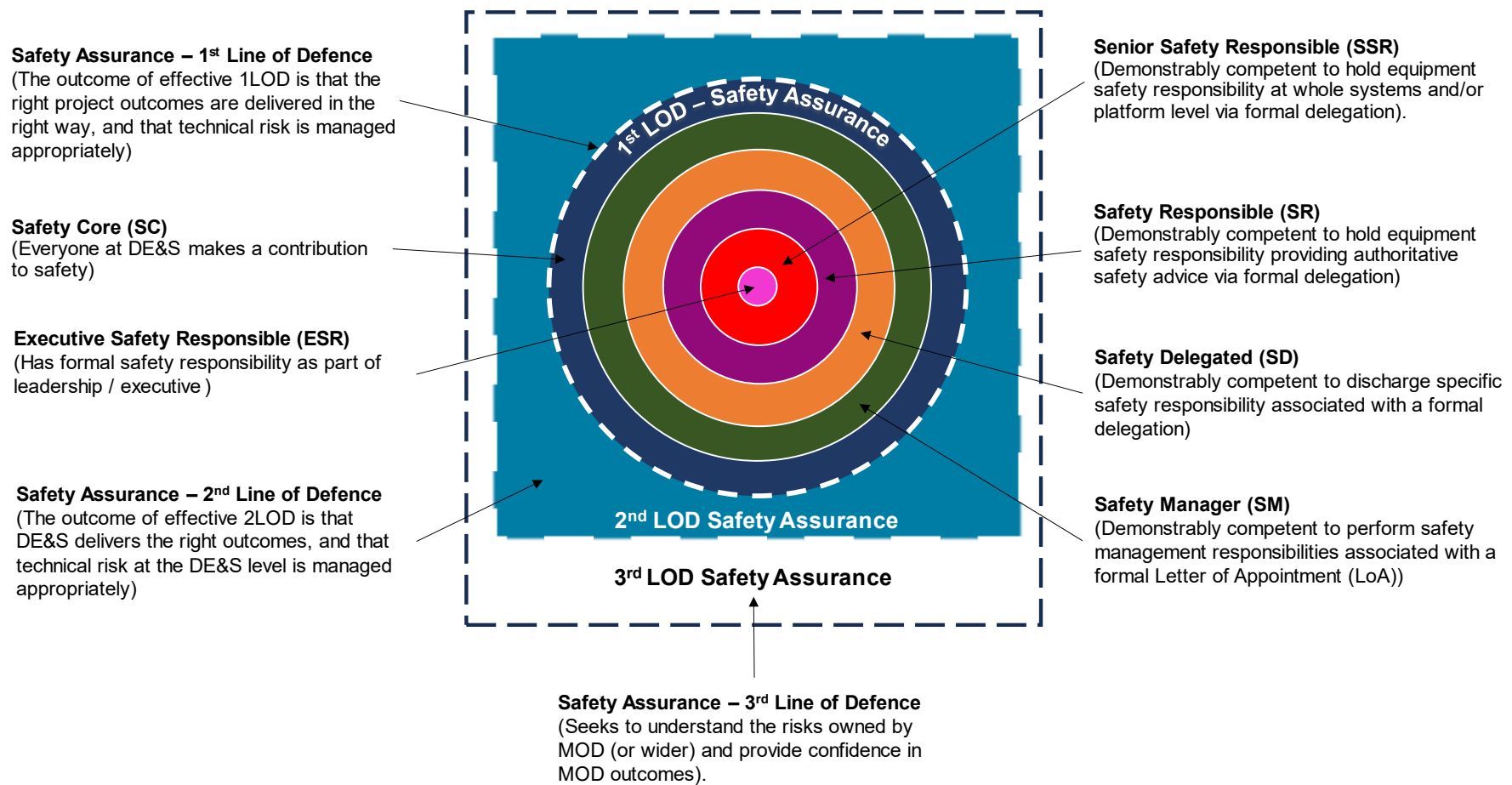


Figure 1 - Acquisition Safety Taxonomy

3. Executive Delegation Laydown

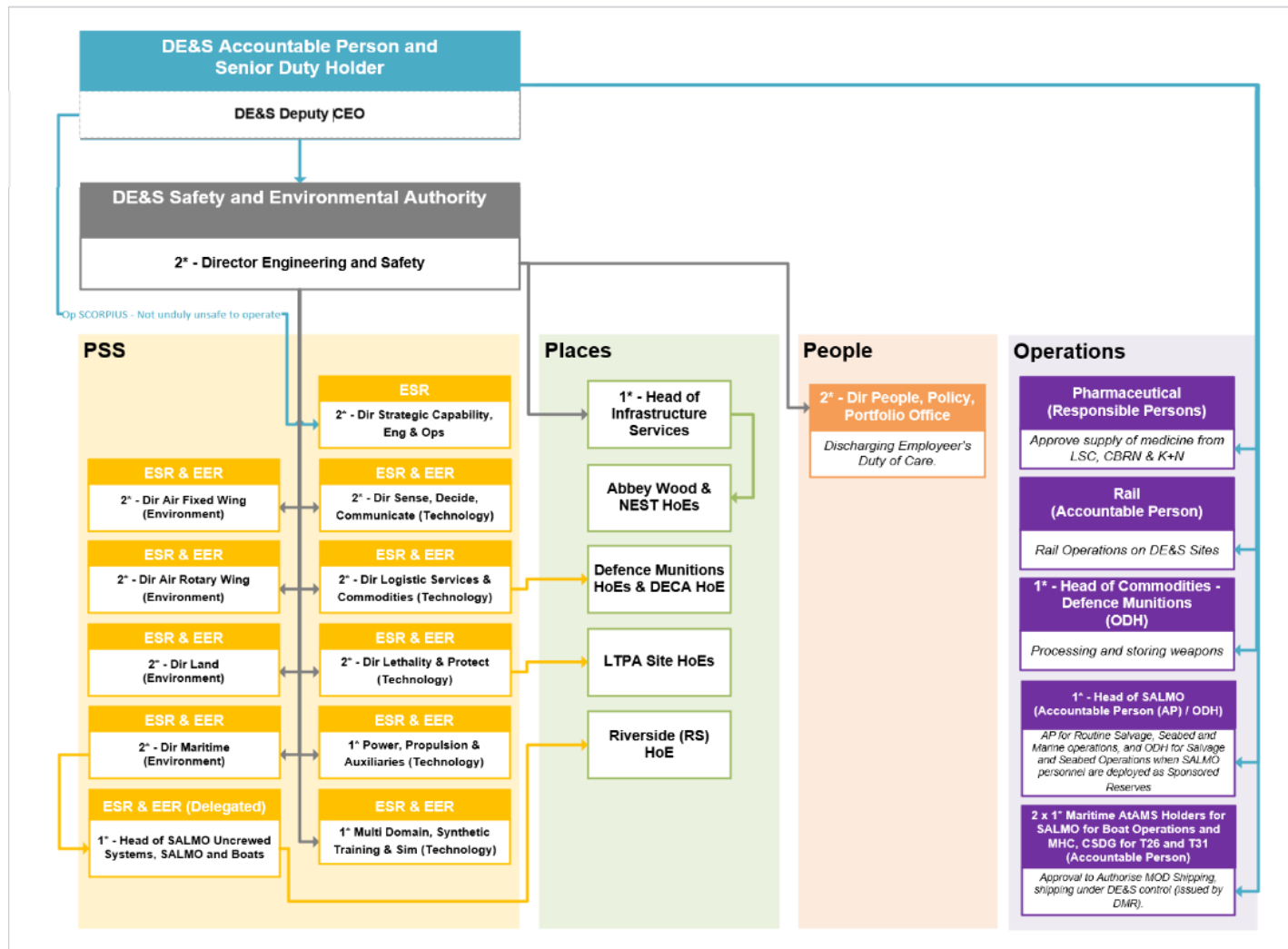


Figure 2 -Executive Delegation Laydown

4. Rules

- 4.1. The following Rules are to be followed to the satisfaction of the DE&S CEO / Deputy CEO & Dir E&S.
- 4.2. All the Rules shall apply from 29/05/2025.

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

Rules for all Delegated Roles and Appointed Safety Managers

- 4.3. The following rules are applicable to all Delegated Roles⁴ and Appointed Safety Managers

Rule 1 – Acquisition Safety Delegated assignments shall be held by Crown Servants
Guidance – Executive Safety Responsible (ESR), Senior Safety Responsible (SSR), Safety Responsible (SR) and Safety Delegated (SD) Acquisition Safety delegations may not be issued to contractors, locally employed civilians, or similar. Safety Manager (SM) assignments may be held by service providers.
Reference – JSP 815 Part 1 – Defence Safety Management System Framework [1]
Justification – DE&S needs to be able to demonstrate that it can 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.

⁴ Delegated Roles include Executive Safety Responsible (ESR), Senior Safety Responsible (SSR), Safety Responsible (SR) and Safety Delegated (SD)

Rule 2 – A Letter of Delegation/Appointment shall be issued to a named individual and shall define the scope of safety responsibilities. Delegation holders shall comply with the requirements of their delegation.

Guidance – For individuals assigned to SSR/SR/SD or SM roles, an Assignment Specification will be issued to them support a LoD/Appointment. Responsibilities and scope of LoD holders will be captured within a Safety (and Environmental) SEMP owned (or co-owned) by the SSR. Delegations are to be issued to nominated individuals, not to assignments or roles.

A Letter of Appointment (LoA) applies to SM Assignments only and does not allow final signatory of safety artefacts (only signs to demonstrate compliance to process).

Individuals deployed to ESR assignments have formal responsibility, for the safety of Products, Systems & Services (PSS) as part of DE&S leadership or executive across Environments and Technologies, hence they have a responsibility to ensure that the organisation provides the right arrangements (in terms of delegations, resources, governance and leadership) to ensure that PSS is and maintains 'safe to operate' with associated declarations.

SSR/SR/SDs are responsible for the decision making and the delivery of PSS which is 'safe to operate' with associated declarations.

There should be an unbroken LoD chain from the CEO's / Deputy CEO's Letter of Authority to all delegations.

References

LoD / LoA Templates

Assignment Specification Templates

[ASEMS SMP03 – Safety Planning](#)

[Letter of Authority as the Chief Executive](#) [2]

Justification – To remove any ambiguity between roles, responsibilities, and associated scopes.

Rule 3 - Individuals deployed to safety delegated assignments shall be demonstrably competent to hold a formal delegation for safety against their Success Profile and Assignment Specification.

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 Delegator is responsible for gaining assurance that the delegate is competent and continues to be competent while the delegation is valid.

ESRs are to be demonstrably competent against their Success Profile and associated Assignment Specification including Chartered Engineer Status. ESR Competence is to be demonstrated through assessment by Dir E&S, assisted by the relevant Head of Engineering Assurance (HEA) / Head of Quality, Safety, Environment and Engineering (QSEE) and ideally with input from respective Defence Safety Authority (DSA) Regulator(s) from appropriate Environment(s). This assessment should be undertaken prior to role allocation. Note For the Air Environment, competence assessment is conducted by the Military Aviation Authority (MAA)⁵ who will issue a Letter of Endorsement for Air ESRs and SSRs.

SSRs are to be demonstrably competent against their Success Profile and associated Assignment Specification (AS) including Chartered Engineer status and are to be at least a Professional I (Level 4). A waiver may be granted on agreement of the ESR and Dir E&S.

SSR Competence is to be demonstrated through assessment by individuals nominated by the ESR. ESRs may waive the requirement for a formal interview of an SSR if the SSR is assigned to a different project where they have appropriate currency as previously assessed for PSS of similar category and within the same Regulated Environment(s).

For new candidates or previous SSR holders who lack appropriate currency/regulatory Environment experience/PSS category knowledge, the interview panel shall include the Theme ESR or Principal Engineer/Chief Engineer (SQEP to assess candidate's knowledge of PSS and Regulated Environment(s)). If there is a requirement to meet specific competence requirements the panel may include a HEA/HEA delegate, or Head of QSEE for novel cases.

The SR/SD is not required to be a member of the Engineering Profession, but the training requirements of each formally delegated individual as defined in Annex B will be demonstrated, including Incorporated/Chartered Engineer status (dependent on role). A waiver may be granted on agreement of ESR and Dir E&S to allow SR/SD role to be held by an individual that does not hold Incorporated/Chartered Engineering status. The waiver should demonstrate an active plan is being pursued to address professional engineering status requirement. SR/SD Competence is to be demonstrated through assessment conducted by the SSR or individuals nominated by the SSR. The SSR may require support from the Principal Engineer or other pertinent qualified Engineers with appropriate SQEP. Note: the SR will be at the Systems/Equipment layer supporting the SSR so the pertinent qualified Engineer assessor may be required to address multiple Themes.

SM assignments are to be fulfilled by an individual who demonstrably meets the Safety Engineer Success Profile and associated Assignment Specification.

⁵ For the Air Environment each candidate for a RA 1012 or RA 1013 role must be assessed and found competent by the MAA

References

Annex B – Training / Competence Maps,
Engineering Success Profiles,
Acquisition Safety Responsibility Assessment Evidence and Record Sheet
Acquisition Safety Guidance Artefacts for Assignment Holders and Assessors

Justification – Cornerstone to the Acquisition Safety laydown and the requirement to demonstrate DE&S have competent SQEP holding specific responsibilities.

Rule 4 –Principal Engineers shall ensure that Letters of Delegations/Appointments, associated Assignment Specifications and Competency assessment evidence including caveats and waivers are recorded and tracked for SSR/SR/SD/SM in their Theme.

Guidance – Following a competence assessment, the completed assessment documentation is to be presented to Dir E&S/the relevant ESR/SSR dependant on the delegation level for endorsement⁶. Assignment Specifications and the Letter of Delegation/Appointment 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 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.

A unified process and tool for tracking delegations is being developed by QSEE and will be available in FY25/26.

References

[ASEMS SMP03 – Safety Planning.](#)

Acquisition Safety Responsibility Assessment Evidence and Record Sheet
Acquisition Safety Guidance Artefacts for Assignment Holders and Assessors
For information on the Principal Engineer Terms of Reference, visit the [Engineering Professions DE&S Intranet page](#).

Justification – Tracking of Delegations and competence enables DE&S to demonstrate that there is a clear delegation chain from the CEO / Deputy CEO is established.

⁶ ESR assessment documentation is to be presented to Dir E&S

Rule 5 – 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 AS 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.

ESRs may waive the requirement for a formal interview of an SSR if the SSR is assigned to a different project where they have appropriate currency as previously assessed for PSS of similar category and within the same Regulated Environment(s).

If an individual issuing the LoD leaves an assignment, interim arrangements are to be put in place by the higher-level delegation holder and a new delegation to be issued within three months to maintain the delegation chain. These interim arrangements could include identifying an alternative delegation holder or issuing an interim delegation from the higher-level delegation holder.

References –

Letter of Delegation / Appointment Templates

Assignment Specification Templates

[ASEMS SMP03 – Safety Planning](#),

Acquisition Safety Delegation Handover Checklist

Justification – Recognition that LoD are specific to an individual performing safety assignment against a prescribed scope.

Rule 6 – Platform Primacy or System Primacy shall take precedence to deconflict instances where scope from multiple Themes could overlap.

Guidance – When a project is transferred to Core, the Accountable Person will be identified alongside the Primary Accountable Person facing ESR (and SSR) recognising Platform / System Primacy.

In instances where multiple themes overlap and Platform Primacy has been identified, the Platform SSR in the Primary Accountable Person facing role will assume overall responsibility for making safety decisions & recommendations for the complete integrated system. The Platform SSR will provide the final DE&S Signatory ensuring 'Safe to Operate' before release to the 'Operate Safely' Accountable Person. The Platform SSR will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.

In instances where multiple themes overlap and System Primacy has been identified, the Technology SSR in the Primary Accountable Person facing role will assume overall responsibility for making safety decisions and recommendations for the complete integrated system. The Technology SSR will provide the final DE&S Signatory ensuring 'Safe to Operate' before release to the 'Operate Safely' Accountable Person. The Technology SSR will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.

ESRs in the supporting themes will ensure arrangements are in place to provide appropriate safety input and support to the Primary SSR.

Primary SSRs will ensure that residual risks and identified hazards transferred from supporting Environment / Technology themes are acknowledged and assessed in their Safety (and Environmental) Case.

SSRs in the supporting Environment / Technology themes will ensure they provide appropriate safety input, transfer residual risk and identified hazards and provide requisite support to the Primary SSR.

References

[JSP 815 Volume 1 Defence Safety Management System Framework \[1\]](#)

Justification – Conflict may arise where an issue affects both Technology and Platform Themes, to ensure there is a hierarchy to allow it to be resolved, the Platform / System Primacy takes precedence.

Rule 7 – Project Safety (and Environmental) Committees/Panels (PSEC/PSEP) shall be Quorate to make safety decisions iaw DE&S SEMS and the relevant SEMP

Guidance – The Quorum will include (but not limited to) individuals in safety delegated assignments including a Safety Manager. The SSR will own (or co-own) the SEMP and chair the PSEC (PSEP Air). SRs will chair equipment level PSEPs (PSECs Air).

Reference – [ASEMS SMP02 – Safety Committee](#)

Justification – To reinforce the requirement for SSR (or delegated person) and SM as part of the Quorate to attend a PSEC/PSEP reflecting their different roles and responsibilities.

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 and Dir E&S
Guidance – OSA shall be conducted, in consultation with the relevant HEAs. Engagement with QSEE to support the OSA may be required.
Reference – JSP 815 Part 1 – Defence Safety Management System Framework [2]
Justification – Requirement to consider organisation safety changes.

Additional Rules for Executive Safety Responsible Delegation Holders

4.4. In addition to the rules in section 4.3 above, the following rules are specific and applicable to ESR holders.

Rule 9 – ESRs shall ensure their Theme's management arrangements comply with the unified DE&S SEMS.
Guidance - Individuals deployed to ESR assignments have formal responsibility, for the safety of PSS as part of DE&S leadership or executive across Environments and Technologies, hence they have a responsibility to ensure that the organisation provides the right arrangements (in terms of delegations, resources, governance and leadership) to ensure that the PSS is and maintains 'safe to operate' with associated declarations and to ensure that risk referral/escalation is undertaken iaw S&EP Leaflet 03/2011. The unified DE&S SEMS will be developed to reduce Regulated Environment specific arrangements whilst expanding a common and consistent approach across DE&S.
References JSP 815 Volume 1 Defence Safety Management System Framework [1]
Justification – A unified DE&S SEMS ensures a consistent approach to safety across DE&S, though it is recognised that each Theme may have additional or different elements depending on the regulators they face. Both aspects are equally important to demonstrate compliance against.

Rule 10 – Only the CEO / Deputy CEO or Dir E&S shall delegate to an ESR
Guidance – Dir E&S manages the DE&S ESR laydown as the CEO's / Deputy CEO's delegated Accountable Executive for Safety. Only Dir E&S may delegate ESR responsibilities. ESRs cannot sub-delegate their ESR duties without a waiver being granted by Dir E&S. The ESR laydown can be found in figure 2, any changes to the laydown are only to be approved by Dir E&S.
References JSP 815 Volume 1 Defence Safety Management System Framework [1]
Justification – To ensure that there is control over the ESR laydown and there is a simplification of the delegation chain and clearly defined ESR responsibilities.

Rule 11 – The ESR shall chair a Safety (and Environmental) Management Committee.

Guidance – ESRs are to ensure that safety governance arrangements are in place and that the Safety Health and Environment Committee (SHEC) is informed of the safety position of their area of responsibility. The SEMC will be quorate and include SSRs/delegates for the entire theme and a HEA/HEA representative. For the Air Environment Dir E&S as MRP RA1012 post holder chairs the Defence Aviation Safety Committee (DASC). In addition, ESRs are to chair '2* ESR Reviews' as required by respective Regulators.

References

[JSP 815 Volume 1 Defence Safety Management System Framework \[1\]](#)

[ASEMS SMP02 – Safety Committee \[4\]](#)

[RA1012 – Air Safety Responsibilities \[5\]](#)

Justification – ESRs are responsible for ensuring there is appropriate governance in place in accordance with their LoD.

Rule 12 – The ESR shall ensure that the Accountable Person is informed if any appropriate specialist advice/guidance is ignored.

Guidance – Delivery Teams (DTs) or equivalents are to ensure all specialist advice (including guidance/recommendations from industry and/or Independent Specialist Advisors) is documented and formally reviewed by the appropriate Safety and/or Environmental Committees. Where any advice has not been followed the justification is to be documented and communicated to the Accountable Person.

References

[ASEMS SMP02 – Safety Committee \[5\]](#)

[ASEMS Policy Clause 5.9 Specialist Advice \[7\]](#)

[JSP 815 Volume 1 Defence Safety Management System Framework \[1\]](#)

[Report of the Armoured Cavalry Programme \(Ajax\) Lessons Learned Review \[7\]](#)

Justification – Where specialist advice has not been followed, this may create or contribute to a safety risk for the PSS, risks associated with PSS are to be adequately controlled and mitigated through its entire lifecycle and where necessary elevated to the appropriate Accountable Person, iaw JSP 815 Expectation 7.2 and Report of the Armoured Cavalry Programme (Ajax) Lessons Learned Sheldon Review recommendation.

Rule 13 – Each ESR shall have a clearly identifiable Principal Engineer (PE) to assure engineering and safety outputs.

Guidance – The safety delegation aspects of the PE role in support of the ESR for each theme is detailed in Annex A. The PE may fulfil an SSR role if they have been assessed and found competent/competent with caveats to do so. If the PE also fills an SSR role the ESR can also stipulate that the PE SSR should subject themselves to peer review regularly to provide additional assurance. PEs can hold SSR delegations across the ESR's portfolio, as appropriate, to provide resilience. Replacement for an SSR is the responsibility of the respective Skills Group. The ESR may identify more than one PE if they deem there is a sufficient level of risk across their theme. The PE is the engineering deputy to their respective ESR. The term PE will not be used in any other manner or used to describe a position that does not hold these responsibilities.

References

[JSP 815 Volume 1 Defence Safety Management System Framework \[1\]](#)

PE information found at [Engineering Profession Intranet Page](#)

Justification – 1LOD seeks to understand risks owned by delivery and provide confidence in the outcomes of a project. By identifying a PE to conduct risk based 1 LOD (including 2PA) assurance the ESR has ensured that the PSS is/remains Safe to Operate iaw JSP 815 Expectation 12.1.

Additional Rules for SSR (and SR where applicable) Holders

4.5. In addition to the rules in section 4.3 above, the following rules are specific and applicable to SSR Delegation (and SR where applicable) holders.

<p>Rule 14 – SSRs shall be the primary safety interface to respective Accountable Persons.</p> <p>Guidance – SSR/Accountable Person interfaces will be identified and documented along with responsibilities, resources and interfaces with MOD, contractor, and specialist advisors as per the unified DE&S SEMS. This will be aligned to the Accountable Person construct. The SSR will hold a supporting PSEC (PSEP Air). The relationship will be documented within the SEMP owned by the SSR. Where very high levels of S&EP risks are identified which the SSR cannot mitigate, the process within S&EP Leaflet 03/2011 informs Accountable Persons of the risk. SSRs are to ensure ESRs are informed of referred/escalated risks to inform top level safety governance arrangements and ensure that the process is followed for escalating or referring risk to Accountable Persons.</p> <p>References – ASEMS SMP03 – Safety Planning. ASEMS SMP01 – Project Safety Initiation Annex A – Taxonomy Definitions, Delegated Responsibilities and Guidance</p> <p>Justification – Essential to define DE&S responsibilities aligned to Accountable Persons.</p>
<p>Rule 15 – Independence between SSR and DT Leader Responsibilities shall be demonstrated.</p> <p>Guidance – The two acceptable means of compliance:</p> <ul style="list-style-type: none"> • The accepted method for demonstrating independence is to assign DT Leader 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 ESR and Dir E&S (by issuing a LoD) with arrangements and safeguards to mitigate potential conflicts of interest documented in the SEMP. <p>S&EP Leaflet 03/2011 provides further information on escalation/referral mechanisms within the delegation construct.</p> <p>References HS&EP Operating Model Section 5.1 Engagement with Internal Stakeholders and Section 3 – Performance, Risk and Assurance Figure 5</p> <p>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 unified DE&S SEMS. Therefore, it is essential to demonstrate and document independence between the SSR and DT Leader Responsibilities.</p>
<p>Rule 16 – SSRs shall own a PSS SEMP & chair a PSEC (PSEP Air).</p> <p>Guidance – The SEMP will define the SSRs approach to comply with the unified DE&S SEMS and applicable regulations/legislation. The PSEC Quorum will include (but not limited to) individuals in safety delegated assignments and a Safety Manager. The SSR will own (or co-own) the SEMP and Chair the PSEC/PSEP.</p> <p>Reference – ASEMS SMP02 – Safety Committee</p> <p>Justification – To reinforce the requirement for SSR (or delegated person) and SM as part of the Quorate to be in attendance at a PSEC/PSEP reflecting their different roles and responsibilities.</p>

Rule 17 – SSRs shall be responsible for “Safe to Operate” Products, Systems & Services

Guidance –SSRs endorse the levels of risk presented by the PSS that they manage through the application of formal risk identification and assessment.

SSRs are responsible for ensuring ‘Safe to Operate’ PSS delivered directly to an ‘Operate Safely’ Accountable Person in accordance with the unified DE&S SEMS and their PSS SEMP. SSRs will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.

When a project is transferred to Core, the Accountable Person will be identified alongside the Primary Accountable Person facing ESR & SSR, recognising Platform / System Primacy (if applicable).

In instances where multiple themes overlap and Platform Primacy has been identified, the Platform SSR in the Primary Accountable Person facing role will assume overall responsibility for making safety decisions & recommendations for the complete integrated system. The Platform SSR is the final DE&S signatory ensuring ‘Safe to Operate’ before release to the ‘Operate Safely’ Accountable Person. The Platform SSR will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.

In instances where multiple themes overlap and System Primacy has been identified, the Technology SSR in the Primary Accountable Person facing role will assume overall responsibility for making safety decisions & recommendations for the complete integrated system. The Technology SSR is the final DE&S signatory ensuring ‘Safe to Operate’ before release to the ‘Operate Safely’ Accountable Person. The Technology SSR will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.

Primary SSRs will ensure that residual risks and identified hazards transferred from supporting Environment / Technology themes are acknowledged and assessed in their Safety (and Environmental) Case.

SSRs in the supporting Environment / Technology themes will ensure they provide appropriate safety input, transfer residual risk and identified hazards and provide requisite support to the to the Primary SSR.

References

Letter of Delegation / Appointment Templates
Assignment Specification Templates
ASEMS SMP09 – Risk Acceptance

Justification – ‘Safe to Operate’ is the frontier of DE&S PSS safety responsibility.

Rule 18 – When industry are providing or supporting Products, Systems & Service, SSR/SRs shall ensure that they are compliant to appropriate standards.

Guidance – Industry are expected to comply with DefStan 00-056 [8] and other appropriate standards and provide demonstrable evidence of compliance, when requested by the Authority/Representative.

SSR/SRs will ensure all received safety products are assessed/endorsed by an individual in possession of a formal LoD.

References –

Letter of Delegation / Appointment Templates

Assignment Specification Templates

[ASEMS SMP10 – Safety Requirements and Contracts](#)

[Defence Standard 00-056 Safety Management Requirements for Defence Systems Part: 01 : Requirements and Guidance \[8\]](#)

Justification – This is creating the build-up of supporting safety evidence underpinning the Safety Case/Assessment.

Rule 19 – Any movement within the first three years of an individual in an SSR Assignment shall be subject to approval by the ESR and Dir E&S

Guidance – Individuals will be automatically exempt from redeployment without agreement of ESR and Dir E&S.

Reference – People Management Model and Corporate to define succession planning process.

Justification – Continuity is required for these assignments.

Additional Rules for Safety Managers

4.6. In addition to the rules in section 4.3 above, the following rules are specific and applicable to Safety Manager Assignments

Rule 20 – SSRs shall issue a Letter of Appointment (LoA) to the SM (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 SM as per the Assignment Specification is responsible for ensuring process, policy and appropriate safety tools and techniques are applied.

Where the resource is provided through Internal Technical Services (the Service Provider), the Assistant Head Safety (DES EngSfty-EG-ITSSSED AstHd-Sfty) will accept the LoA 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 LoD / LoA Templates
Assignment Specification Templates
Engineering Success Profiles,

Justification – There is a need to recognise the SM is key to providing support to the SSR/SR/SD and safety decision making. The SM 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 SM.

5. Authorisation

Issued under the Authority of
John Allan DES EngSfty-QSEP Hd

Acronyms / Abbreviations / Definitions

AP	Accountable Person defined as: individual accountable for 'Operate Safely', referred differently in respective regulations as Delivery Duty Holder / Operating Duty Holder / Senior Duty Holder / Senior Responsible Officer / Lead User / Head of Establishment.
AOR	Area of Responsibility
AS	Assignment Specification
CEO	Chief Executive Officer
DE&S	Defence Equipment and Support
Dir E&S	Director Engineering and Safety
DSA	Defence Safety Authority
DH	Duty Holders have a personal level duty of care for the personnel under their command; those who, by virtue of their temporary involvement in aviation 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. [8]
ESR	Executive Safety Responsible
HEA	Head of Engineering Assurance
LoD	Letter of Delegation
LOD	Lines of Defence (Can be First (1LOD), Second (2LOD) or Third (3LOD))
Major/Complex System	A system comprising multiple interacting elements, whose behaviour is not fully predictable from its parts and whose safe operation depends on systematic hazard identification, risk management and whole-lifecycle assurance.
PA	Party Assurance (Can be First (1PA), Second (2PA) or Third (3PA))
Platform	A cohesive entity where structures & systems work together, communicating and coordinating to achieve the overall mission objectives, e.g. Ship, Armoured Vehicle, Aircraft, or Cruise Missile.
Platform Primacy	<p>'Platform Primacy' is the approach to prioritization where the Platform dominates within the overall integrated System of Systems when products or sub-systems are integrated into or used by a Platform.</p> <p>The Platform ESR/SSR will be in the Primary Accountable Person facing role and will assume overall responsibility for making safety decisions and recommendations to the Accountable Person for the complete integrated System.</p>
PSEC/PSEP	Project Safety and Environmental Committee / Panel
PSS	Products, Systems & Services
QSEE	Quality Safety Environmental and Engineering

S&E	Safety and Environmental
S&EP	Safety and Environmental Protection
SD	Safety Delegated
SEMP	Safety and Environmental Management Plan
SEMS	Safety and Environmental Management System
SM	Safety Manager
SME	Subject Matter Expert
SR	Safety Responsible
SSR	Senior Safety Responsible
Standalone System	A system that operates independently and is not part of a Platform.
System Primacy	<p>‘System Primacy’ is the approach to prioritization where the Technology System (Typically Major/Complex) dominates within an overall integrated System of Systems (which may include a Platform from which it operates).</p> <p>The Technology ESR/SSR will be in the Primary Accountable Person facing role & will assume overall responsibility for making safety decisions and recommendations to the Accountable Person for the complete integrated system.</p>
Theme	<p>Within Core Delivery there are two groups of Themes:</p> <p>Environment Themes: reflect the physical space in which the platform/systems operate and not the Front-Line Commands that operate them; and</p> <p>Technology Themes: similar equipment types (like radios), co-located within the same technology theme often serving all Environments.</p>

References

- [1] Ministry of Defence, *JSP 815 Volume 1 Defence Safety Management System (Framework) V1.2*, 2024.
- [2] Ministry of Defence, "JSP 815 Part 1 : Defence Safety Management System (SMS) Framework Version 1.0," Sept 2022.
- [3] Ministry of Defence Permanent Secretary , *Defence Equipment and Support - Authority of the Chief Executive*, 2022.
- [4] D. EngSfty-QSEP-SEP-TL, *Leaflet 17/2023: Delegated Aquisition Safety Responsibilities in DE&S New Operating Model*, 2024.
- [5] QSEP, *ASEMS Part 2 - Guidance, SMP02 Safety Committee v4.3*, 2021.
- [6] MRP, RA1012 Director General (Air) Air Safety Responsibilities Issue 5.
- [7] QSEP, *ASEMS Policy Clause 5.9 Specialist Advice v3.2*.
- [8] Ministry of Defence, *JSP 815 Volume 1 Defence Safety Management System (Framework) V1.1*, 2023.
- [9] D. EngSfty-QSEP-SEP-TL, *Leaflet 17/2023: Delegated Aquisition Safety Responsibilities in DE&S New Operating Model*, 2024.

Annex A – Taxonomy Definitions, Delegated Responsibilities and Guidance

1. Those delegated to be Executive Safety Responsible (ESRs) may tailor the definitions to align with Regulatory requirements where necessary but remain responsible for ensuring the taxonomy is applied consistently within their areas.

Executive Safety Responsible

2. Individuals deployed to ESR assignments have formal responsibility for the safety of PSS as part of DE&S leadership or executive are responsible for ensuring their Theme's management arrangements comply with the unified DE&S SEMS.
3. ESRs have a responsibility to ensure that the organisation provides the right arrangements (in terms of delegations, resources, governance and leadership) to ensure that systems have and maintain safe to operate declarations.
4. ESRs will provide support to Gateway (Options & Commissioning) phase to enable successful transfer of new PSS projects that fall within their theme into core.⁷
5. ESRs in Core will delegate to SSRs in Gateway for PSS that fall within their theme category to ensure competent personnel commence new projects appropriately and in accordance with the DE&S SEMS.
6. When a project is transferred to Core, the AP will be identified alongside the Primary Accountable Person facing ESR & SSR, recognising Platform / System Primacy (if applicable).
7. In instances where Platform Primacy has been identified the Platform ESR will be in the Primary Accountable Person facing role and will assume responsibility for ensuring arrangements are in place and there is an identified SSR for making safety decisions and recommendations to the Accountable Person for the complete integrated System.
8. In instances where System Primacy has been identified the Technology ESR will be in the Primary AP facing role & will assume responsibility for ensuring arrangements are in place and there is an identified SSR for making safety decisions & recommendations to the AP for the complete integrated system.
9. In instances of Platform / System Primacy, ESRs in the supporting themes will ensure arrangements are in place to provide appropriate safety input & support to the Primary theme's SSR and residual risk and identified hazards are transferred.
10. Individuals deployed to the ESR assignment need to understand and endorse the Acquisition Safety Laydown within their respective areas ensuring that any personal Safety Training requirements are fulfilled, across the Acquisition Safety Laydown.

⁷ Responsibility lies with Gateway (Options & Commissioning) to engage with Core ESRs to brief on new PSS.

11. ESRs are to ensure succession planning with appropriate training requirements, mentoring and experience opportunities given to SSRs.
12. ESR assessments are to be conducted by Dir E&S, assisted by the relevant HEA and ideally with input from respective DSA Regulator(s) from appropriate Environment(s) prior to being assigned.
13. The ESR construct is based on the following delegations shown in Figure 2 below:

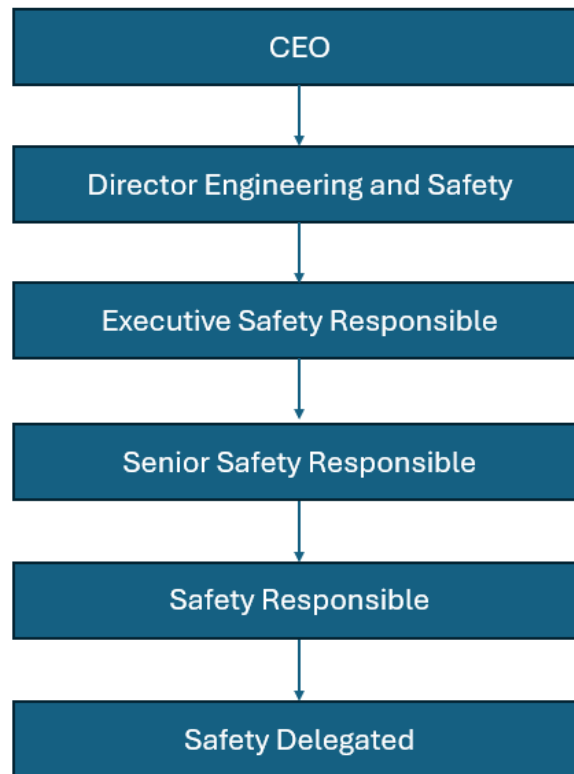


Figure 3: Acquisition Safety Delegations Construct

Senior Safety Responsible (SSR)

14. Individuals deployed to SSR assignments have formal responsibility for ensuring 'Safe to Operate' PSS they deliver to 'Operate Safely' Accountable Persons.
15. Individuals deployed to SSR assignments will be demonstrably competent to hold formal delegation.
 - At Major/Complex System and/or Platform level, and as the final signatory of safety approvals which permit Major/Complex 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 Case/Assessment.
16. The SSR is "the" key individual responsible for the delivery of safe PSS to the Mission Partners (represented by the Accountable Person).

17. SSRs may delegate Accountable Person facing responsibilities to SRs as defined in their Letters of delegation and associated Assignment Specification.
18. In instances where multiple themes overlap, and Platform Primacy has been identified:
- a) The Platform SSR in the Primary Accountable Person facing role will assume overall responsibility for making safety decisions and recommendations for the complete integrated system.
 - b) The Platform SSR will provide the final DE&S Signatory ensuring 'Safe to Operate' before release to the 'Operate Safely' Accountable Person.
 - c) The Platform SSR will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.
19. In instances where multiple themes overlap, and System Primacy has been identified:
- a) The Technology SSR in the Primary Accountable Person facing role will assume overall responsibility for making safety decisions & recommendations for the complete integrated system.
 - b) The Technology SSR will provide the final DE&S Signatory ensuring 'Safe to Operate' before release to the 'Operate Safely' Accountable Person.
 - c) The Technology SSR will be the primary interface to provide authoritative advice and to transfer residual risk and identified hazards to the Accountable Person.
20. In instances where multiple themes overlap, Primary SSRs will ensure that residual risks and identified hazards transferred from supporting Environment / Technology themes are acknowledged and assessed in their Safety (and Environmental) Case.
21. In instances where multiple themes overlap, SSRs in the supporting Environment / Technology themes will ensure they provide appropriate safety input, transfer residual risk and identified hazards and provide requisite support to the to the Primary SSR.

Safety Responsible (SR)

22. 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 safety approvals for equipment and systems (if delegated from SSR).
23. SR assignment holders may be delegated to:
- Represent the SSR to the Accountable Person within the scope of their Letters of Delegation, i.e., making representation to the Accountable Person about equipment that they manage, which is supplied directly to the Accountable Person.
 - 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)

24. 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; and
- As the final signatory of safety approvals in specialist areas.

25. 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; and
- Escalate key safety issues to the relevant SRR or Duty Holder.

Safety Assurance

26. The DE&S governance model requires Safety Assurance to be undertaken at a number of levels, commonly referred to as 1LOD, 2LOD or 3LOD. This is shown in Annex C.

Safety Manager (SM)

27. 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; and
- Working with colleagues at all levels to ensure compliance with relevant statutory legislation and regulations, MOD regulations and DE&S Policy.

28. 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 (and Environmental) Committees/Panels;
- 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.

Safety Core

29. 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.

Principal Engineer (PE)

30. The role of the PE is not specifically detailed within the Acquisition Safety taxonomy diagram; however, the PE is an important role in supporting their ESR as part of 1LOD assurance of engineering and safety output.
31. The PE is identified as the Senior Engineer within an Environment/Technology Area of at least Senior Professional (SP) grade who may hold SSR delegation across the ESR's portfolio of deliverable PSS; accountable to the ESR for assuring engineering outputs and meeting appropriate regulatory and legal requirements within their Area of Responsibility (AOR). The PE role is a Generic Assignment Specification owned by Engineering Profession to compliment the Engineering Profession Success Profiles.
32. PEs act as their ESRs Engineering deputy and principal engineering advisor and provide SME advice and assurance to the ESR on Regulated Environment specific safety matters and the effective delivery of the unified DE&S SEMS at 1LOD across the ESR's AoR.
33. For more information on the Principal Engineer Terms of Reference, visit the [Engineering Professions DE&S Intranet page](#).

Annex B – Training / Competence Maps

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

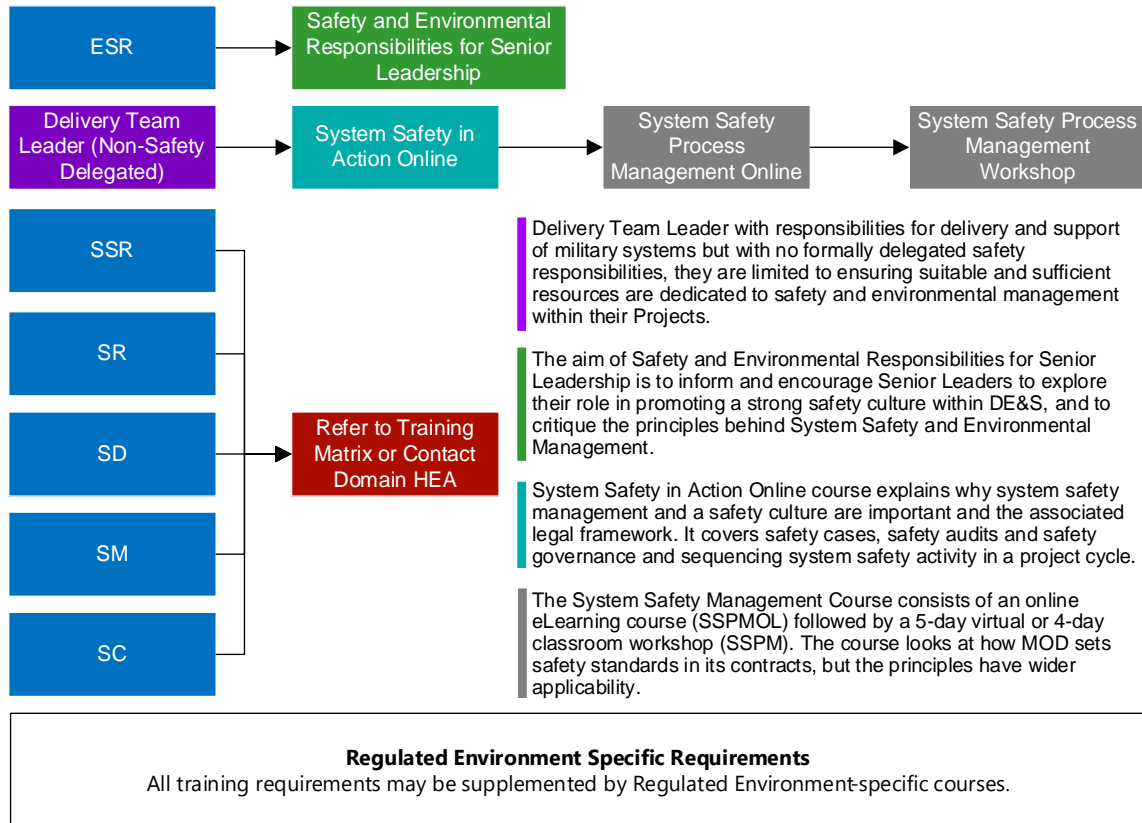


Figure 4: System Safety Training in DE&S

Annex C – Assurance in the DE&S Op Model

Assurance in the DE&S Op Model – v3.0 March This is part of the overall DE&S Assurance model covering Corporate Oversight, the Technical Authorities in Systems Integration, System Owner Authorities in Corporate, and Delivery Teams							
	Definition	Purpose	What is it?	Who does the work?	What type of assurance and who conducts it?	What evidence is produced and who is it used by	Examples
1st Line of Defence (1LOD)	The 1LOD is having delivery processes with embedded controls. Risk mitigation and assurance activity is delivered as part of DE&S delivery processes, including project and non-project outputs. Actions taken to mitigate risks associated with delivery are carried out in the management chain where delivery takes place.	Seeks to understand risks owned by delivery and provide confidence in the outcomes of a project. The outcome of effective 1LOD is that the right outcomes are delivered in the right way, and that risk is managed appropriately.	Activity that is required to deliver the capability outcome through the mitigation of risk; • Having and following the right process • Having the right competence • Making the right tailoring choices and decisions	Competent people in Gateway, Core and Corporate¹	1LOD Assurance can be: • 1st Party - competent people internal to the delivery team • 2nd Party - independent to the delivery team, either provided as a service to them from Expert Services (e.g. Independent Safety Audits, QA on a supplier), or conducted by an authorised team /role (such as the Principal Engineer, as per ASEMs Leaflet 19) • 3 rd Party - conducted by an external body [Note: These reflect the <u>degree of independence</u> required for those carrying out assurance activity, but it is still assurance that seeks to understand risks owned by delivery and provide confidence in the outcomes of a project]	• The output of a control point (e.g. the record of a review, the approval obtained, or a decision taken) • The output of any 1LOD Assurance activity (including corrective actions) The evidence is primarily used by the delivery team to understand risks but must also be available to use for 2LOD.	• Artefact approval • Certification of equipment • Quality Assurance conducted on a Supplier (on behalf of the project team) • Where process calls for an independent safety audit • Targeted review to address an identified risk to delivery
2nd Line of Defence (2LOD)	Authorities and Oversight provide the tools, systems, and advice necessary to support the first line in identifying, managing and monitoring their risks. 2LOD Assurance provides confidence that these DE&S systems of control manage risks appropriately and produce the right outcomes.	Seeks to understand the risks owned by DE&S and provide confidence in DE&S outcomes. The outcome of effective 2LOD is that DE&S delivers the right outcomes, and that risk at the DE&S level is managed appropriately.	Activity that is required to address DE&S level risk; • Analysis of risk and controls, utilising; data / information from delivery activity, evidence from 1LOD assurance and evidence from other 2LOD assurance activity	Competent people within System Integration Authorities, Corporate Oversight and Corporate Authorities	2LOD Assurance can be 1 st , 2 nd or 3 rd Party [Note: These reflect the <u>degree of independence</u> required for those carrying out assurance activity, but it is still assurance that seeks to understand risks owned by DE&S, and provide confidence in DE&S outcomes]	• The output of any 2LOD Assurance activity includes assurance findings and corrective actions (actions often owned by Authorities, but also by process owners, delivery teams, professions etc) The evidence is primarily used by Authorities to identify risks, but must also be available to use for 3LOD	• Identification of poor control outputs • Identification of systemic competence gaps • Quality Assurance strategic intelligence about a Supplier • Targeted review to address an identified risk to DE&S (either because it impacts across DE&S, or where a project has sufficient bearing, this may require a review of a single project)
3rd Line of Defence (3LOD)	3LOD is external to DE&S.	Seeks to understand the risks owned by MOD (or external bodies) and provide confidence in MOD outcomes.	External assurance activity for which DE&S must provide evidence	External resource (although provision of evidence likely to be resourced internally)	3LOD Assurance is always 3rd Party as is external to DE&S	Evidence is provided to the external body and may include the output of 2LOD Assurance and 1LOD Assurance, or specific information required by the external body.	• Defence Functions' Annual Assurance Reports • DSA Assurance • Targeted external review to address an identified risk (such as NAO audit)