DE&S SAFETY AND ENVIRONMENTAL PROTECTION LEAFLET 19/2024

DELEGATED ACQUISITION SAFETY RESPONSIBILITIES FOR EXECUTIVE SAFETY RESPONSIBLE ASSIGNMENT HOLDERS IN DE&S		
Sponsor: DES EngSfty-QSEP Hd	**Version: 1**	**Date of Issue: September 2024**
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1. Introduction

1.1. Within Defence Equipment and Support (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 (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 (i.e., where sub-Executive Safety Responsible (ESR) roles are currently not filled i.e. Senior Safety Responsible (SSR), the ESR may be required to be the final key signatory) including safety case documentation, safety certificates and release-to-service documents. As safety LoD 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 LoD, including assessing the competence of the assignment holder and streamlining the recruitment process to minimise the time that such assignments are vacant. Individuals deployed to ESR assignments have formal responsibility for the safety of platforms, systems, and equipment as part of DE&S leadership or executive. Furthermore, the 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.

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 outcome of effective 1LOD is that the right project outcomes are delivered in the right way, and that technical risk is managed appropriately)

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; the ESR manages the Regulated Environment SEMS)

Safety Assurance – 2nd Line of Defence
(The outcome of effective 2LOD is that DE&S delivers the right outcomes, and that technical risk at the DE&S level is managed appropriately)

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))

Safety Assurance – 3rd Line of Defence
(Seeks to understand the risks owned by MOD (or wider) and provide confidence in MOD outcomes).
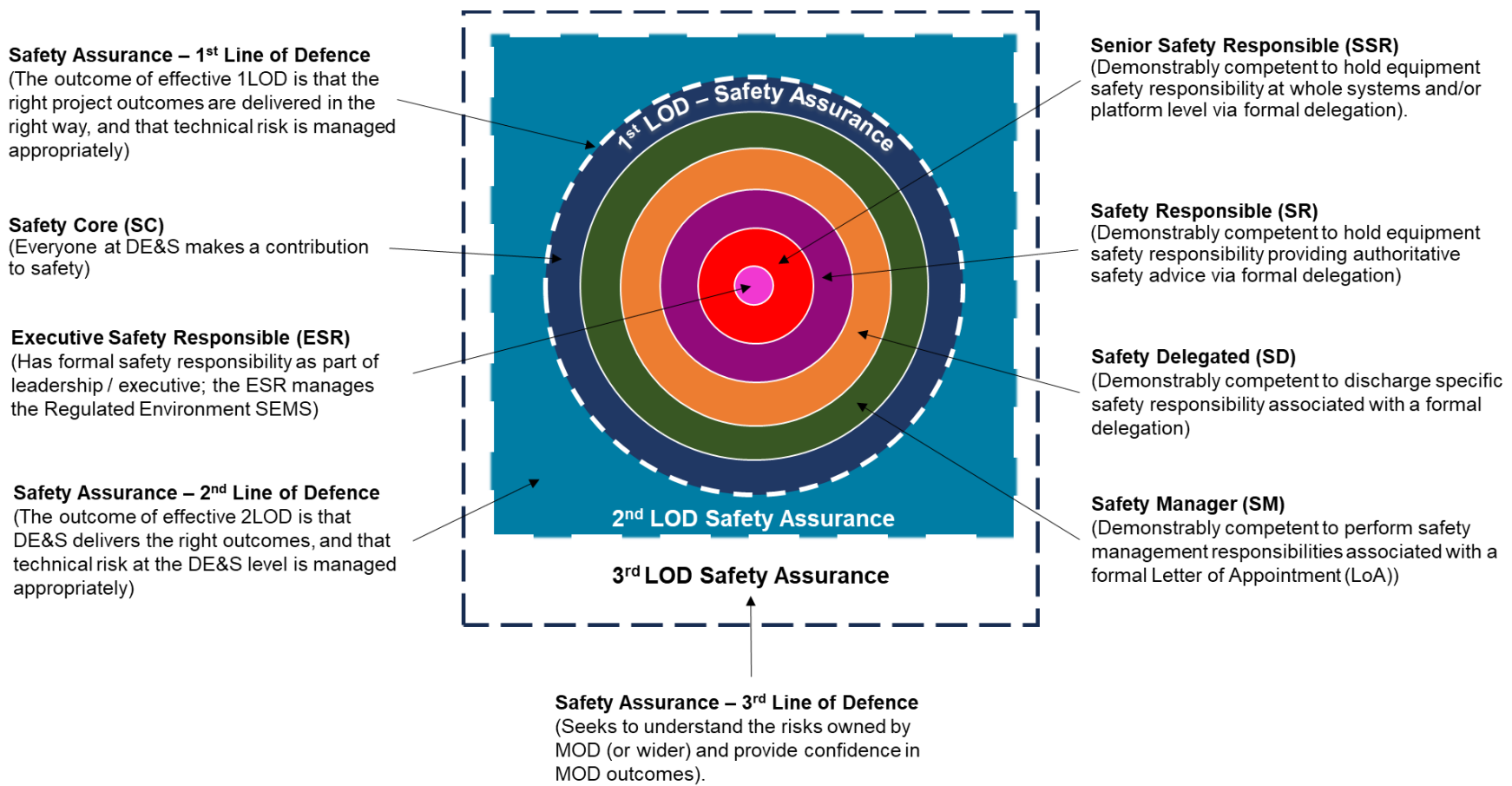
Figure 1: Taxonomy of Acquisition Safety Responsibility

3. Rules

3.1. The following Rules are to be followed to the satisfaction of the DE&S Chief Executive Officer (CEO).

3.2. The following Rules are applicable to ESRs and shall be read in conjunction with S&EP Leaflet 17/2023. [1]

3.3. All the Rules shall apply from 10/2024.

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 ESR shall apply the requirements of their delegation including the required aspects of the Acquisition Safety and Environmental Management System (ASEMS) and the relevant regulated environment Safety and Environmental Management System (SEMS)
Guidance – Individuals deployed to ESR assignments have formal responsibility, for the safety of platforms, systems, and equipment 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. There should be an unbroken Letter of Delegation chain from the CEO's Letter of Authority to all delegations.
References Annex A – Taxonomy Definitions and Guidance Annex B – Training / Competence Maps JSP 815 Volume 1 Defence Safety Management System Framework [2] Letter of Authority as the Chief Executive [3]
Justification – The CEO as the Senior Accountable Person cascades safety responsibilities within DE&S, iaw JSP 815 Expectation 1.3.

Competence of Formally Delegated Individuals

Rule 2 – The ESR individual shall be demonstrably competent and at least at 2* as a minimum
Guidance – Definitions and guidance on the Safety Taxonomy given in Annex A will be followed. A waiver may be granted on agreement of CEO and Dir Eng and Safety to allow 1* to hold a ESR position. ESR's are to be demonstrably competent against their success profile and associated Assignment Specification (AS).
References Annex A – Taxonomy Definitions and Guidance Annex B – Training / Competence Maps Success Profiles
Justification – Ensures a common approach is taken across the Environments and supports succession planning. The complexity of the ESR role demands the assignment is filled with an individual with appropriate SQEP and appropriate parity with Military Commands Duty Holder (DH) interface.

Rule 3 – ESR individual shall hold Chartered Engineer Status
Guidance – Definitions and guidance on the Safety Taxonomy given in Annex A will be followed. A waiver may be granted on agreement of CEO and Dir Eng and Safety to allow ESR role to be held to an individual that does not hold Chartered Engineer status.
References Annex A – Taxonomy Definitions and Guidance JSP 815 Volume 1 Defence Safety Management System Framework [2]
Justification – The complexity and credibility of the ESR role demands the assignment is filled with an individual with appropriate SQEP iaw JSP 815 Expectation 6.5.

Governance and Assurance

Rule 4 – The ESR shall ensure Safety Governance arrangements are in place and report directly to the DE&S SHEC.
Guidance – ESRs are to ensure that the top-level safety committee is informed of the safety position of their area of responsibility.
References ASEMS SMP02 – Safety Committee [4] JSP 815 Volume 1 Defence Safety Management System Framework [2]
Justification – ESRs are responsible for providing 1LoD Assurance and assessment against JSP 815 and reporting up through their delegations iaw JSP 815 Expectation 1.5.

Rule 5 – The Executive Safety Responsible is to ensure that the Senior Responsible Owner (SRO) is informed if any appropriate specialist advice/guidance is not followed.
Guidance – Delivery Teams 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 SRO.
References ASEMS SMP02 – Safety Committee [4] ASEMS Policy Clause 5.9 Specialist Advice [5]
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 DH, SRO, and competent person, iaw JSP 815 expectation 7.2.

Rule 6 - The Executive Safety Responsible is to ensure that risk referral/escalation is undertaken iaw S&EP Leaflet 03/2011.
Guidance – Where very high levels of S&EP risks are identified which the DE&S project cannot mitigate, the process within S&EP Leaflet 03/2011 informs DHs, users, and Capability teams of the risk. ESRs are to be 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 DHs.
References S&EP Leaflet 03/2011 - Equipment Safety and Environmental Protection (SEP) Risk Referral [6] JSP 815 Volume 1 Defence Safety Management System Framework [2]
Justification –Where safety risks are significant, these risks are elevated, and leadership are actively involved in their management iaw JSP 815 Expectation 4.3.

Rule 7 – The ESR shall have a clearly identifiable Principal Engineer (PE) to co-ordinate 1 LoD[1] Assurance in their AOR
Guidance – The term Principal Engineer will not be used in any other manner or used to describe a position that does not hold these responsibilities. The role of the PE in support of the ESR is detailed in Annex A. 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. Where PEs hold SSR delegations across the ESRs portfolio, exercise of those authorities is intended for short term cover only in such instances as sickness or leave for example where decisions are needed immediately. Permanent replacement for an SSR is the responsibility of the respective Skills Group. The Teams in the DTs deliver the 1LOD, the PE is responsible for wider risk based 1LOD (including 2PA) across an ESRs portfolio. The ESR may identify more than one PE if they deem there is a sufficient level of risk across the Environment and associated Technologies.
References   Annex A – Taxonomy Definitions and Guidance   JSP 815 Volume 1 Defence Safety Management System Framework [2]   Annex D – Technical Assurance in the DE&S Op Model   Principal Engineers Accountabilities and Responsibilities [7]
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.

4. Authorisation

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

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[1] Detailed information on the Technical Assurance in the DE&S Op Model can be found at Annex D.

Acronyms / Abbreviations / Definitions

AS	Assignment Specification
ASEMS	Acquisition Safety and Environmental Management System
DE&S	Defence Equipment and Support
Dir Eng and Safety	Director Engineering and Safety
Duty Holder	Duty Holders (DH) 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. [2]
ESR	Executive Safety Responsible
LoD	Letter of Delegation
PSS	Products, Systems and Services
QSEP	Quality Safety Environmental Protection
S&E	Safety and Environmental
SD	Safety Delegated
SEMP	Safety and Environmental Management Plan
S&EP	Safety and Environmental Protection
SCMT	Safety Case Maturity Tool
SM	Safety Manager
SQEP	Suitably Qualified and Experienced Personnel
SR	Safety Responsible
SSR	Senior Safety Responsible
TL	Team Leader

References

[1] D. EngSfty-QSEP-SEP-TL, *Leaflet 17/2023: Delegated Aquisition Safety Responsibilities in DE&S,* 2024.

[2] Ministry of Defence, *JSP 815 Volume 1 Defence Safety Management System (Framework) V1.1,* 2023.

[3] Ministry of Defence Permanent Secretary , *Defence Equipment and Support - Authority of the Chief Executive,* 2022.

[4] QSEP, *ASEMS Part 2 - Guidance, SMP02 Safety Committee v4.3,* 2021.

[5] QSEP, *ASEMS Policy Clause 5.9 Specialist Advice.*

[6] QSEP, *S&EP Leaflet 03/2011 - Equipment Safety and Environmental Protection (SEP) Risk Referral.*

[7] DE&S Engineering Profession , *Principal Engineers Accountabilities and Responsibilities v 2.0,* 2024.

Annex A – Taxonomy Definitions and Guidance

1. ESR's 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 managing the Regulated SEMS 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) against their success profiles and associated assignments specifications, this is demonstrated through their knowledge of the Regulated Environment[2]. For individuals assigned to ESR assignments on TAHL (Temporary Assignment to a Higher Level), the CEO must put in place arrangements to ensure individuals are deemed competent to hold a safety delegation and that an audit trail is in place which supports that decision.

    Individuals deployed to the ESR assignment shall be responsible for ensuring that the organisation provides the right arrangements, utilising the People Management Model (PMM), to ensure that the resource deployed to the programme has the appropriate SQEP aligned to the regulator controls (defined in SEMS) and need to understand and endorse the Acquisition Safety Laydown within their respective areas ensuring that any personal S&E Training requirements are fulfilled, across the Acquisition Safety Laydown.

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

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

Figure 2: Acquisition Safety Delegations Construct

Principal Engineer (PE)

4.   The role of the PE is not specifically detailed within the Acquisition Safety taxonomy diagram; however, the PE is an important role in supporting the ESR as part of 1LOD assurance.

5.   The PE is identified as the Senior Engineer within an Environment/Technology Area of at least Senior Professional (SP) grade who can hold SSR delegation across the ESRs Portfolio; accountable to the ESR for engineering outputs and meeting appropriate regulatory and legal requirements within their Area of Responsibility (AOR). The PE is not necessarily a dedicated post but could be filled by any SQEP SP/1* already accountable to the ESR.

6.   PEs act as ESRs Engineering deputy and Principal engineering advisor and provide Subject Matter Expert (SME) advice and assurance to the ESR on Regulated Environment specific safety matters and the effective delivery of the DE&S Safety Management System at 1LOD across the ESR's AOR.

7.   See Principal Engineers Accountabilities and Responsibilities [7] for full Terms of Reference.

Annex B – Training / Competence Maps
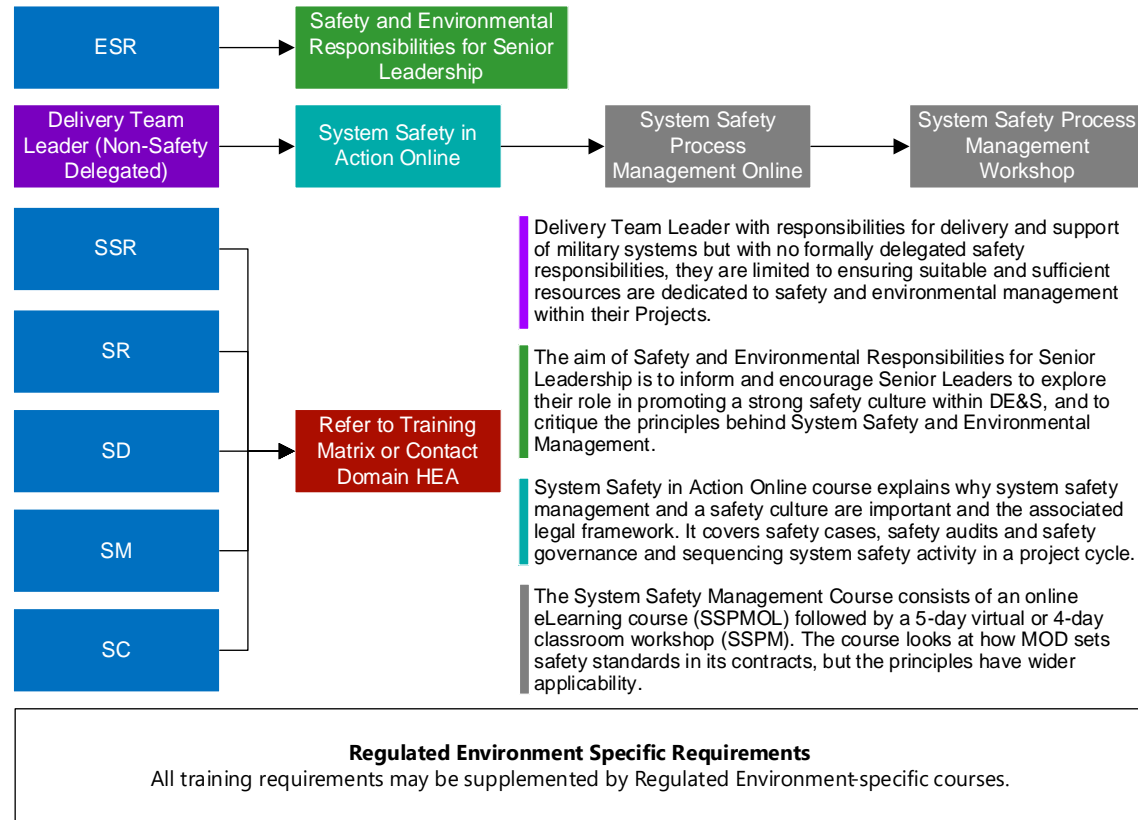
Figure 4 below defines the System Safety Training in DE&S.

Figure 4: System Safety Training in DE&S

Annex C – Acquisition Safety Delegation: ESR Handover Checklist

- The new ESR shall ensure that they fully understand where their areas of responsibility sit within the new Operating Model and that the scope of this responsibility is documented in the relevant Safety and Environmental Management Plans (SEMPs).

- The new ESR shall review the existing Acquisition Safety delegation laydown construct for the Environment and associated technologies within their area of responsibility and all relevant interfaces.

- The new ESR shall review all Safety delegations issued by their predecessor and reissue formal endorsed Assignment Specifications and Letters of Delegation (a full reassessment is not necessarily required) and existing Waivers if appropriate.

- The exiting ESR shall formally document the position of Safety artefacts under their areas of responsibility as defined in the associated assignment specification, i.e., status of current safety case report (draft/endorsed etc.) utilising the Safety Case Maturity Tool (SCMT) for Platforms and Complex Systems[3].

- The exiting ESR shall formally document what meetings/steering groups/working groups that they support (including frequency), their associated role within these meetings, and status of any outstanding actions against their role in these meetings and ensuring "Records" are declared.

- Where SSR roles are currently not filled the ESR may put in place appropriately competent SSR cover *or* may review and sign off Safety artefacts (under their area of responsibility) only if assessed as personally competent to do so.

- The new ESR shall review all extant risks (under their area of responsibility) which have been escalated to the Senior Responsible Officer, Duty Holder or other Accountable Person.

- The new ESR shall ensure adoption of the (SCMT) for Platforms and Complex Systems 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.

- Any changes to the safety delegation construct and delegated personnel shall be sent to desengsfty-qsepsep-policy@mod.gov.uk to ensure QSEP distribution lists remain current.

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

Annex D – Technical Assurance in the DE&S Op Model

Technical Assurance* in the DE&S Op Model – v2.0 August 2024 (*Technical Assurance relates to the areas controlled through the Technical Authorities in System Integration. This is part of the overall assurance model in which Oversight in Corporate and the Technical Authorities in Systems Integration collaborate to cohere assurance)							
	Purpose	What is it?	Who does the work?	What assurance is part of this?	What type of assurance and who conducts it?	What evidence is produced and who is it used by	Examples
1st Line of Defence (1LOD)	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 project outcomes are delivered in the right way, and that technical risk is managed appropriately	Activity that is required to deliver the capability outcome; • Having and following the right process • Having the right competence • Making the right tailoring choices and technical decisions	• Competent people in **Gateway and Core**[1]	1LOD Assurance is usually included within the process, as a control point	1LOD Assurance can be: • 1st Party - competent people internal to the delivery team, in Gateway and Core • 2nd Party - independent to the delivery team, either provided as a service to them from Corporate (e.g. Independent Safety Audits, QA on a supplier), or conducted by an authorised team in G/way & Core (such as the Principal Engineer, as per ASEMs Leaflet 19) • 3rd Party - conducted by an external body [Note: These reflect the degree of independence needed, 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, which will usually be owned by the project team, but may require action by the Technical Authorities) The evidence is primarily used by the delivery team to identify 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 technical review to address an identified risk to delivery
2nd Line of Defence (2LOD)	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 technical risk at the DE&S level is managed appropriately	Activity that is required to address DE&S level technical risk; • Analysis of risk, utilising evidence including; data / information from delivery activity (process and controls) undertaken in Gateway and Core, as well as evidence from any 1LOD assurance	• Competent people within **System Integration**[2] and Corporate	2LOD Assurance is based primarily on data analysis (routine Assurance by **Authorities**), and then proportionate risk-based review in response to an identified DE&S risk (such as targeted review by **Authorities**, and Assurance of Force-level Integration by **SI/SSB3**)	2LOD Assurance can be: • 1st Party - competent people within the Authorities in System Integration • 2nd Party - provided as a service to System Integration (e.g. Independent Audit of DE&S Safety Management Systems) • 3rd Party - conducted by an external body [Note: These reflect the degree of independence needed, 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 (including corrective actions, which will usually be owned by the Technical Authorities, but may require action by process owners, delivery teams, professions etc) The evidence is primarily used by the Authorities to identify risks, but must also be available to use for 3LOD	• Identification of poor control outputs • Identification of systemic skills gaps • Quality Assurance strategic intelligence about a Supplier • Targeted technical 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)	Seeks to understand the risks owned by MOD (or wider) and provide confidence in MOD outcomes.	External assurance activity for which DE&S must provide evidence	• External resource	3LOD Assurance is based on evidence requested by the external body	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)

[1] **1LOD** is conducted in all areas of DE&S, since there are 1st line controls across the whole organisation. The Technical Assurance here focusses on the delivery of products and services through the Gateway and Core value streams.

[2] **2LOD** is conducted in Corporate and System Integration. The Technical Assurance here focusses on the 2LOD Assurance of areas controlled through the Technical Authorities in System Integration.