

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM		
ASSESSMENT ASSESSMENT PROCESS		AST/001
		ISSUE 002
Approved By: <i>R P Pape</i>	Dr R P Pape	Issue Date: 18/02/03
Open Government Status: Fully Open		Review Date: 18/02/06

1. Purpose & Scope

1.1 This document sets out NSD's process for dealing with the assessment of written submissions on any aspect of the activities of duty holders pertinent to safety and radioactive waste management, including the making of judgements on adequacy and reporting the results.

2. Policy

2.1 Consideration of a licensee's safety case or other submission should follow NSD's normal approach to making regulatory decisions: NSD assesses and inspects on a sample basis, involving consultants where appropriate. The extent of the sampling should be based on professional judgement of the work required to attain regulatory confidence in the adequacy of the submission.

2.2 Except where statutory requirements apply, NSD assessors should apply judgement based on their knowledge and experience in the interpretation of HSE's Safety Assessment Principles.

3. Responsibilities

3.1 The head of each of NSD's Assessment Units is responsible for accepting or rejecting and allocating assessment work to an appropriate member of staff within their command. They also have a responsibility, when reviewing regulatory advice arising from assessment, for providing a challenge function to test the robustness of such decisions, whether or not licensee proposals are supported.

3.2 The head of each Assessment Unit is responsible for ensuring that the form of output is suitable for any assessment work undertaken within their Unit. The normal form of output for assessments of safety

submissions in support of NII's permissioning activity is an assessment report (AST/003), although a note or minute may be acceptable where advice of an uncontentious nature on a brief matter has been sought. Notes may also be used where an urgent decision by the enforcing unit is required pending formal completion and reporting of the work.

3.3 The assessor is responsible for planning and undertaking any allocated assessment task to the required standard, exercising discretion in the selection of an appropriate part or sample of the submission for detailed study, and for keeping an appropriate record of the work undertaken.

3.4 The assessor is also responsible for keeping the ARF originator and Unit Head informed of progress, for seeking to clear assessment findings and for ensuring that there is a formal record of how findings and issues have been resolved, recording them in the Issues Database if not resolved by the time the assessment report is written (consultation within NSD is necessary if substantial work by the licensee would be required, or if formal enforcement action should be considered).

4. Definitions

4.1 Assessor - the inspector undertaking the assessment, normally a discipline specialist.

4.2 HSE - Health and Safety Executive

4.3 ARF - Assessment Request Form

5. Procedure

5.1 See flowchart **AST/001**

6. Associated Documents

6.1 Safety Assessment Principles for Nuclear Plants

6.2 Topic based Technical Assessment Guides

6.3 AST/FWD - Assessment Foreword

6.4 G/AST/001- Guidance: Assessment Process

6.5 AST/002 - Assessment Activity Management

6.6 AST/003 - Assessment Reports

6.7 AST/004 - Issues Recording Process

Flowchart for Assessment Process

Responsibility

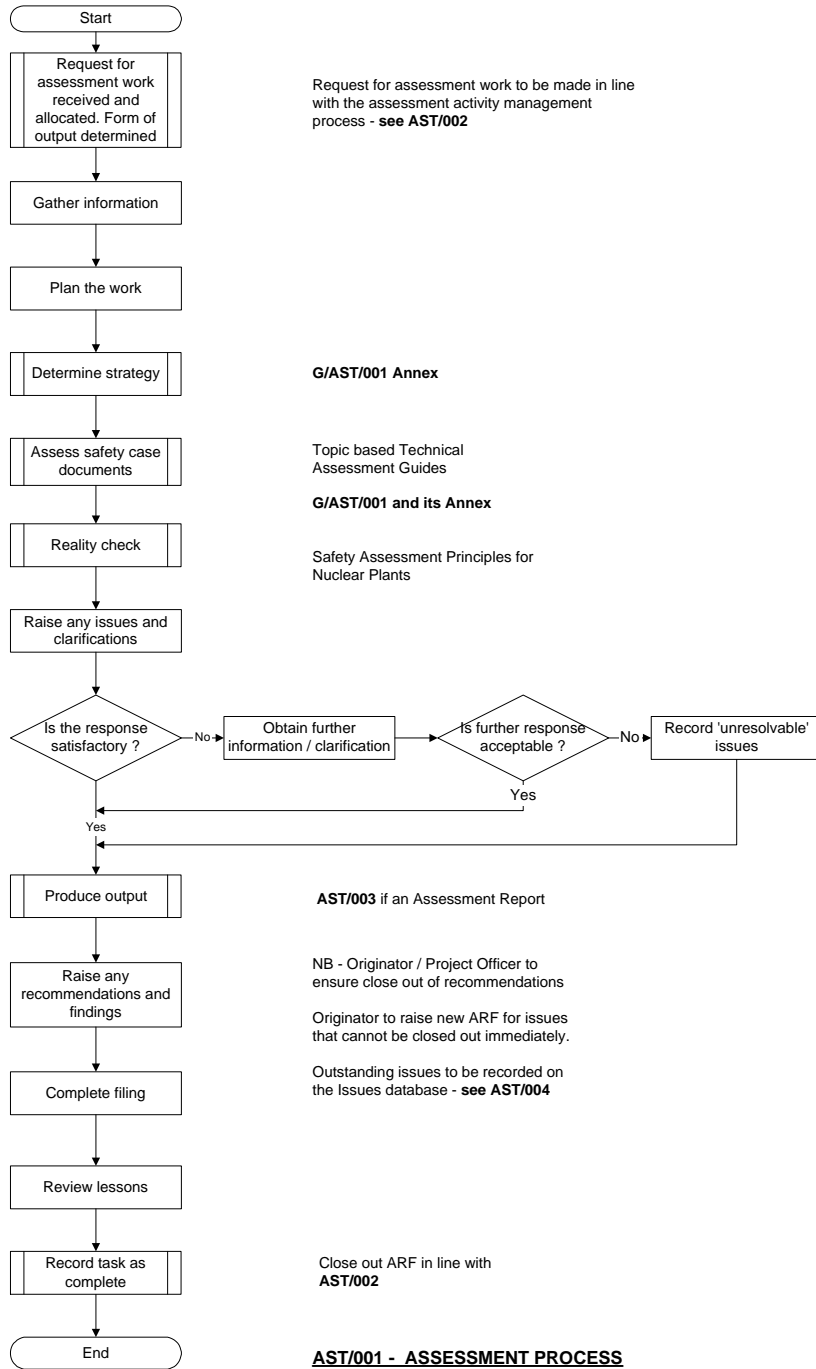
Procedural / Guidance Documents

Assessment Unit Head

Assessor

Assessor / Originator

Assessor



Request for assessment work to be made in line with the assessment activity management process - **see AST/002**

G/AST/001 Annex

Topic based Technical Assessment Guides

G/AST/001 and its Annex

Safety Assessment Principles for Nuclear Plants

AST/003 if an Assessment Report

NB - Originator / Project Officer to ensure close out of recommendations

Originator to raise new ARF for issues that cannot be closed out immediately.

Outstanding issues to be recorded on the Issues database - **see AST/004**

Close out ARF in line with **AST/002**

AST/001 - ASSESSMENT PROCESS

Flowchart for Assessment Process

Responsibility

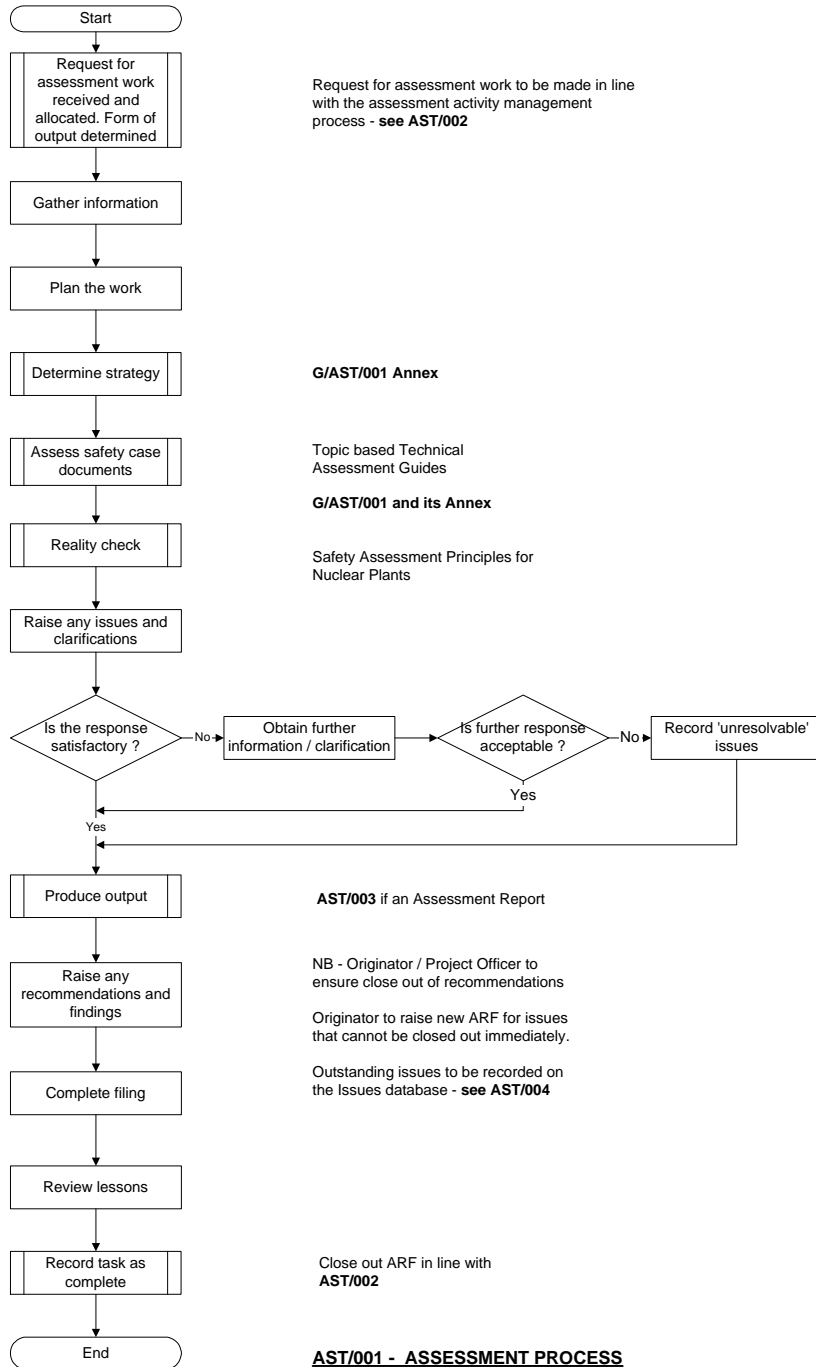
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AST/001 - ASSESSMENT PROCESS