

<b>NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM</b>		
<b>BUSINESS SUPPORT TRAINING AND DEVELOPMENT FOR NII INSPECTORS</b>		<b>BSS/HRM/029</b>
		ISSUE 001
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## 1. Purpose and scope

1.1 This procedure sets out a framework for the development of the knowledge and understanding needed for recruits to NII inspection duties in NSD to become effective Inspectors. Since the normal practice is for recruits to start in assessment work, the procedure assumes that this is the case and sets out development steps on this basis. It concentrates on pre-joining activity, induction, and the first three years in NSD. The procedure is not specifically intended to apply to non-nuclear Inspectors within NSD, but provides useful guidance on the generic steps they should follow.

1.2 The procedure extends in outline to subsequent moves to site/project inspection roles and managerial positions but not to NSD strategy roles or to other parts of HSE. Similarly it does not cover development within current functions, which is regarded as a matter for jobholders/line managers (and NTLs). The relevant sections can be used to establish appropriate development schemes for those unusual cases where new joiners move straight into site/project inspection.

1.3 No distinction is made in this procedure between those recruited directly into NSD, those transferred from other parts of HSE/OGD, or those moving within NSD. It is expected that line managers will use the basic information in this procedure to adapt to any circumstances outside the normal entry route.

1.4 The emphasis in this procedure is on training and development provisions. Competence is covered by a separate procedure BSS/HRM/024. However, a measure of competence can be obtained by judging the extent to which individuals have completed or followed the training and development provisions identified in the annexes. These

are linked directly to the competence framework in BSS/HRM/024.

## **2. Policy**

2.1 It is NSD policy for new Inspectors to normally start in assessment positions. The reason for this is to allow time for the development of sufficient understanding of the regulatory framework and associated duties before full exposure to site/project inspection work.

2.2 The vehicles for the acquisition of the necessary knowledge and experience are on-job training, mentoring, guided self-learning, and training courses/tutorials. Between them, line managers and jobholders have crucial roles in facilitating these processes. Training courses should preferably be used as part of wider developmental arrangements rather than as an end in themselves.

2.3 Centrally-organised HSE courses and tutorials provided under the HSE Early Years Training (EYT) programme will be utilized as much as is appropriate.

2.4 The leader of the Training and Development Sub-Group exercises a co-ordination and oversight role with regard to the implementation of this procedure.

2.5 Technical competence is assumed to be sufficiently tested on entry to NSD. The development of technical competence thereafter is secured through CPD and with the guidance of the relevant NTL.

2.6 Training and development are key elements of continuous improvement and NSD's capability as a 'learning organization.' This procedure is therefore aimed not just at individuals but also at the organization as a whole, for example when new issues emerge or when a Directorate/Division-wide deficiency becomes apparent.

2.7 Entrants to NSD are expected to possess a degree (or equivalent - eg pass in Institution examinations), membership of an appropriate professional institution and at least five years' post-membership experience in the nuclear or high hazard industries.

2.8 As a matter of principle, NSD is committed to ensuring that every member of the Directorate will, in line with aims, objectives and values, receive the training and development they need to maintain and improve their performance, equipping them to tackle new responsibilities as they arise and enabling them to develop throughout

their career in NSD and HSE.

2.9 NSD will seek, through CDRG, to cycle staff between site/project inspection roles and assessment roles, commensurate with business needs, individual preferences and the capabilities/skills that individuals bring to their job. As a rule of thumb, site/project inspectors can expect to remain in their current position for 3-4 years and specialist inspectors in their current tasking for 6 years.

2.10 It is expected that for all staff, career development will be achieved through a combination of experience within a job function as well as in a variety of job functions. For the Senior Civil Service, it is the expectation that a combination of experience in policy, operational and corporate (eg finance, IT, planning, personnel) functions will be required.

### **3. Responsibilities**

3.1 **Heads of Division** will, subject to the need to balance work and training and development commitments, release staff for individual training and development activity and ensure that all relevant staff attend training that is intended to address corporate 'learning' needs.

3.2 **Line Managers** are responsible for guiding the development of inspectors by:

- Ensuring that induction training is completed.
- Establishing the gap between competence on entry to NSD and that required to be an effective Inspector.
- Establishing a development action plan, with the jobholder, to make good any development needs identified above.
- Arranging a mentor.
- Ensuring that the development action plan is carried out and monitoring the acquisition of the intended skills.
- Making any temporary arrangements that may be necessary to ensure that an Inspector is capable of exercising discretion correctly in the periods before sufficient regulatory competence is attained, for example additional supervision (this is intended to cover the fact that Inspectors are granted powers through the issue of their warrant before they have full understanding in its

usage).

- Anticipating career moves and supporting individuals by identifying suitable training and development opportunities and needs.
- Liaising with NTLs on CPD needs.

3.3 **Jobholders** are responsible for following the induction and development programmes generated from this procedure, and for playing a full part in the identification and management of their own development needs.

3.4 **Mentors**, as arranged by Line Managers, advise and support new staff in the first three years in NSD and help them acquire the knowledge and skills to achieve the necessary competences.

3.5 **Head of CALM/ICG** ensure that CALM/ICG arrangements provide vehicles for identifying corporate development needs (through review, feedback etc) and ensure that Course Directors for Site Inspection Course, Safety Assessment Course and Site Inspection for Assessors Course are identified in good time.

3.6 **Nuclear Topic Leaders** facilitate the training and CPD of members of their topic group and advise on training and development within their topic.

3.7 **T&D Subgroup Leader (TSGL)** oversees the implementation of this procedure, provides a focal point for training and development matters generally, acts as an adviser on training and development outside the line management chain and addresses corporate learning requirements.

3.8 **The NSD Legal Liaison Officer** provides a focal point for advice and co-ordination on legal matters and related training and development.

3.9 **HSE Information Centre** provides copies of essential documents when requested by the Line Manager.

3.10 **OSU** plans and administers NSD training courses, including participation in the HSE Early Years Training programme.

## 4. Definitions

**4.1 Learning and development.** Any activity that is intended to develop skills, knowledge or attitude. This can range from formal training courses to informal on-the-job training or coaching.

**4.2 Training.** Specific provisions and arrangements that are intended to achieve a particular developmental outcome.

**4.3 Mentoring.** The process of transferring knowledge and wisdom from more experienced staff to new staff members in order to guide the development of the latter. The mentor should not be in the line management chain of the mentee.

**4.4 Coaching.** One to one consolidation of learning by Line Managers using real work problems and opportunities.

## **5. Procedure**

**5.1** As noted at 1.1 most attention in this procedure is on the first three years within NSD, the initial formation of NSD Inspectors. Guidance is also given on training and development relating to subsequent 'jumping off' points to different functions. Specific guidance on return to previous functions is not given (for example site inspection to assessment), although the detail against the relevant competence requirements can be used to do this. Professional development within functions is left to line managers/jobholders, following HSE corporate learning and development processes, with NTLs providing CPD guidance as necessary. The attached flowchart gives details.

**5.2 Pre-acceptance brief.** Recent experience has suggested that there may be advantages in advising recruits on the following before they consider whether to accept a position within NSD:

- Pay system and pay progression.
- Career development and progression arrangements.
- Flexibilities and benefits of HSE work arrangements.
- HSE values and work culture.
- An outline of the nature and scope of their likely work.

**5.3 Leaving/retirement.** Transfer and retention of corporate knowledge are important business needs for NSD. As yet there are no specific arrangements to secure this when staff leave the organisation. As an interim measure, it is suggested that Inspectors' Line Managers

address the following areas during the last six months of an Inspector's (Band 1-3) time in NSD if possible:

- Current work priorities.
- Unresolved/future technical issues.
- Working reference documentation other than that already embodied in the BMS.
- Specific specialist capabilities possessed by the Inspector.
- Key contacts - licensee and other.
- Potential benefit of giving presentations to colleagues on topics of particular interest or difficulty.
- Details of key support/research contractors.
- Participation in training courses or other developmental provisions that may require a successor.

**5.4 Refresher Training.** The NSD Training Prospectus identifies a number of course as refresher training. Jobholders/Line Mangers should use this and the relevant Annexes to this procedure to determine whether refresher training is required in a particular area. This procedure is not prescriptive in refresher training courses since their need will be conditioned by previous experience and business requirements. For example, if an inspector has just carried out a successful high profile prosecution there would be little gain in attending the 'Legal Proceedings for NSD' Course as a refresher.

**5.5 Corporate learning.** Corporate (ie pan-NSD) learning requirements may arise:

- As a result of major change.
- If it appears that there is a generic misunderstanding in one particular area that may indicate the existence of a business risk to NSD's activities.
- Introduction of new regulations.

The first is expected to be addressed by the person responsible for the change. Arrangements for the latter are covered in Annex E

## **6. Associated documents**

Reading lists for the topics in Annexes A - F are covered under relevant subject headings in Annex G

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## ANNEX A

### PREJOINING ACTIVITIES

1 These checks and activities are intended to cover new recruits to HSE/NSD. For those joining from other parts of HSE or as a result of moves within NSD, Line Manager should select appropriate elements.

2 **Welcoming letter.** In addition to the formal letter of appointment and joining instructions, Line Managers may wish to write to welcome the new recruit to NSD, an initial pre-joining 'handshake'. This could cover the following:

- Outline of proposed work.
- Confirmation of where to report and to whom.
- An idea of the first week's activity (especially if a familiarization visit has been arranged).
- Details of transport arrangements to and from Bootle and location of offices.
- Confirmation of start time and date.
- NSD contact details.
- Normal working hours and flexibilities.

3 **Administrative matters.** Line Managers should ensure that the following are initiated before arrival:

- Security vetting, appropriate to the nature of the intended work.
- HSE pass (NB special access requirements for MoD work areas).
- Provision of welcome pack (OSU).
- Accommodation (Divisional administration support).
- IT equipment, log on, email account, telephone, equipment, pager (Divisional administration support).
- Order HSE warrant (Divisional administration support).
- Provision of details to Director's office for distribution list, telephone directory Personal/office details to Intranet Staff Directory.

- Provision of details to Emergency Arrangements section to alert them to the need to include the Inspector in in call-out lists once OCTO Training is complete.
- Joining discussion with Head of Division.

**4 Preliminary training provisions.** Line Managers should arrange the following:

- Site familiarisation visit. These are carried out on a group basis whenever possible. TSGL will advise.
- Agreement of mentor with other Unit Heads, and briefing of mentor.
- DSE assessment.
- Safe driver training course (to be completed within 3 months of joining if possible).
- Book place on NSD induction course.
- Attendance at 'Personal Safety on Site' course as soon as possible.

**5 Initial technical work package.** Although it is not possible to be prescriptive in this procedure, it will be useful to have developed a 'starter' package of technical work for the new recruit before arrival. It should be possible to tailor this to induction training needs. Doing so should reduce the possibility that the new recruit may drift into inappropriate areas of work or working practices.

## **ANNEX B**

### **INDUCTION FOR INSPECTORS**

1 The headings set out below should be used to develop an induction programme to provide a framework to help Inspectors work safely, and with due regard to the need to minimize HSE business risk. The competence required to be an effective Inspector will be acquired through the implementation of the Development Action Plan covering the first three years, covered separately in Annex C. These aim to develop technically competent staff into effective regulatory Inspectors.

2 Outline information only is provided here. Line Managers and Jobholders between them are expected to identify more detail as appropriate. The TSGL will be able to advise. The aim should be to complete an induction programme based on these headings within three months. To complement this, a suggested programme for a

week's worth of induction activity is set out in Appendix B1. **(NB: it is not intended that this should be carried out in one block).**

**3 Health and safety.** The following should be covered or arranged:

- a) Brief by Line Manager to cover main hazards likely to be encountered by NSD staff (travel, DSE related issues, stress, site hazards) and arrangements for their management, as set out in the HSE Intranet site and the BMS. Particularly individual needs should also be identified, together with arrangements for safety on site and local safety protocols.
- b) Display screen assessment.
- c) Personal protective equipment. This will be determined from line managers' risk assessments but, as a minimum, is likely to include protective shoes, hardhat and high-visibility jacket. Divisional administrative support staff will advise on procurement.
- d) Safe driver training course (as soon as possible).
- e) Suggested reading (see Annex G).
- f) Complete 'Personal Safety in Inspection Course' or briefing in lieu if this is likely to be delayed.
- g) Watch videos ('on the move' for laptop users; 'in your own interests' for PC users; 'back in action' for manual handling).

**4 HSE/NSD roles.** An understanding of this should be gained via:

- a) Briefing by Line Manager on compliance inspection and permissioning inspection KBAs, HSC/E Permissioning Policy Document and PSA2.
- b) Briefing by Line Manager on HSE values and core criteria.
- c) Reading, see Annex G.
- d) Copy of Unit Operating plan.
- e) Establishing performance agreement

f) Attendance at NSD Induction course.

**5 NSD administrative and business matters and processes.** Line Managers should:

- a) Give a brief on the BMS - its structure, purpose and usage.
- b) Arrange for a registry briefing on the use of registered files and registered information.
- c) Draw attention to selected reading [Annex G](#).
- d) Ensure business cards are ordered.
- e) Ensure 'pen picture' is circulated.
- f) Arrange introduction to operational administrative systems eg COIN, DMS, ARFs, IES.
- g) Introduce OG wide procedures (OPIP).
- h) Arrange welcome pack with OSU together with additional key documents (items marked \* in [Annex G](#))

**6 Discretion.** Given the length of time that it takes to fully understand nuclear safety regulation and the likelihood that attendance at key legal training and regulatory courses may not be for some time after joining, it is considered important to equip Inspectors with a basic understanding in the exercise of discretion. This is intended to ensure that the powers of the warrant are used properly while a full understanding of the regulatory framework is still being developed. This can be arranged through:

- a) Briefing by Line Manager.
- b) Briefing by TSGL as requested by Line Managers, based on relevant element of the 'Site Inspection for Assessors' course.
- c) Guided reading, [Annex G](#).

**7 Technical assessment.** [Appendix B1](#) includes the identification of the first work for the new recruit. On the assumption that this will be an element of assessment this will require:

- a) Mentoring by Inspector, as arranged by Line Managers.
  - b) Reading, [Annex G](#).
  - c) Coaching by Line Managers.
  - d) Attendance at Safety Assessment Course as soon as possible.
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## **APPENDIX B1**

### **INDUCTION PROGRAMME**

NB: the order is indicative and it is not proposed that this should be completed on consecutive days

#### **Day 1**

Introduce NSD Welcome Pack

Introduce HSE Welcome Pack (Intranet)

Meeting with Head of Division and mentor

Provide details of HSE Trade Union contact

Tour of building (lavatories, shower, first aid room, tea point, vending machines, canteen, car park)

Provide locality details

Issue warrant and green cross pass if appropriate

Explain access arrangements / security requirements

Make appointment for building pass

Raise PER3 and forward to Personnel

Building safety brief (emergencies and evacuation, fire exits, wardens)

Develop and circulate pen-picture

Arrange attendance at next Unit meeting

## **Day 2**

Health and Safety brief (principal risks to NSD staff and NSD risk management arrangements)

Order PPE

Advise on date for DSE assessment

Advise on date for Safe Driver training

Accident/near miss reporting procedures

Introduce HSE Intranet site for health and safety

Introduce HSE core values

Explain HSE practice with regard to reporting in first year

Introduce HSE approach to unacceptable behaviour (Staff Handbook Chapter 10)

Agree an initial package of technical work and set up draft performance agreement

Provide details of welfare information: Employee Assistance Service - Counselling Support Services; Civil Service Benevolent Fund; Benendon Health Care.

## **Day 3**

Outline NSD working practices (hours of work, flexibilities, TOIL, working at home, granting of leave, special leave)

Sickness absence arrangements

Confirm personal details (office location, office telephone number, emergency contact number and address) for HSE Intranet directory and Emergency Procedures handbook

Security and access (building hours, visitors, clear desk policy, security of equipment and possessions)

## **Day 4**

Electronic communications policy

Helplines (Aqumen 4647 for accommodation; Personnel 3366 for pay, leave, conditions of service etc; Refit 4367 for IT problems)

Travel arrangements (hotel bookings, transport, expenses code, AC 34s, T&S rules)

Cost and organisation codes

Telephone and T&S monitoring practice

Registry systems, file usage, post

IT usage (IT security policy, Intranet, BMS, house styles, COIN, local NSD applications)

Freedom of Information Act requirement

HSE Intranet, in particular Staff Handbook and Staff Directory

Raise Intranet staff entry

## **Day 5**

Unit roles, working practices, current issues

Outline of performance management system, PA's (Intranet)

Outline of career development arrangements, T&D provisions, Development Action Plans

Work Recording System

Key elements of the BMS

HSE 'form' section on Intranet (useful guide to other HSE provisions)

OG wide procedures (introduction)

Wash-up, queries

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## ANNEX C

### INITIAL INSPECTOR DEVELOPMENT

1 This annex sets down suggestions to assist Inspectors' development against the competences identified in [BSS/HRM/024](#) that are intended to fit the first three years in NSD. As stated in section 2.2 it is NSD policy that competency should be attained through a balance of on-the-job training, mentoring, guided self-learning and training courses. Jobholders are therefore expected to establish Development Action Plans on this basis. Line Managers should ensure that any training courses are not carried out in isolation from other development activity but, where possible, are supported by or related to associated developmental provisions. The order in which activities are undertaken is left to Line Managers and Jobholders to determine, based on previous experience and the current work context. **In general it will be appropriate to develop sections 3, 5 and 7 before the remainder.** The order below follows the framework set out in BSS/HRM/024.

#### 2 Inspection function

NB: it may be necessary to complete elements of (4) before those of (2)

Attend ICG as observer

Introduction to the Integrated Enforcement Strategy (Line Manager).

Accompany mentor on any site visits.

Carry out joint / themed inspections with site inspectors / other specialists.

Participate in preliminary investigations.

Take part in team inspection

Take part in Emergency Exercises as part of the site team.

Undertake 'Introduction to Investigations' EYT tutorial (HSE)

Undertake 'Introduction to Law' EYT tutorial (HSE)

Undertake 'Basic Law' EYT tutorial (HSE)

Undertake 'Site Inspections for Assessors' course (NSD)

Undertake 'Nuclear Law for NSD Inspectors'

Undertake investigative techniques course.

Undertake 'Introduction to Law' course.

Shadow FOD/HID Inspector.

Reading, [Annex G](#)

### **3 Permissioning Function**

Read model assessment and project assessment reports.

Take on discrete element of permissioning activity (assessment, inspection/verification, production of Project Assess Report, raising and clearing of Licence Instrument)

Attend start-up meeting.

Attend Level 4 meeting with other specialist inspectors.

Attend Level 3 meeting, as observer

Attend internal NII case conference

Reading, [Annex G](#)

### **4 Enforcement Function**

Reading, [Annex G](#)

Undertake course LPT05 (Expert Evidence - Warwick) on `as needs' basis.

Undertake LPT08 (Criminal Procedure and Investigations Act - Warwick) on 'as needs' basis.

Take part in formal investigation (complete LPT05 and 08 first)

Shadow FOD/HID formal enforcement activity

Attend guilty plea or defended case at Magistrates' Court.

## **5 Technical Assessment function**

Arrange for assessment report to be peer-reviewed (by mentor, NTL or Line Manager) to include: application of discretion (sampling), use of ARF database and files, verification, proportionality, recommendations/issues.

Participate in LC14/23 team or benchmarking inspection.

Brief on use of traffic light IES assessment spreadsheet (Line Manager)

Introduction of NSD 'attention tool' (Line Manager).

Reading, [Annex G](#).

Attend Safety Assessment Course.

Attend CALM meeting as observer.

## **6 Project Inspection function**

Covered by 2

Reading, [Annex G](#)

## **7 Standards and advice function**

Review TAG if appropriate.

Take up any opportunity to attend IAEA meeting (funding permitting).

Active participation in NTG meetings

Provide/contribute to external briefing (eg PQs, NUSAC)

Prepare and clear public domain paper (eg BNES)

Participate in NII/Licensee option study group if applicable - eg expert groups

Reading, [Annex G](#)

## **8 Licensing function**

None specified

## **9 Research function**

Gain understanding of process and contract management by acting as Project Officer for NSS Project

Reading, [Annex G](#)

## **10 Business support function**

Reading, [Annex G](#)

## **11 Strategy Function**

NB: this includes emergency procedures in [BSS/HRM/024](#)

Join site/GTA/CESC teams for Emergency Exercise

Participate in NIIRC exercises

Reading, [Annex G](#)

Undertake OCTO training course (Line Manager to advise)

Shadow Strategy Unit activity

## **12 Other**

12.1 The NSD Training Prospectus lists a number of technically orientated courses that may be appropriate for the initial formation period (i.e. first three years) depending on previous experience and

NSD business needs. In addition, it is NSD practice to make provision for attendance of specialists at relevant technical conferences.

12.2 This Annex covers the development appropriate to the acquisition of the skills and knowledge necessary for regulatory duties. It does not cover personal development, which is a matter for jobholders/line managers, as set out in HSE's arrangements on the Intranet.

**However, it is pointed out that behavioural skills related to communications and influencing are likely to be particularly important given the nature of the way in which the NII works with its key stakeholders.**

12.3 A sound understanding of HSE will be necessary if the most is to be made of co-operative working and an HSE team approach.

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## ANNEX D

### MOVE TO PROJECT/SITE INSPECTION

1 This annex sets down developmental suggestions for Inspectors who are moving, or are likely to move, to Site/Project inspection roles. As with [Annex C](#), the competences in [BSS/HRM/024](#) form the basis for these suggestions. However, since the nature of site inspection work is such that site inspectors will immediately become active in many of the areas identified, this Annex concentrates on areas where the need or opportunity to be actively involved in specific areas is likely to take longer to emerge. In other words, the emphasis is on-the-job training and it is assumed that adherence to the BMS, and effective mentoring, will assist with the development of the correct approach. It will also be important for Line Managers to monitor development closely and to ensure that mentoring arrangements are in place.

2 No distinction is made between project and site inspection competence in this Annex.

3 Given that site inspection is likely to involve a steep 'learning curve', it is important that a proper handover is used to provide a good start. Suggestions for this are set down in [Appendix D1](#). In addition, to help with a consistent approach towards the development of the behavioural skills that are particularly important for site inspection, [Appendix D2](#) sets down suggestions that may be useful for potential applicants for site inspection posts.

#### 4 Inspection function

IES brief (Line Manager)

Act as observer in emergency exercises for other sites if not already carried out.

Attend start-up/annual review meeting for other sites.

Attend LCLC meeting for other sites

Reading, [Annex G](#)

Refresher training courses (OCTO, investigative techniques, Legal Proceedings for NSD, CPIA).

Conventional safety workshops

Media Handling Skills course

Media Training (Phil Martin) as refresher

Site Inspection Course (preferably arranged before the move)

Attend relevant EYT tutorials (eg working at height, electrical safety, human factors - TSGL can advise)

## **5 Permissioning function**

Refresher on the practical application of discretion (SIFA notes - internal tutorial can be arranged, TSGL)

Reading, [Annex G](#)

## **6 Enforcement function**

Take part in formal investigation for other site.

Shadow FOD/HID Inspector.

Reading, [Annex G](#).

## **7 Technical assessment and project function**

As for para 5

Reading [Annex G](#)

## **8 Standards and advice function**

Active participation in NTG meetings (operational priorities permitting)

## **9 Licensing function**

None identified

## **10 Research function**

None identified

## **11 Business support function**

Reading, [Annex G](#)

## **12 Strategy function**

*NB: this includes emergency procedures in [BSS/HRM/024](#)*

Level 2 and 3 emergency exercise participation

Reading, [Annex G.](#)

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## **APPENDIX D1**

### **HANDOVER CHECKS**

#### **Plant/Facility**

Understanding of details of safety case/safety case issues

Plant tour with outgoing inspector

Details of principal hazards

Current live issues (technical, regulatory, managerial)

Live ARF's

## **Regulation**

Details of Licence Instruments applied for

Details of future Licence Instrument (not yet applied for)

Programme of major modifications/future safety cases or submissions

Previous regulatory action (INs/PNs, prosecutions, directions etc),

Licensee commitments (eg forward action plans)

NII regulatory strategy if defined

IES site inspection plan

Details of recent team inspection(s)

Extant notices

Extant licence condition obligations

Interface agreements (eg MoD/HSE agreement)

Details of compliance arrangements (where, how)

Planned meetings (level 3, annual review etc)

Date of next emergency exercise

Relevant reports (eg public domain reports)

## **People**

Site regulatory liaison arrangements and staff

Key Licensee staff

Safety representatives

Other stakeholders

Any proposed management changes

Contractor details

FOD, HID and EA/SEPA contacts

OGD contact details

Details of local interest group/LCLC activity

Site related Performance Agreement objectives

**Other information and actions (for completeness)**

Site protocols and NII local rules

Site training requirements

Site telephone lists

Locker room / change / barrier arrangements

Security / site passes

Local hotels

Listing of regularly used files

Arrange classified persons medical

Arrange radiation pass book

Arrange dockable laptop if not already provided

Obtain camera and arrange site camera access

Make arrangements for access to site office

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## APPENDIX D2

### SITE INSPECTOR CORE COMPETENCES

1. These are based on recent vacancy notices for NSD site inspectors. They can be used both as a development guide for inspectors who wish to move towards site inspection and also to secure a measure of consistency in the way in which vacancy notices are set out.

2. **Key Responsibilities.** Most recently these have been pitched in terms of:

- Regulation of licence condition compliance (this is intended to cover nuclear safety and waste management)
- Reactive work and enforcement, in accordance with the EMM
- Project management of assessment activity
- Participation in team and other inspections/exercises

3. **Job related expertise.** This is likely to include:

- Understanding and application of nuclear regulatory framework, principally the licensing regime but also other relevant regulations (eg IRRs).
- A working knowledge of HSE enforcement policy and practice

#### 4. Technical Understanding

Not normally specified in vacancy notices for site inspectors but effectively a given for the work that has to be undertaken. Nuclear regulation, by the nature of the NII's approach to it, requires a significant degree of technical understanding.

#### 5. Behavioural competences

(NB: although the following are highlighted as those most relevant to the site inspection function, HSE staff are expected to be competent across the whole range of values, behaviours and skills in HSE's core framework and attention on the suggestions below should not divert attention from the potential need to develop across the whole competency set) .

**5.1 Taking personal responsibility.** This could include any of the sub-criteria under this core behavioural requirement. Site inspection is very often an activity that is pursued on a solo basis with individual inspectors having to deal with licensee representatives at all levels, in

complex and daunting organisational and political environments. It will be important to avoid being tempted down blind alleys by keeping in mind key regulatory priorities and objectives.

**5.2 Acting professionally.** This is most likely to include 'plans, organises, and prioritises work', 'maintains and improves HSE's reputation' and 'objective, consistent and transparent'. What is apparent on site will always be part of a wider context: a licensee approaching the end of a rocky term management contract; industrial relations difficulties; internal contract obligations; funding cuts; an internal senior NII perspective. Although all licences will say that safety is their first priority, they will also have other priorities that may have the potential to adversely affect safety. It will be necessary to keep to the NII agenda.

**5.3 Being open and communicative.** 'Persuades and influences others' is a key skill and at the core of the work of a site inspector. As noted above site inspection work will invariably involve dealing with people, at all levels in the licensee's organisation. Site work by assessors is more likely to be orientated towards technical issues but it is a characteristic of site inspection that one-minute an NII inspector can be talking to a plant operator and the next minute a senior manager. Listening skills will be particularly important for the business of gathering information. It is likely that this area will become more important as the NII improves the way it works with licensees and other key stakeholders.

**5.4 Innovating and learning or valuing people.** Networking and teamworking are both important behavioural skills for site inspectors. Although NII Inspectors carry out much of their work alone, the skills required to be effective will involve the building up of relationships (both with the site and elsewhere) and also the ability to know when to draw on other sources of expertise. Set-piece activities such as team/joint inspections, specialist inspections, audits and emergency exercises are carried out on a team basis and will require a degree of co-operation and compromise. Networking skills are an intrinsic part of effective site inspection activity and the developing IES framework will also place more emphasis on team working.

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## ANNEX E

### CORPORATE TRAINING NEEDS

1 The bulk of this procedure relates to the training and development of individuals, with training requirements established against the NSD competence set in BSS/HRM/024 and the suggestions in the Annexes to the procedure. Jobholders and Line Managers identify and agree requirements between them. There may, however, be occasions when training and development needs are not revealed by this process. For example a latent knowledge deficiency, widely applicable, may only become apparent when triggered by a particular event. This trigger could be something as simple as course feedback, or something more complicated. Either way, and in keeping with NSD's policy of continuous improvement, any deficiencies will need to be remedied.

2 The need for corporate learning may become apparent in three ways:

- When a major change is introduced in NSD. In such a case, any associated training and development will be part of the change project and managed by the project team. It is not covered by this procedure.
- Through experience, typically operational experience, in particular when it reveals generic misunderstanding or confusion. For example, inspection against LC6 (records) revealed several different interpretations of the 30 year rule for records. Once resolved, the agreed interpretation would need to be explained to all concerned - a corporate training need.
- Introduction of new regulations

**3 Identification of learning requirements.** The following simple steps have been put in place to identify the need for corporate learning:

- Standing agenda item at CALM to trawl for permissioning issues.
- Standing agenda item at ICG to trawl for compliance issues.
- Attendance by TSGL at 'set-piece' training course wash-ups to pick up concerns from course directing staff.

In addition TSGL is on the distribution list for NSD audit reports (internal, HSE, liP, EFQM, etc) and is tasked to utilise this feedback to identify corporate training and development requirements.

**4 Management arrangements.** Since each requirement is likely to be different in nature, it is not appropriate to set down detailed and prescriptive management arrangements. The following general lines should therefore be used as a guide:

- TSGL has overall responsibility for addressing any emergent corporate learning needs.

- NSDMB and/or CIPB should be engaged as necessary.
  - The way in which 'remedial' training is delivered will vary depending on the nature of the issue (at its simplest a change to a BMS procedure; in more complex cases a major centrally-delivered refresher training event).
  - Training and development requirements under this procedure will generally be aligned to key business, ie corporate, activities rather than Divisional interests, which will be expected to be arranged by Divisions.
  - Since corporate learning needs will relate to NSD business risks, which will need to be reduced as soon as possible, the emphasis in remedial activity will be on an initial training package with suitable follow-up activity. This contrasts with the slower process of on-the-job training as covered under 'policy' in section 2.2.).
  - By their nature, remedial training needs cannot be anticipated in the financial bidding round. Wherever possible, therefore, any training packages will be tailored on a self-help basis for delivery at Unit level.
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## ANNEX F

### MOVES TO MANAGERIAL ROLES

1 NSD is committed to good leadership and management. Although important elements of leadership and management skills are woven into the HSE core framework, they are not separately and explicitly identified as a set of expectations for managers. There is therefore a possibility of variations of practice in this area. In addition, although entrants to NSD often join from positions with significant L&M job content, the NSD structure means that they will gain little direct personal experience of HSE's L&M practice and NSD L&M duties before promotion to Band 1. This is different to other parts of HSE and NSD Band 2/3s may be at a disadvantage if they wish to develop their careers into L&M roles. This Annex seeks to help overcome this disadvantage. It may also serve as a useful yardstick for Band 1 L&M performance.

**2 Typical job specification.** Candidates for Band 1 positions, as with any other position, will have to demonstrate experience against a set of key responsibilities for the post and against relevant core competences selected from HSE's core competence set, details below. A range of different functional experiences, including pan-HSE experience, is likely to improve the probability that an individual will be able to demonstrate a suitable match, as noted in 'policy' section 2.10.

**3 Key responsibilities.** These will typically be constructed around:

- staff management capabilities - leading and managing a Unit
- functional management - eg delivering the requirements represented by a Unit plan.
- thinking and analysing - playing an active part in HSE developmental activity
- communicating - eg representational roles, interfacing and influencing key stakeholders.

**4 Core criteria.** Although it would be possible to identify those core competences that are most likely to be required for Band 1 NII Inspector positions, this could be misleading for two reasons. Firstly, line managers will always have to consider whether specific core criteria are more important at any one time than any 'norm' that may be established in a procedure. This will particularly be the case if the NII decides to pursue the option of personal performance Band 1 positions. Secondly, any candidate can expect to be challenged on any aspect of the core criteria in the advancement process, unsurprisingly since HSE is seeking to improve competence across the whole range. To restrict attention to a reduced set may actually serve to disadvantage prospects. There is no reason why individuals cannot 'track' vacancies to establish patterns of requirements if they wish.

**5 L&M performance expectations.** The NSD Senior Management workshop held in February 2005 established that all managers should ensure that staff:

- know what is expected of them
- have the resources that they need
- are properly skilled
- know they are contributing to the organisation
- receive feedback from their manager
- receive support and coaching from their manager

**6 Specific L&M duties.** The duties and responsibilities of NSD managers are many and various, and are set out in the 'responsibilities' section of each BMS procedure and relevant sections of the Intranet. Key duties are identified here:

- All 'nuclear' SIs;
  - Lead and manage Units in line with HSE values to achieve planned NSD business objectives
  - Resolve professional disputes

- Act as Nominated Officer under NII emergency response arrangements
- Act as emergency response team leader (GTA team, OSF team)
- Act as NIIRC Director
- Clearance of papers for the public domain
- Regulatory assurance duties associated with specific delegated authorities set out in BMM Annex 2 covering: licence instruments; IRRs; OWR; PIRER

- Health and safety duties:

- Establish the necessity and carry out risk assessments for any plans for:

- Entry to confined spaces
- Work involving potential falls from height
- Work involving live electrical systems
- Entry to controlled areas

- Ensure that precautions associated with HSE generic risk assessments are observed

- Ensure that licence safety procedures (local rules) are adequate

- Report and investigate health and safety incidents

- RPS duties:

- Establish the necessity and carry out risk assessment for any entries to controlled areas

- Agree to dose summaries for site visits

- Take reasonable steps to ensure local rules are followed

- Investigate any exposures above 2mSv (informal investigation for abnormal doses less than this)

- NTL duties for those nominated, as set out in [BMM Annex 6](#)
- Assessment management duties:
  - Decisions on and allocation of ARFs
  - Acceptance of assessment reports
- Inspection/project inspection management duties:
  - Ensure HSC/E enforcement policy is followed
  - Agree lines to take for annual review and start-up meetings and take the lead in associated team interactions
  - Agree IES site inspection plans and changes, monitor progress
  - Define roles under CPIA and act as approving officer for prosecutions
  - Review and endorse LCLC/LLC reports
  - Acceptance of project assessment reports/project plans

**7 Training opportunities.** Some specific preparatory opportunities are set out below:

- Functional management of staff through:
  - leadership of projects (as Project Inspector for major projects)
  - leadership of working groups
  - chairmanship roles
  - running major conferences)
- Functional management of tasks through:
  - management and delivery of projects

- research/support management as PO
  - setting up and leading NSD/HSE inspection/  
investigation activity
  - participation in HSE change projects/programmes
  - Thinking and analysing/HSE work
    - Participate in HSE change programme/project
    - Secondment to other part of HSE
    - Involvement in pan-HSE working groups
    - Development/delivery of OMT/HSE Board papers
  - Communicating
    - Delivery/development of training
    - Development and delivery of OMT/HSE Board papers
    - Exercise chairmanship roles
    - Implement change work
  - Other
    - HSE's Essential Training for Managers Programme
    - Leadership Trust 'Leadership in management' training  
course
    - Mentoring by existing senior managers
    - Reading [Annex G](#).
- 

## **ANNEX G**

### **READING LIST**

1 This reading list is set out in the order in which it is referenced by Annexes A - F. Items marked \* are included in or with the 'Welcome Pack' for NSD Inspectors

## **2 INDUCTION**

### **Health and safety**

HSE health and safety intranet site, in particular generic risk assessments

Selected BMS procedures BSS/HRM/001 - 028

### **HSE/NSD role**

HSC/E strategic plan

NSD Strategic Plan

NSD Operating Plan \*

Unit Operating Plan

Intranet organogram

HSC Policy Statement 'Our approach to permissioning' \*

HSC/E Strategic Programmes (Intranet)

NSD Business Management Manual (Intranet)

HSE core criteria (Intranet, Personnel information) \*

### **Administration/business practice (information management)**

Selected BMS procedures BSS/IMT/001 - 013

### **Discretion**

Site Inspection for Assessors course notes, session 4

'Judge Over Your Shoulder'. Treasury Solicitor's Department. 2000 \*

HSC Enforcement Policy Statement (Intranet)

## **Assessment (outline)**

BMS procedures AST/FWD and AST/001 - 004

BMM process management section

Safety Assessment Principles for Nuclear Plants (SAPs) ISBN 011 882043 5 \*

Technical Assessment Guides, in particular generic guides and those relating to discipline

## **3 INSPECTOR DEVELOPMENT (FIRST THREE YEARS)**

### **Inspection function (assessors)**

Selected BMS procedures, in particular: INS/FWD; INS/002; INS/003; INS/0030 and associated guidance

Site Inspection for Assessors course notes, session 11

HSC Enforcement Policy Statement

Health and Safety at Work Act 1974 \*

Nuclear Installations Act 1965 \*

Ionising Radiations Regulations 1999 \*

Licence Condition Handbook (booklet) \*

### **Permissioning function (assessors)**

AST/001-004

Site Inspection for Assessors Course notes, session 7

HSC/E Policy Statement on permissioning

### **Enforcement function (assessors)**

INS/0030 EMM

INS/0012 Investigations

OC 168/4 CPIA practice

Site Inspection for Assessors course notes, session 14

### **Technical assessment (assessors)**

T/AST 50 and 51 (PSRs and safety cases)

T/AST/005 ALARP

T/AST/006 Deterministic analysis and engineering principles in safety assessment

T/AST/008 Safety categorisation

'Reducing Risks, Protecting People', (R2P2), ISBN 0 7176 2151 0 \*

'The Tolerability of Risk from Nuclear Power Stations' ISBN 011 886368 1 \*

AST/001-004 \*

Safety Assessment Principles for Nuclear Plants (SAPs) ISBN 011 882043 5 \*

### **Project inspection function (assessors)**

INS/001 Preparation of Licence Instruments

INS/0031 Dealing with differences of professional opinion

### **Standards and advice function (assessors)**

STD/006 Clearance of papers

### **Licensing function**

None specified

## **Research function**

RES/FWD and 001, 002 and 007

## **Business support function (assessors)**

BSS/IMT/001-004

## **Strategy function (assessors)**

Emergency Procedures Handbook

'Arrangements for Responding to Nuclear Emergencies' (The Blue Book), ISBN 0 7176 0828X \*

## **4 MOVES TO SITE/PROJECT INSPECTION**

### **Inspection function (site/project inspectors)**

Selected BMS procedures, in particular:

INS/FWD Purpose and Scope of Site Inspection

INS/002 Undertaking Inspection Activities

INS/003 Visit Reports

INS/005 Inspection Follow-up

INS/008 Site Inspection Planning

INS/0011 Fast Stream Reporting

INS/0012 Investigations

INS/0030 EMM

T/INS/051 Safety Cases

T/INS/052 PSRs

HSC Enforcement Policy Statement

INES scale chart and handbook

HS(G)65 'Successful Health and Safety Management'. ISBN 0 11885988

'Managing for Safety at Nuclear Installations'. ISBN 0 7176 1185X.

Statutory requirements (IRRs, MOHASAW, REPPIR, PSR, PUWER, WAH, LOLER etc)

### **Permissioning function (site/project inspectors)**

INS/001 LI's and PARs

HSC/E Policy Statement on Permissioning

### **Enforcement function (site/project inspectors)**

INS/0030 EMM

INS/0012 Investigations

OC 168/4 CPIA practice

T/INS/052 Investigations

### **Technical assessment function (site/project inspectors)**

T/AST 50 and 51 (PSRs and safety cases)

TINS/0031 Dealing with differences of professional opinion

### **Project management function (site/project inspectors)**

INS/001 Preparation of Licence Instruments

INS/0031 Dealing with differences of professional opinion

### **Standards and advice function (site/project inspectors)**

None specified

### **Licensing function**

None specified

## **Research function**

None specified

## **Business support function (site/project inspectors)**

BSS/IMT/001-004

## **Strategy function (site/project inspectors)**

IES guidance

## **5. MOVES TO MANAGERIAL ROLES**

'Good to Great'. Jim Collins. Random House. ISBN 0-7126-7609-0

Relevant elements of the HSE core framework

'The Rough Guide to Operational Management in FOD Part D - Managing People', HSE Intranet

'Managing people in HSE', internal HSE guidance (HSE 28).

