

NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM		
<b>ASSESSMENT</b>		<b>AST/002</b>
<b>ASSESSMENT ACTIVITY MANAGEMENT</b>		ISSUE 003
Approved By: <i>R P Pape</i>	Dr R P Pape	Issue Date: 16/04/02
Open Government Status: Fully Open		Review Date: 15/04/03

## 1. Purpose & Scope

1.1 This procedure describes the process for management of the work activity of Specialist Inspectors within the Directorate and the use of the supporting ARF Database.

1.2 The Assessment Activity Management process has been agreed by CALM, as set out in SMG Paper 99/40, for the purpose of;

1) promoting effective communications between Inspectors requesting the services of an Assessment Inspector and both the Assessment Inspector and the relevant Unit Head.

2) facilitating efficient task management and accountability within Assessment Units.

1.3 The ARF Database provides a means to:

1) record tasks that are undertaken;

2) easily ascertain the status and progress of a task;

3) record tasks that cannot be undertaken, and the reason why;

4) access management information to enable SIs to plan and manage their resources more effectively; and

5) account for the utilisation of the assessment resource.

6) Provides NSD's Finance and Planning Unit with a

method of compiling an OPM report for HSE.

1.4 The process shall be applied, by all NSD staff involved, to tasks carried out by Assessment Inspectors, including tasks originating within the unit undertaking that task, that require more than a 1/2 day effort, other than those covered by charging numbers in the 400 series.

## **2. POLICY**

2.1 All tasks that are identified as necessary for HSE's regulatory and other business purposes that are to be undertaken by Assessment Inspectors (except those covered by charging numbers in the 400 series or requiring less than a 1/2 day) shall be:

- 1) initiated by an Assessment Request Form (ARF);
- 2) allocated or rejected by the Unit Head responsible for the relevant Assessment Unit; and
- 3) recorded on the ARF Database.

2.2 An ARF is identified as relating to a "Permissioning Activity" by the originator selecting 'yes' in the check box. This should be selected for safety case assessment relating to:

- 1) Reactor/Plant start up consents;
- 2) Assessment of Periodic Safety Cases;
- 3) Assessments in support of License instruments (ie. Modifications, new build, commissioning etc.)

2.3 Only ARFs relating to 'Permissioning Activity' will be used in the OPM reported to HSE.

2.4 Where the work requested on an ARF is completed late, the reason should be recorded in the Assessor's Summary field and a note made if the Agreed Completion Date has been renegotiated and agreed with the Originator. However, in order not to distort the OPM results, Permissioning ARFs which are late due to lack of resources must not have the Agreed Completion Date amended.

## **3. Responsibilities**

3.1 Any Inspector (Bands 1-3) requiring work to be undertaken by an Assessment Inspector is responsible for ensuring that an ARF is raised to cover the task.

3.2 The Head of an Assessment Unit is responsible for acceptance and allocation of ARFs within their unit. Conversely, where they reject an ARF, they are responsible for recording the reason(s) for rejection in the SI's Summary for that ARF in the ARF Database. They are also responsible for verifying the information used in the monthly OPM report.

3.3 It is the responsibility of Assessment Inspectors to ensure that they have an ARF for all tasks (except those specifically excluded) and that the agreed scope of work and other relevant data, as required, is recorded in the ARF Database. They are also responsible for ensuring that the entries on the database are kept up to date.

3.4 The Head of NSD Unit 2E is responsible for the review and audit of this procedure, the supporting guidance and associated systems.

3.5 The Head of Unit 4D is responsible for appointing a system manager(s) to address any IT related problems with the ARF Database.

3.6 The Head of Unit 2E is responsible for appointing a system manager(s) to address any administration matters (i.e. transfer of ARFs etc.) associated with the ARF Database. (*Note: System Manager access may also be allocated to support staff to enable them to undertake actions delegated by Inspectors*)

3.7 Divisional Support are responsible for prompting Inspectors to review/update their ARFs prior to producing the monthly OPM report.

## **4. Definitions**

4.1 ARF - Assessment Request Form.

4.2 ARF Database - The computer database for recording and tracking ARFs.

4.3 CALM - Corporate Assessment Liaison Meeting.

4.4 OPM - Output Performance Measure

4.5 Originator - The staff member requesting work to be undertaken by means of an ARF, which can be any Band 1 - 3 Inspector.

4.6 Assessor - The staff member carrying out the assessment, usually an Assessment Inspector.

4.7 Assessment SI - The Unit Head of an Assessment Unit, usually a Superintending Inspector (SI).

4.8 ARF System Managers - any member of staff appointed under 3.5 or 3.6 (above), having 'system manager' access to the ARF Database.

## 5. Procedure

5.1 The procedure is shown in the **flowchart** below, which includes the preparation of the OPM report.

5.2 Guidance on the application of this procedure is given in G/AST/002

## 6. Associated Documents

6.1 SMG Paper 99/40: Implementation of a Revised Assessment Work Management System.

6.2 **G/AST/002** - Guidance: Assessment Activity Management and Use of the ARF Database.

6.3 **AST/FWD** - Assessment Foreword

6.4 **AST/001** - Assessment Process

6.5 **AST/003** - Assessment Reports

6.6 **AST/004** - Issues Recording Process

# NSD BMS AST/002

## Flowchart for Assessment Activity Management Process

### Responsibilities

- Originator

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- Originator / Specialist Inspector

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- Originator

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- Originator / SI

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- SI / Specialist Inspector

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- Originator / Specialist Inspector

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- Specialist Inspector

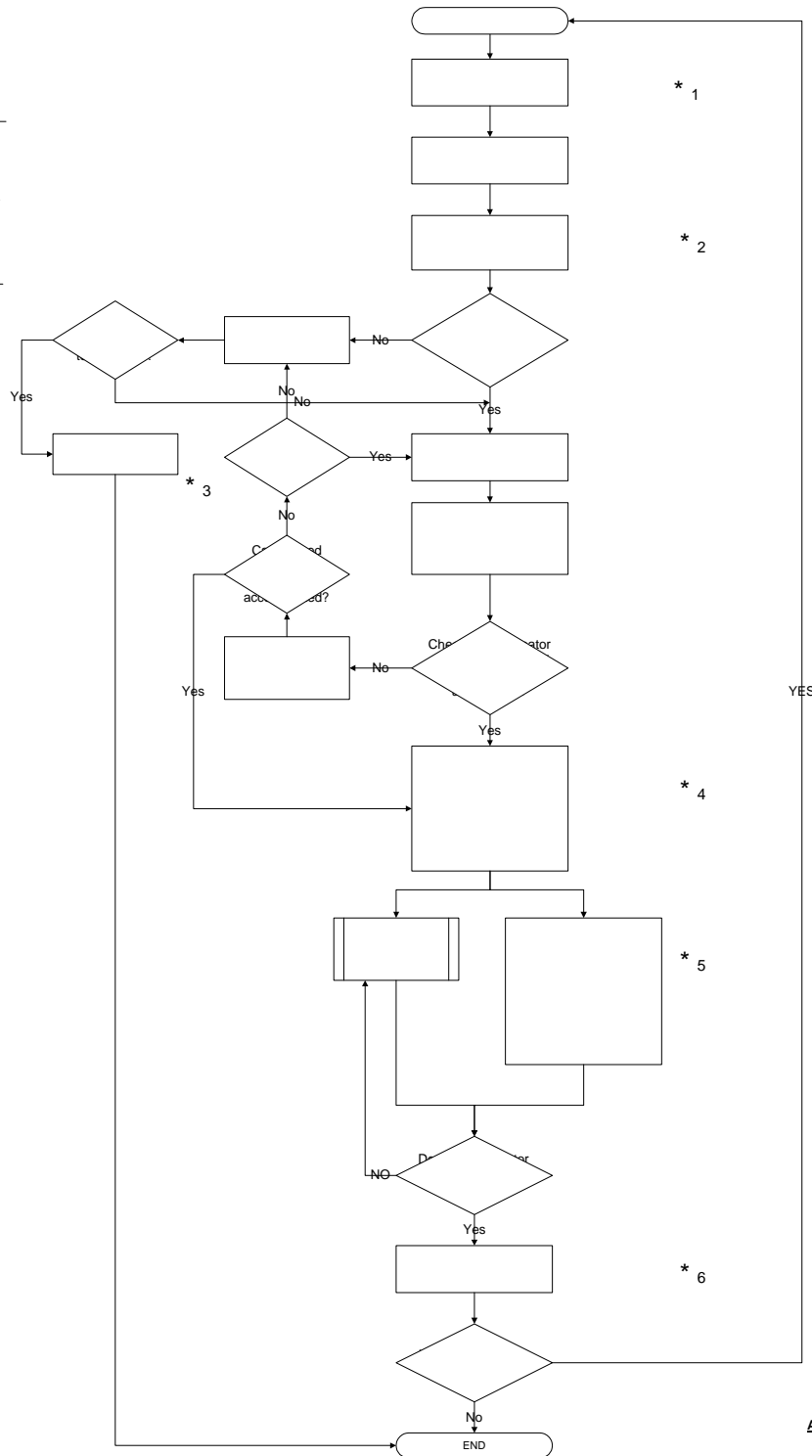
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- Specialist Inspector / Originator

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- Specialist Inspector

### Procedures/Guidance Documents



See Procedures:  
 AST/001 - Assessment Process  
 AST/003 - Assessment Reports

\* Denotes ARF Database Action Required

AST/002