

## Assessment – ND Issues Recording Process

**AST/004**

**Issue No: 3**

**Target Audience:  
All ND Staff**

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## **1 Purpose & Scope**

1.1 This procedure describes the process for the management of ND Issues raised with Duty Holders by staff within Nuclear Directorate (ND) and the use of the supporting COIN ND Issues Database.

1.2 Experience elsewhere (e.g. Millstone and Ontario Hydro) has underlined the importance to the regulator of having a clear, reliable system for ensuring that commitments given by Duty Holders, and issues raised by inspectors are properly tracked and brought to a satisfactory conclusion.

1.3 It is, therefore, important that the Directorate has an adequate system for ensuring that issues and actions of whatever category are properly recorded, and that there is a traceable means of them being closed out.

1.4 The purpose of the ND Issues Recording process is to:

- 1) record ND Issues raised with Duty Holders,
- 2) easily ascertain the status and progress of an ND Issue,
- 3) provide a reliable and auditable process for monitoring the closing out of ND Issues,
- 4) ensure that important safety related ND Issues do not get overlooked with the passage of time, and
- 5) simplify the search for previous precedents, thereby contributing to consistency in regulatory decisions.

1.5 The process should be applied, by all ND staff involved, to all ND Issues raised with Duty Holders.

1.6 The ND Issues considered here are different from the nuclear safety research issues recorded in the Nuclear Research Index used by Unit 4A. However, in the case that research is one of the actions required to close an ND Issue, this fact and the associated NRI issue number, if relevant, can be recorded in the COIN ND Issues Database.

## **2 Policy**

2.1 Any Inspector (Bands 1-3) carrying out assessment work is expected to discuss with the Duty Holders and resolve any issues arising from their assessment before the

assessment task is completed. Any such issues must be recorded on file, with a record of how the issue has been dealt with and closed.

2.2 Where it is not possible to obtain resolution and close out within the required timescale, ND Issues should be entered into the database and then recorded in the Assessment Report together with the ND Issue numbers (there is a strong link between ND Issues and recommendations for further action in Assessment Reports).

2.3 All ND Issues, not covered by paragraph 2.1 above, that are raised with Duty Holders, through means other than assessment reports, by ND staff shall be recorded by the originator (for example entries in schedules of regulatory commitments) on the COIN ND Issues Database.

2.4 All ND Issues shall be owned by a member of ND staff, who will be responsible for ensuring that it is resolved and closed out.

### **3 Responsibilities**

3.1 Any Inspector (Bands 1-3) raising an ND Issue with a Duty Holder, in the course of assessment, is responsible for ensuring that it and the record of how it has been dealt with are properly recorded on the appropriate file.

3.2 Any Inspector (Bands 1-3) raising an ND Issue with a Duty Holder, (and in the case of assessment issues, one which is not resolved during the course of assessment), is responsible for ensuring that the ND Issue is entered onto the ND COIN Issues Database, and becomes the Originator of the Issue.

3.3 It is the responsibility of the Originator of an ND Issue to take ownership of it, or, where appropriate, to arrange for another ND staff member to take ownership.

3.4 It is the responsibility of the Owner of an ND Issue to ensure that it is resolved and closed out, and that this is recorded on the ND COIN Issues Database.

3.5 It is the responsibility of the Owner, when changing posts, to continue with the ownership of the Issue, or to transfer the ownership to the new post holder or another ND staff member.

3.6 It is the responsibility of Unit Heads to ensure that, within their Unit, the guidance for determining the status of ND Issues is consistently applied, and that they are being closed out in a timely manner. Unit Heads shall also ensure that ND Issues are covered in the handover of responsibilities from one inspector to another and that the relevant recommendations in the Assessment Report are adequately captured in the COIN ND Issues database.

3.7 It is the responsibility of the Head of CALM to periodically review and audit this procedure, the supporting guidance and associated systems and provide feedback to the Business System Manager as appropriate.

## **4 Definitions**

4.1 ND Issue - A finding, concern or point of variance with the Duty Holder, identified during the regulatory process, which is considered important to safety and which requires action by the Licensee in order to satisfy the tests of adequacy or compliance in relation to a regulatory decision. Another good basis for an issue attracting the status of an ND Issue is a finding, concern or point of variation with a risk gap pointing to formal enforcement action should the underlying problem not be resolved.

4.2 COIN ND Issues Database - The computer database for recording and tracking ND Issues.

4.3 Duty Holder – Nuclear Site Licensee, Site Operator with duties under the Ionising Radiation Regulations 1999 or New Build Requesting Parties.

4.4 Originator - The staff member who raised the ND Issue on a licensee.

4.5 Owner - The staff member responsible for ensuring that an ND Issue is resolved and closed out.

4.6 Unit Head - The head of an Inspection or Assessment Unit.

4.7 CALM – Corporate Assessment Liaison Meeting.

## **5 Procedure**

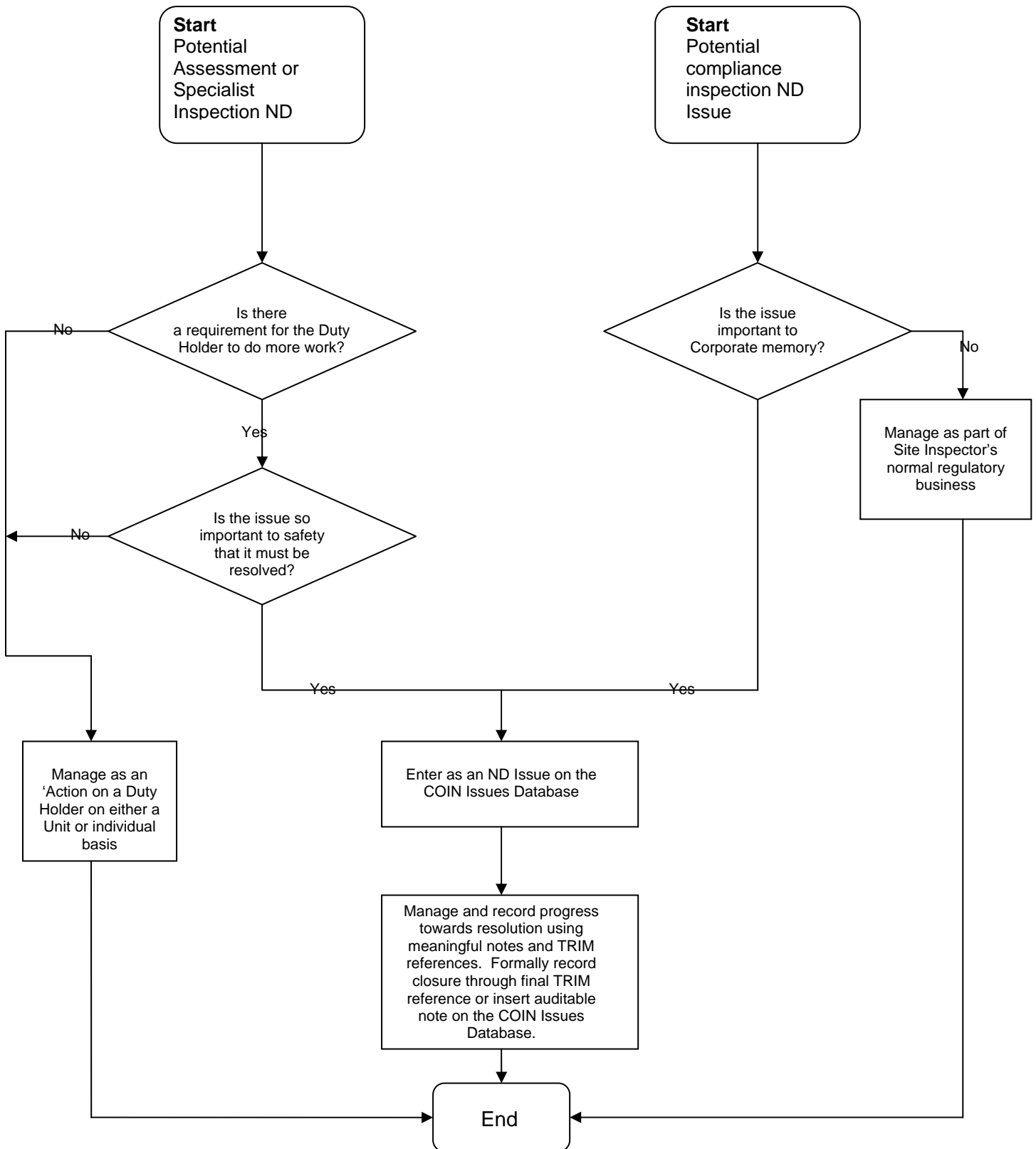
5.1 See the attached flowchart.

## **6 Associated Documents**

6.1 NISSG Paper 96/102 Issues Database Review Group Final Report.

6.2 G/AST/004 - Guidance: Issues Recording Process and Use of the Issues Database.

**Flow Chart for the ND  
Issues Recording Process**



Procedure AST/004, Guidance G/AST/004 and ND – Recording Issues Guide  
 Responsibility rest with originator and Head of Unit