



NUCLEAR SAFETY DIRECTORATE - BUSINESS MANAGEMENT SYSTEM		
SITE INSPECTION AND ENFORCEMENT		G/INS/001
GUIDANCE: <i>PREPARATION AND ISSUE OF LICENCE INSTRUMENTS AND ASSOCIATED PROJECT ASSESSMENT REPORTS</i>		ISSUE 001
Approved By: R Gray	R Gray	Issue Date: 1/10/04
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1. Purpose & Scope

- 1.1 This guidance provides supporting information for Instruction INS/001 – Preparation and Issue of Licence instruments and Associated Project Assessment Reports.
- 1.2 In particular it provides models of the format and content of routine licence instruments and examples for specific licence conditions in the eight categories listed in Annex 2 to INS/001.
- 1.3 Finally it sets out the standard and format for a Project Assessment Report (PAR) and provides guidance as to its content.

2. Background

- 2.1 Notwithstanding the more general HSW etc Act 1974 powers of Improvement and Prohibition Notices, NII has available specific powers under conditions attached to site licences for the control of licensees activities and to undertake enforcement action aimed at bringing about improvements in operational safety, to direct that operations be carried out or to direct that operations be halted.
- 2.2 The licence conditions provide for six primary powers comprising ‘Consent’, ‘Approval’, ‘Direction’, ‘Notification’, ‘Specification’, and ‘Agreement’. In addition a number of licensees’ arrangements provide mechanisms for NII to effect regulatory control, particularly of projects, using powers often referred to as “derived powers”. The commonly used derived powers are ‘agreement’, ‘specification’ and ‘acknowledgement’.
- 2.3 Annex 1 sets out a description of the powers available to inspectors through the conditions attached to the site licence.
- 2.4 Derived powers, such as ‘agreement’, ‘acknowledgement’ have been used extensively to control certain activities at nuclear installations, particularly those of construction, commissioning, modifications and decommissioning under licence conditions 19-22 and 35, which require the licensee to establish “adequate arrangements” for the relevant activity. Such arrangements, in order to be considered adequate, usually involve built in hold points, which cannot be passed without NII ‘agreement’ or ‘acknowledgement’. A further derived power is one ‘specifying’ under licensees’ arrangements that our agreement is needed to implement a modification when that is not already required i.e. we are intervening.

- 2.5 The main advantage in the use of derived powers is their flexibility. They can deal with a very wide range of projects and provide a hierarchy of regulatory control. They are transparent to the extent that a list of all licence instruments is published in the site inspectors' quarterly LCLC/LLC report.
- 2.6 Projects should therefore make use of a combination of derived and primary powers in project control. The flexibility of the derived powers should be used for most of the detailed hold points required in a major project, but this should be coupled with an appropriate number of transparent, high profile 'Specifications' and 'Consents' to proceed beyond pre-determined milestones. The latter should be specified in the programme in advance and should be implemented by the use of primary powers. The correct balance between the use of derived and primary powers will depend on particular circumstances and will therefore be project specific.
- 2.7 Primary powers may also be used on an unplanned basis where, for whatever reason, the derived power system/arrangements has broken down, for example the regulation of construction, modification or commissioning via derived powers may not give NII adequate control and it may be necessary to permission activities via 'Specification' and Consent'.
- 2.8 In order to make most effective use of the Solicitor's Office a joint review has been undertaken by NSD and the Solicitor's Office into the process which has been adopted for the issue of licence instruments by NSD and particularly the value which the Solicitor's Office is able to contribute. As a consequence it has been possible to establish a category of licence instruments, referred to as routine licence instruments, where the general format and content has been agreed with Solicitor's Office.
- 2.9 Although a PAR is still required to be produced, as it is for the issue or withdrawal of any licence instrument, it is no longer necessary to refer specific routine licence instruments to the Solicitor's Office provided the format and content as set out in this guidance is adopted.

3. Definitions

- 3.1 Licence instrument: Generic term for formal documents issued by NSD to a licensee which either permissions the licensee to carry out an activity, or requires some form of action to be taken. They are also applied in order to 'freeze' a procedure or document by 'Approving' it, thus reflecting a judgement that at that time and on balance the document/procedure was adequate. These instruments comprise those utilising the primary licence condition powers of 'Consent', 'Approval', 'Direction', 'Specification', 'Notification' and 'Agreement' as well as those utilising powers derived from the licensee's arrangements. Commonly used licence instruments utilising derived powers are 'agreement', 'specification' and 'acknowledgement'. A description of the powers available to inspectors is set out in Annex 1.
- 3.2 Routine Licence instrument: Those licence instruments for which the general wording and format has been agreed with the Solicitor's Office and hence do not need to be referred to the Solicitor's Office for checking prior to issue. A list of 'routine' licence instruments is attached as Annex 2 to Inspection

Instruction INS/001 and the specific format and contents for each is included in Annex 2 to this guidance.

- 3.3 Non Routine Licence instrument: All other licence instruments not listed in Annex 2 to Inspection Instruction INS/001.

4. Guidance on Format and Content of Routine Licence instruments

- 4.1 The list of routine licence instruments is set out in Annex 2 to INS/001 under eight categories.
- 4.2 Annex 2, Sections A – H, to this guidance sets out the format and contents of the routine licence instruments which could be issued under each of the eight categories. Where a specific category covers a number of licence conditions an example of a routine licence instrument for a specific licence condition is included.

5. Guidance on Format and Content of Project Assessment Reports

- 5.1 A PAR is used to set out the basis of NII's justification for taking regulatory action such as the issue of a licence instrument. As such it should be clear in the report what are facts and what is an inspector's opinion and the rationale behind it.
- 5.2 So far as possible the report should be self-standing, in the sense that the reader will be able to follow (but not necessarily to substantiate) the key arguments without the need to refer to additional documents. Where relevant the report should include both positives and negatives from the assessment findings so that the true balance of the case is visible.
- 5.3 The tone of the PAR should be objective, and open-minded. It should not comment on the licensee's general capability or performance unless these have an explicit bearing on the regulatory decision being made.
- 5.4 Unless protectively marked it must be assumed that the PAR is eligible for disclosure if requested. A separate disclosable synopsis should not be written unless security or commercial confidentiality requirements dictate that this is necessary
- 5.5 The title page of the PAR should follow the format as set out in Annex 3.
- 5.6 The PAR content should follow the broad guidelines as given in Annex 4.
- 5.7 The PAR author should obtain the report number from the Division administrative staff and provide the administrative staff with details of the title of the PAR, the Site, Licence number and Licence instrument Number (if applicable) as well as the relevant file(s) on which the PAR is to be placed. Further information on PAR numbering and issue can be found in BMS Instructions and Guidance BSS/CAN/004
- 5.8 Hard copies of the PAR should be filed on relevant files as indicated in the distribution on the PAR Title Page.

5.9 Protectively marked PARs should be handled and filed in accordance with the requirements of HSD Staff Handbook (Chapter 4 Conduct, Appendix 3 'Information Security in HSE') and BMS Instructions and Guidance BSS/IMT/007

6. Associated documents

6.1 INS/001 – Preparation and Issue of Licence Instruments and Associated Project Assessment Reports.

6.2 HSE Staff Handbook (Chapter 4 Conduct, Appendix 3 'Information Security in HSE')

6.3 BSS/CAN/004 – Project Assessment Report Numbering & Issue

6.4 BSS/CAN/005 – Licence Instrument Numbering and Issue

6.5 BSS/IMT/007 – Handling of Protectively Marked Documents

Annex 1 THE POWERS AVAILABLE THROUGH THE CONDITIONS ATTACHED TO A NUCLEAR SITE LICENCE

Section 4 of the Nuclear Installation Act 1965 (as amended) makes provision for attaching conditions to a nuclear site licence and for making the contravention of any condition attached to a nuclear site licence an offence.

The powers provided through the licence conditions involve the issue of the following types of Licence Instruments.

Primary Powers

Consent

A Consent is required before the licensee can carry out a relevant activity which is specifically identified in the licence. For example, consent is required to allow a reactor to start up following its periodic shutdown.

Approval

An Approval is used to freeze a licensee's arrangements or other documentation. If HSE so specifies, the licensee is required to submit for approval the arrangements which have been prepared to meet the requirements of a specific licence condition. Once approved, the arrangements cannot be changed without a further Approval from HSE. An example of an arrangement which is normally approved is the Emergency Plan. Examples of other documentation which are normally approved are certain plant maintenance schedules and certain operating rules.

Direction

A Direction is used by HSE when it requires the licensee to take a particular action. For example licence condition 31(1) gives HSE the power to direct a licensee to shut down any plant, operation or process.

Notification

The standard licence gives HSE powers to require the submission of information by notifying the licensee of the requirement. For example in licence condition 21(8), the licensee shall, if notified by the Executive, submit a safety case and shall not commence operation of the relevant plant or process without the consent of the Executive.

Specification

The standard licence gives HSE powers to specify certain courses of action required of the licensee. For example in licence condition 23(4), if the Executive so specifies, the licensee is required to submit certain operating rules to the Executive for approval.

Agreement

The standard licence gives HSE powers to agree to certain activities for example licence condition 28(7) allows the Executive to agree to an extension of any interval specified in the plant maintenance schedule.

Derived Powers

Derived powers are where the regulator takes formal action as prescribed by the licensee's arrangements made under a particular licence condition. Since licensee's arrangements can differ the derived powers can be different from licensee to licensee. For example the more commonly used derived powers are:

'agreement'

An 'agreement' issued by HSE permissions a licensee, in accordance with the licensee's own arrangements, to proceed with a specified course of action. For example, licence condition 22 requires a licensee to have adequate arrangements to control modifications to safety-related plant. Such arrangements will reflect the fact that some modifications have more safety significance than others. They will often state that for such high category modifications which, if inadequately conceived or implemented, there could be serious nuclear safety implications, and the modification cannot be carried out without the agreement of HSE.

For many major activities, such as new build or complex modifications, the project is divided into stages with hold points at which NII wishes to exert its regulatory control by explicitly 'agreeing' before a stage can start. Although there are primary powers which provide for such staged regulatory control by 'Consent', it is more common and less complex to use the derived power of agreement.

'acknowledgement'

An 'acknowledgement' issued by HSE informs the licensee, in accordance with the licensee's own arrangements, that NII either intends to take no further formal action on a topic, or notifies that it intends to examine the licensee's proposals for ensuring safety. For example, under licence condition 22 the licensee's arrangements will require the licensee to submit safety case documentation related to the more safety significant modifications. In such a case NII may consider the modification of such safety significance that it judges it necessary to examine the proposal. In which case NII will acknowledge receipt and notify the licensee of intention to examine the safety documentation for the modification, either at this or a later stage. NII may however consider the modification does not warrant further examination and simply acknowledges receipt of the safety documentation. The licensee is then able to proceed with the proposed modification

'specification'

A further derived power is one 'specifying' in accordance with the licensee's own arrangements that NII agreement is needed to implement a modification when that would not normally be required within the arrangements i.e. we are intervening. This is typically used where we are not content with the licensee's category of modification or judge the matter such that intervention is warranted.

[Note: A number of the licence conditions require the licensee to “make and implement adequate arrangements...”. The arrangements are the licensee’s responsibility and may provide mechanisms for NSD to permission activities. NSD does this in a formal document and in doing so accepts that the arrangements are adequate. If the licensee fails to comply with the issued formal document and does something else, which is considered to be inadequate, enforcement action would be for failure to implement adequate arrangements under the licence condition].

Annex 2 SPECIMEN FORMAT AND CONTENT OF ROUTINE LICENCE INSTRUMENTS

A.1 Format and Content for a 'Specification' to approve licensee's arrangements

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.] [Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition [Insert relevant No.] of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition [Insert relevant No.] of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall submit to the Executive for approval [that part/those parts] of the arrangements [insert wording for specific arrangements as in the appropriate licence condition] which [is/are] set out in the document titled [insert relevant document title references, date and issue number].

Dated: [Insert Month and Year ONLY - signatory will date on day of signing] For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]
A person authorised to act in that behalf

A.2 Example of 'Specification' to approve licensee's arrangements under Licence Condition 28(2)

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition 28(2) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 28(2) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall submit to the Executive for approval [that part/those parts] of the arrangements for the regular and systematic examination, inspection, maintenance and testing of all plant which may affect safety which [is/are] set out in the document titled [insert relevant document title, references, date and issue number].

Dated: [Insert Month and Year ONLY - signatory will date on day of signing]

For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]

A person authorised to act in that behalf

A.3 Format and Content for an initial 'Approval' of licensee's arrangements

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition [Insert relevant No.] of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition [Insert relevant No.] of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves [that part/those parts] of the arrangements made by the licensee under Condition [Insert relevant No.] of that Schedule [insert wording for specific arrangements as in the appropriate licence condition] which [is/are] set out in the document titled [insert relevant document title, references, date and issue number].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]

A person authorised to act in that
behalf

A.4 Example of an initial 'Approval' of licensee's arrangements

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 11(2) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 11(2) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves [that part/those parts] of the arrangements made by the licensee under Condition 11(1) of that Schedule for dealing with any accident or emergency arising on the site and their effects which is set out in the document titled [insert relevant document title, references, date and issue number].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]

A person authorised to act in that
behalf

B.1 Format and Content for an 'Approval' for the alteration or amendment to licensee's approved arrangements

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition [Insert relevant No.] of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition [Insert relevant No.] of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the following alteration or amendment to part of the arrangements made by the licensee under Condition [Insert relevant No.] of that Schedule [insert wording for specific arrangements as in the appropriate licence condition]:

The substitution of the document titled [insert relevant document title, reference, date and issue number].

For the document titled [insert relevant document title, reference, date and issue number previously approved].

In accordance with Condition 1(3) of the said Schedule 2, [Licence Instrument No. or Approval No.] [Insert relevant previous No.], which was granted under Site Licence [Insert relevant No.] on [Day Month Year] is hereby [withdrawn, or modified or revised to the extent necessary to give effect to this Approval].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing]

For and on behalf of the Health and Safety Executive
Signed:

[Name of Inspector with Delegated Authority]
A person authorised to act in that behalf

B.2 Example of an 'Approval' for the alteration or amendment to licensee's approved arrangements under Licence Condition 15(3)

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 15(3) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 15(3) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the following alteration or amendment to part of the arrangements made by the licensee under Condition 15(1) of that Schedule for the periodic and systematic review and reassessment of safety cases:

The substitution of the document titled [insert relevant document title, reference, date and issue number].

For the document titled [insert relevant document title, reference, date and issue number previously approved].

In accordance with Condition 1(3) of the said Schedule 2, [Licence Instrument No. or Approval No.] [Insert relevant previous No.], which was granted under Site Licence [Insert relevant No.] on [Day Month Year] is hereby [withdrawn, or modified or revised to the extent necessary to give effect to this Approval].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]

A person authorised to act in that
behalf

C.1 Format and Content of 'Specification' issued Under LC30(3)

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition 30(3) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 30(3) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall not start up [identify the plant or process], which has been shutdown as required by Condition 30(1) and in accordance with the requirements of its plant maintenance schedule referred to in Condition 28, without the consent of the Executive.

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]

A person authorised to act in that
behalf

C.2 Format and Content of 'Consent' Granted Under LC30(3)

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

CONSENT

Granted under Condition 30(3) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 30(3) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby consents to the start up of [Name of site as per licence] [description of plant or process] which was shutdown in accordance with the requirements of Condition 30(1).

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]
A person authorised to act in that
behalf

D.1 Format and Content for a 'Specification' to approve operating rules

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition 23(4) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 23(4) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall submit to the Executive for approval the operating rules set out in the document titled [insert relevant document title, reference, date and issue number].

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]
A person authorised to act in that
behalf

D.2 Format and Content for a 'Specification' to approve part or parts of a plant maintenance schedule

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition 28(4) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 28(4) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall submit to the Executive for approval [that part/those parts] of the plant maintenance schedule set out in the document titled [insert relevant document title, reference, date and issue number].

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]

A person authorised to act in that
behalf

D.3 Format and Content of an initial 'Approval' of operating rules

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 23(4) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 23(4) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the operating rules set out in the document titled [insert relevant document title, references, date and issue number].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]
A person authorised to act in that
behalf

D.4 Format and Content of an initial 'Approval' of part or parts of a plant maintenance schedule

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 28(4) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 28(4) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves [that part/those parts] of the plant maintenance schedule as set out in the document titled [insert relevant document title, references, date and issue number].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing]

For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]
A person authorised to act in that behalf

D.5 Format and Content of the 'Approval' of an Alteration or Amendment to approved operating rules

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 23(5) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 23(5) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the following alteration or amendment to the [Name of site as per licence] operating rules:

The substitution of [details of those rules being introduced, title, reference, date and issue number] for [details of rules being replaced, reference, date and issue number].

In accordance with Condition 1(3) of the said Schedule 2, [Licence Instrument No. or Approval No.] [Insert relevant previous No.], which was granted under Site Licence No. [Insert relevant No.] on [Day Month Year] is hereby [withdrawn, or modified or revised to the extent necessary to give effect to this Approval]

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing] For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]

A person authorised to act in that behalf

D.6 Format and Content of the 'Approval' of an Alteration or Amendment to any approved part or parts of a plant maintenance schedule

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 28(5) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 28(5) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the following alteration or amendment to [that part/those parts] of the plant maintenance schedule:

The substitution of [details of new parts being introduced, title, reference, date and issue number] for [details of part(s) being replaced, reference, date and issue number].

In accordance with Condition 1(3) of the said Schedule 2, [Licence Instrument No. or Approval No.] [Insert relevant previous No.], which was granted under Site Licence No. [Insert relevant No.] on [Day Month Year] is hereby [withdrawn, or modified or revised to the extent necessary to give effect to this Approval].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing] For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]

A person authorised to act in that behalf

E.1 Format and Content for a 'Notification' under LC21 Commissioning

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

NOTIFICATION

Issued under Condition 21(8) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 21(8) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby notifies the licensee to submit to the Executive the safety case for [provide unambiguous description for the requisite plant or processes] and not to commence operation of the aforesaid [plant/process] without the consent of the Executive.

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]

A person authorised to act in that
behalf

E.2 Format and Content for a 'Consent' under LC21 Commissioning

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

CONSENT

Granted under Condition 21(8) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 21(8) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby consents to the operation of [provide unambiguous description for requisite plant or processes as used in relevant specification].

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]
A person authorised to act in that
behalf

F.1 Format and Content for initial 'Approval' of terms of reference of a nuclear safety committee

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 13(2) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 13(2) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the terms of reference of the nuclear safety committee set out in the document titled [insert relevant document title, reference, date and issue number].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing]

For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]

A person authorised to act in that behalf

F.2 Format and Content of 'Approval' of alteration or amendment to the terms of reference of a nuclear safety committee

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 13(3) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 13(3) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the following alteration or amendment to [name of site as in licence] Nuclear Safety Committee's Terms of Reference:

The substitution of the document titled [insert relevant document title, reference, date and issue number] for the document titled [insert relevant document title, reference, date and issue number previously approved].

In accordance with Condition 1(3) of the said Schedule 2, [Licence Instrument No. or Approval No.] [Insert relevant previous No.], which was granted under Site Licence No. [Insert relevant No.] on [Day Month Year] is hereby [withdrawn, or modified or revised to the extent necessary to give effect to this Approval].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing] For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]
A person authorised to act in that behalf

F.3 Format and Content for initial 'Approval' of a nuclear safety committee's arrangements for obtaining consideration, or advice on urgent safety proposals

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 13(11) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 13(11) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the Nuclear Safety Committee's arrangements for obtaining consideration of, or advice on, urgent safety proposals set out in the document titled [insert relevant document title, reference, date and issue number].

This Approval shall come into effect at [Time] on [Day Month Year].

Dated: [Insert Month and Year ONLY - signatory will date on day of signing]

For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]
A person authorised to act in that behalf

F.4 Format and Content of 'Approval' of alterations or amendments to a nuclear safety committee's arrangements for obtaining consideration, or advice, on urgent safety proposals

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

APPROVAL

Granted under Condition 13(12) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 13(12) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby approves the following alteration or amendment to [name of site as in licence] Nuclear Safety Committee's arrangements for obtaining consideration, or advice on urgent safety proposals.

The substitution of the document titled [insert relevant document title, reference, date and issue number] for the document titled [insert document title, reference, date and issue number previously approved].

In accordance with Condition 1(3) of the said Schedule 2, [Licence Instrument No. or Approval No.] [Insert relevant previous No.], which was granted under Nuclear Site Licence No. [Insert relevant No.] on [Day Month Year] is hereby [withdrawn, or modified or revised to the extent necessary to give effect to this Approval].

This Approval shall come into effect at [Time] on [Day Month Year]

Dated: [Insert Month and Year ONLY - signatory will date on day of signing] For and on behalf of the Health and Safety Executive

Signed:

[Name of Inspector with Delegated Authority]
A person authorised to act in that behalf

G.1 Format and Content for 'Specification'

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition [Insert relevant No.] of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition [Insert relevant No.] of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall [insert wording for specific requirements as in the appropriate licence condition and insert relevant document title, reference, date and issue number].

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]
A person authorised to act in that
behalf

G.2 Example of a 'Specification' issued under Licence Condition 14(4)

Site Licence No: [Insert relevant No.]

Licence Instrument No: [Insert relevant No.]

[Month Year]

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

SPECIFICATION

Issued under Condition 14(4) of

Schedule 2 attached to

Nuclear Site Licence No: [Insert relevant No.]

[NAME OF SITE AS PER LICENCE]

The Health and Safety Executive, for the purposes of Condition 14(4) of Schedule 2 attached to Nuclear Site Licence No: [Insert relevant No.], hereby specifies that the licensee shall furnish to the Executive a copy of [Insert relevant document title, reference, date and issue number].

Dated: [Insert Month and Year ONLY -
signatory will date on day of
signing]

For and on behalf of the
Health and Safety Executive

Signed:

[Name of Inspector with Delegated
Authority]
A person authorised to act in that
behalf

H.1 Format and Content for an 'agreement' issued under licensee's arrangements

Divisional Letter Headed Paper

The Company Secretary
[Full Postal Address for relevant licensee]

Direct Dial: 0151-951 [Ext]

Your Ref: [Insert relevant No.]

File Ref: [Insert relevant file(s)/ part/ enc
no.]

Unique No: [Insert relevant No.]

Date: [Day Month Year]

Dear Sir

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)
[NAME OF RELEVANT LICENSEE AS ON LICENCE]
[NAME OF SITE AS ON LICENCE]
NUCLEAR SITE LICENCE No: [Insert Relevant No.]
LICENCE INSTRUMENT No: [Insert Relevant No.]
AGREEMENT UNDER ARRANGEMENTS MADE UNDER CONDITION [Insert Relevant Condition No.]

TITLE: AGREEMENT TO [Insert appropriate title of licensee's submission]

The Health and Safety Executive, for the purposes of arrangements made by the licensee under Condition [insert relevant Condition No.] of Schedule 2 attached to Nuclear Site Licence No. [insert relevant Licence No.] to [insert wording for specific arrangements as in the appropriate licence condition] hereby agrees to [what licensee has requested in the submission and as required by the licensee's arrangements], as described in the document titled [insert relevant document title, reference, date and issue number] and as requested in the licensee's letter [insert relevant unique number and date of letter]. [If appropriate refer to any continuing restrictions or constraints imposed by the licensee in the submission letter].

I am copying this letter to [provide necessary details in accordance with local agreement, eg Station Director/Plant Manager, Health & Safety Manager/Site Inspector, CNNRP/NWR Inspector].

Yours faithfully

[Name of Inspector with Delegated Authority]
HM [Grade of Inspector with Delegated Authority]
(Nuclear Installations)

H.2 Example of an 'agreement' issued under licensee's arrangement for Licence Condition 19(1)

Divisional Letter Headed Paper

The Company Secretary
[Full Postal Address for relevant licensee]

Direct Dial: 0151-951 [Ext]

Your Ref: [Insert relevant No.]

File Ref: [Insert relevant file/ part/ enc
no.]

Unique No: [Insert relevant No.]

Date: [Day Month Year]

Dear Sir

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)
[NAME OF RELEVANT LICENSEE AS ON LICENCE]
[NAME OF SITE AS ON LICENCE]
NUCLEAR SITE LICENCE No: [Insert Relevant No.]
LICENCE INSTRUMENT No: [Insert Relevant No.]
AGREEMENT UNDER ARRANGEMENTS MADE UNDER CONDITION 19(1)

TITLE: AGREEMENT TO [Insert appropriate title of licensee's submission]

The Health and Safety Executive, for the purposes of arrangements made by the licensee under Condition 19(1) of Schedule 2 attached to Nuclear Site Licence No. [insert relevant Licence No.] to construct or install any new plant which may affect safety, hereby agrees to [what licensee has requested in the submission and as required by the licensee's arrangements], as described in the document titled [insert relevant document title, reference, date and issue number] and as requested in the licensee's letter [insert relevant unique number and date of letter]. [If appropriate refer to any continuing restrictions or constraints imposed by the licensee in the submission letter].

I am copying this letter to [provide necessary details in accordance with local agreement, eg Station Director/Plant Manager, Health & Safety Manager/Site Inspector, CNNRP/NWR Inspector].

Yours faithfully

[Name of Inspector with Delegated Authority]
HM [Grade of Inspector with Delegated Authority]
(Nuclear Installations)

H.3 Format and Content for an 'acknowledgement' issued under licensee's arrangements

Divisional Letter Headed Paper

The Company Secretary
[Full Postal Address for relevant licensee]

Direct Dial: 0151-951 [Ext]

Your Ref: [Insert relevant No.]

File Ref: [Insert relevant file/ part/ enc
no.]

Unique No: [Insert relevant No.]

Date: [Day Month Year]

Dear Sir

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)
[NAME OF RELEVANT LICENSEE AS ON LICENCE]
[NAME OF SITE AS ON LICENCE]
NUCLEAR SITE LICENCE No: [Insert Relevant No.]
LICENCE INSTRUMENT No: [Insert Relevant No.]
ACKNOWLEDGEMENT UNDER ARRANGEMENTS MADE UNDER CONDITION [Insert Relevant Condition No.]

TITLE: ACKNOWLEDGEMENT OF [Insert appropriate title of licensee's submission]

The Health and Safety Executive, for the purposes of arrangements made by the licensee under Condition [insert relevant Condition No.] of Schedule 2 attached to Nuclear Site Licence No. [insert relevant Licence No.] to [insert wording for specific arrangements as in the appropriate licence condition] hereby acknowledges receipt of:-

The document titled [insert relevant document title, reference, date and issue number] as requested in the licensee's letter [insert relevant unique number and date of letter].

I am copying this letter to [provide necessary details in accordance with local agreement, eg Station Director/Plant Manager, Health & Safety Manager/Site Inspector, CNNRP/NWR Inspector].

Yours faithfully

[Name of Inspector with Delegated Authority]
HM [Grade of Inspector with Delegated Authority]
(Nuclear Installations)

H.4 Example of an 'acknowledgement' issued under licensee's arrangements for Licence Condition 22(1)

Divisional Letter Headed Paper

The Company Secretary
[Full Postal Address for relevant licensee]

Direct Dial: 0151-951 [Ext]

Your Ref: [Insert relevant No.]

File Ref: [Insert relevant file/ part/ enc
no.]

Unique No: [Insert relevant No.]

Date: [Day Month Year]

Dear Sir

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)

[NAME OF RELEVANT LICENSEE AS ON LICENCE]

[NAME OF SITE AS ON LICENCE]

NUCLEAR SITE LICENCE No: [Insert Relevant No.]

LICENCE INSTRUMENT No: [Insert Relevant No.]

ACKNOWLEDGEMENT UNDER ARRANGEMENTS MADE UNDER CONDITION 22(1)

TITLE: ACKNOWLEDGEMENT OF [Insert appropriate title of licensee's submission]

The Health and Safety Executive, for the purposes of arrangements made by the licensee under Condition 22(1) of Schedule 2 attached to Nuclear Site Licence No. [insert relevant Licence No.] to control any modification or experiment carried out on any part of the existing plant or processes which may affect safety, hereby acknowledges receipt of:-

The document titled [insert relevant document title, reference, date and issue number] as requested in the licensee's letter [insert relevant unique number and date of letter].

I am copying this letter to [provide necessary details in accordance with local agreement, eg Station Director/Plant Manager, Health & Safety Manager/Site Inspector, CNNRP/NWR Inspector].

Yours faithfully

[Name of Inspector with Delegated Authority]

HM [Grade of Inspector with Delegated Authority]

(Nuclear Installations)

H.5 Format and Content for a 'specification' issued under licensee's arrangements

Divisional Letter Headed Paper

The Company Secretary
[Full Postal Address for relevant licensee]

Direct Dial: 0151-951 [Ext]

Your Ref: [Insert relevant No.]

File Ref: [Insert relevant file/ part/ enc
no.]

Unique No: [Insert relevant No.]

Date: [Day Month Year]

Dear Sir

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)
[NAME OF RELEVANT LICENSEE AS ON LICENCE]
[NAME OF SITE AS ON LICENCE]
NUCLEAR SITE LICENCE No: [Insert Relevant No.]
LICENCE INSTRUMENT No: [Insert Relevant No.]
**SPECIFICATION UNDER ARRANGEMENTS MADE UNDER CONDITION [Insert
Relevant Condition No.]**

TITLE: SPECIFICATION [Insert the action to be taken]

The Health and Safety Executive, for the purposes of arrangements made by the licensee under Condition [insert relevant Condition No.] of Schedule 2 attached to Nuclear Site Licence No. [insert relevant Licence No.] to [insert wording for specific arrangements as in the appropriate licence condition] hereby specifies that [insert details of the activity that we are proposing to intervene in and the relevant document title, reference, date and issue number], shall be submitted to and not implemented without the agreement of the Health & Safety Executive.

I am copying this letter to [provide necessary details in accordance with local agreement, eg Station Director/Plant Manager, Health & Safety Manager/Site Inspector, CNNRP/NWR Inspector].

Yours faithfully

[Name of Inspector with Delegated Authority]
HM [Grade of Inspector with Delegated Authority]
(Nuclear Installations)

H.6 Example for a 'specification' issued under licensee's arrangements for Licence Condition 22(1)

Divisional Letter Headed Paper

The Company Secretary
[Full Postal Address for relevant licensee]

Direct Dial: 0151-951 [Ext]

Your Ref: [Insert relevant No.]

File Ref: [Insert relevant file/ part/ enc
no.]

Unique No: [Insert relevant No.]

Date: [Day Month Year]

Dear Sir

NUCLEAR INSTALLATIONS ACT 1965 (AS AMENDED)
[NAME OF RELEVANT LICENSEE AS ON LICENCE]
[NAME OF SITE AS ON LICENCE]
NUCLEAR SITE LICENCE No: [Insert Relevant No.]
LICENCE INSTRUMENT No: [Insert Relevant No.]
SPECIFICATION UNDER ARRANGEMENTS MADE UNDER CONDITION 22(1)

TITLE: SPECIFICATION [Insert the action to be taken]

The Health and Safety Executive, for the purposes of arrangements made by the licensee under Condition 22(1) of Schedule 2 attached to Nuclear Site Licence No. [insert relevant Licence No.] to control any modification or experiment carried out on any part of the existing plant or processes which may affect safety, hereby specifies that [insert details of the activity that we are proposing to intervene in and the relevant document title, reference, date and issue number], shall be submitted to and not implemented without the agreement of the Health & Safety Executive.

I am copying this letter to [provide necessary details in accordance with local agreement, eg Station Director/Plant Manager, Health & Safety Manager/Site Inspector, CNNRP/NWR Inspector].

Yours faithfully

[Name of Inspector with Delegated Authority]
HM [Grade of Inspector with Delegated Authority]
(Nuclear Installations)

Annex 3 TITLE PAGE FOR PROJECT ASSESSMENT REPORT

**DIVISION [No.] PROJECT ASSESSMENT REPORT No: [yyyy/no.]
HEALTH AND SAFETY EXECUTIVE
HM NUCLEAR INSTALLATIONS INSPECTORATE**

PROJECT: [Description of Activity addressed by the report]

SITE: [Name of Site as in Site Licence]

TITLE: [Title of the Licensee's Proposal]

LICENCE INSTRUMENT NO: [Specific Type (eg, Approval) and Number]

NUCLEAR SITE LICENCE NO: [As in Site Licence]

LICENCE CONDITION NO: []

AUTHOR [] SIGNED _____ DATE _____

APPROVED [] SIGNED _____ DATE _____

Distribution: DCI (Cover page and summary only, unless DCI signing LI)
Unit SI(s)
Relevant Inspectors/Assessor(s)
Files: Division Report File
Relevant Subject Files

**Health and Safety Executive
Nuclear Safety Directorate
St Peter's House
Stanley Precinct
Bootle
Merseyside L20 3LZ**

Annex 4 STRUCTURE OF PROJECT ASSESSMENT REPORTS

TITLE PAGE (See Annex 3)

SUMMARY

An 'executive' summary should be considered for the convenience of the reader, particularly if the report is long or covers a complex subject. Given that the whole report is written with disclosure in mind, it should not be assumed that only the executive summary will be disclosed.

CONTENTS

For lengthy reports it will be useful to include a contents list.

INTRODUCTION

This should cover brief details of background circumstances, any technical/managerial details that may aid understanding and the legal device to which the report relates.

BASIS FOR DECISION

This is at the discretion of the author but it may be beneficial and prudent to cover the following:

- a. An outline of the hazards and safeguards associated with the area of interest.
- b. Details of associated projects and regulatory history if relevant.
- c. Technical details to aid understanding of the justification for the licence instrument
- d. Reference to information (safety cases, NSC papers, visit reports, INSA etc) on which NII judgements are made.
- e. A brief account of the NII's view of any areas that may require close scrutiny of safety grounds, or brief reasons why a view is taken that no detailed scrutiny is required. It may be useful to indicate on what basis any sampling was carried out, including any consultation within the HSE (i.e. HID).
- f. Outcome of any assessment work and arrangements for closing out significant issues, either raised by assessors or by the inspector. All recommendations should be addressed, including those being set aside or deferred.
- g. Interfaces on site and the extent of any necessary internal NII consultation.
- h. The extent of any liaison with other government departments or agencies if relevant (i.e. EA, SEPA, MoD etc).

CONCLUSIONS

RECOMMENDATIONS

REFERENCES

(This may be a separate section or specific references may be identified in the basis for decision. In either case the location of the reference, ie. file reference, part and enclosure number, should be identified).