



EFFECTIVE SUPERVISION

INTRODUCTION

The term *effective supervision* is used in regulation 36(2) of the PECPR Regulations, but is not defined. An exemption from the regulations, which enables inspection bodies (subject to Department of Labour approval) to make greater use of trainee inspectors, also relies on effective supervision. For consistency of application of the regulation and exemption it is necessary to have an agreed definition and policy for effective supervision.

The reasons for ensuring effective supervision from an inspection body's perspective would be:

1. Risk management - safety
2. Utilisation of resources - profitability
3. Client satisfaction – market security
4. Personnel development – staff job satisfaction.

The reasons for requiring effective supervision from a Department of Labour perspective would be:

1. Safety – the outcome should be as safe as if the inspection was performed by an equipment inspector
2. Training – the attainment of sufficient skills and knowledge by the trainee to provide the inspection pool with a competent future equipment inspector.

DEFINITIONS

Effective supervision: The overall management and general direction of a person in order to achieve a desired result.

Note: The above definition of 'effective supervision' is reasonably broad and would permit a range of possibilities from 'close and constant overseeing' to 'overall task direction and readily communicated assistance'.

Equipment category: A group of equipment for which an inspector can gain signatory status.

Equipment sub-category: A convenient subset of an equipment category, determined by the inspection body (see Appendix C). The equipment sub-category may if appropriate constitute the entire equipment category.

Level: A stage of trainee progression, the requirements for which must be fulfilled prior to advancement to the next level for a particular equipment sub-category. The number of levels is to be decided by the inspection body. The highest level should closely correspond to Level 3 in Table 1 and the lowest level should closely correspond to Level 1 in Table 1 – therefore there must be at least two levels. (The labels 'Level 1', 'Level 2', etc were chosen as neutral examples and naming is at the discretion of the inspection body.)

Supervisor: An equipment inspector as defined in the PECPR Regulations, competent on the equipment under inspection during supervision, and meeting the experience requirements of Note 1 of the general notes below.

Trainee Equipment Inspector: A person employed or engaged by an inspection body, who is pursuing a documented course of training towards attainment of a certificate of competence and signatory status within a period of time specified by the inspection body. If warranted, the inspection body could permit an extension to the specified training period provided the circumstances and length of extension were recorded.

Table 1 - Effective supervision policy is as follows and applies to each equipment sub-category:
The table should be read in conjunction with the general notes, which follow it (but are not restricted to it)

Trainee Level	Nature of effective supervision
Level 1	<ul style="list-style-type: none"> • Full direction of activities (chosen work assignments) and constant direct overseeing of work. • Supervisor present at all times
Level 2	<ul style="list-style-type: none"> • Assignment of activities by supervisor • Supervisor present during a proportion of the inspections (proportion set and monitored by inspection body) • Supervisor to discuss all reports directly (face to face) with the trainee prior to signing off • A plan must be in place to deal with unforeseen trainee inspection difficulties which shall include the capability of the supervisor to intervene as required
Level 3	<ul style="list-style-type: none"> • Assignment of activities by supervisor (can be more than one), combined with occasional overseeing of work as required • The supervisor who assigned the work must check all reports • The supervisor who assigned the work must be readily available for communication by an appropriate means • A plan must be in place to deal with unforeseen trainee inspection difficulties

General notes:

1. The inspection body is to determine and enforce supervisor experience requirements in terms of time since gaining signatory status and number of certificates issued.
2. In each case the supervising equipment inspector who will make the recommendation to issue a certificate, and whose name will appear on it, must review the appropriate trainee report.
3. Personnel will progress through the training process for each equipment sub-category that is necessary to gain a specific signatory status.
4. All entrants into inspection, other than those covered by note 5 below, shall commence at Level 1 for each equipment sub-category.
5. New inspection personnel, who up until engagement held current signatory status with another New Zealand inspection body, shall be trainees during the company induction period (until signatory status is again achieved). Such personnel may commence at an appropriate level for each equipment sub-category as determined by the inspection body.
6. Rate of advancement through training will depend on availability of the necessary types and complexity of equipment, nature of inspections to be performed, and the rate of acquisition of the appropriate skills and knowledge needed to demonstrate competence. A minimum number of closely related inspections will be stated, with regard to equipment and type of inspection, to be successfully completed before progressing beyond Level 1. This minimum number, to be determined by the inspection body, will be not less than the number of generic equipment types in the sub-category.
7. A trainee, even where all equipment sub-category requirements have been met, would continue under Level 3 effective supervision until attainment of the certificate of competence and gaining of signatory status.
8. Recorded audits by the supervisor (frequency to be predetermined on an individual trainee basis) will be used to demonstrate competency achievement.
9. To facilitate external assessments of the inspection body's operation of the training process, the inspection body would be expected to keep full records of trainees and supervision. These would provide such information as the amount of full supervision (inspections and time spent), the overall proportion of trainee inspections, and how activities are assigned.

APPENDIX A

Factors which may influence the assessment of trainee experience, are as follows:

- Previous relevant trainee experience
- Trainee's apparent understanding, for example as displayed by pertinent questioning
- Trainee's willingness to ask questions
- The variety of equipment used to assess the trainee's competence.

APPENDIX B

Table B1 - Example inspection log showing supervision (where appropriate):

Note: This table does not constitute full training records.

<i>Date</i>	<i>Job ID</i>	<i>Trainee</i>	<i>Inspector</i>	<i>Equip class</i>	<i>Item description</i>	<i>Type of inspection</i>	<i>Level</i>
22/03/05	10010	A Newman	W White	B	6MW gas-fired shell (unattended)	Internal	Level 3
23/03/05	10011	B Blake	J Leadman	PV	LPG storage tank	External	Level 1
23/03/05	10012		W White	B	10MW hot water boiler	Internal	Signatory
24/03/05	10013	D Checker	G Edwins	TC	5T self-erecting	Prior to erection	Level 2
29/03/05	10014		G Edwins	GC	10T EOT	Annual	Signatory
29/03/05	10015	A Newman	G Edwins	MC	20T telescopic	Annual	Level 1
30/03/05	10016	N Brown	W White	B	20MW oil-fired water-tube (unattended)	Internal	Level 1

APPENDIX C

Table C1 – Equipment categories and sub-categories

Equipment Category for signatory status		
<table border="1"> <tr> <td>Equipment sub-category 1</td> </tr> <tr> <td>Generic equipment type 11 Generic equipment type 12 Generic equipment type 13 etc</td> </tr> </table>	Equipment sub-category 1	Generic equipment type 11 Generic equipment type 12 Generic equipment type 13 etc
Equipment sub-category 1		
Generic equipment type 11 Generic equipment type 12 Generic equipment type 13 etc		
<table border="1"> <tr> <td>Equipment sub-category 2</td> </tr> <tr> <td>Generic equipment type 21 Generic equipment type 22 etc</td> </tr> </table>	Equipment sub-category 2	Generic equipment type 21 Generic equipment type 22 etc
Equipment sub-category 2		
Generic equipment type 21 Generic equipment type 22 etc		
<table border="1"> <tr> <td>Equipment sub-category 3 etc</td> </tr> </table>	Equipment sub-category 3 etc	
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Produced by:

Department of Labour

Engineering Safety

Unisys House, 56 The Terrace, P O Box 3705,
Wellington 6015, New Zealand

Tel: 04 915 4444, Fax: 04 915 4370

www.dol.govt.nz

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Private Bag 28908, Remuera,

Auckland 1136, New Zealand

Tel: 09 525 6655 Fax: 09 525 2266

info@ianz.govt.nz. www.ianz.govt.nz

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