



## **Audit of human capital management Swiss Federal Nuclear Safety Inspectorate ENSI**

### **Key facts**

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From 25 August to 5 September 2014, the Swiss Federal Audit Office (SFAO) carried out an audit on human capital management<sup>4</sup> at ENSI. In doing so, the question of how Fukushima affected the staff situation was assessed. Analysis of personnel processes with the internal control system also took place.

ENSI fulfils its statutory mandate of supervising and monitoring the secure operation of Swiss nuclear facilities. The examinations of research groups in 2013 on waste disposal represent a substantial focal point in this respect. After the decision of the Bernische Kraftwerke Energie AG to shut down the Mühleberg nuclear power plant in 2019, there is now a new starting point for planning the security measures which will be required in the coming years. ENSI currently has more than 148 full-time equivalents. In the 2013 business year, the cost of ENSI's services was 20.6 million francs and personnel expenses were 26.1 million francs.

For the SFAO, the audit painted a positive overall picture. At ENSI, ensuring staffing requirements is a matter for top management and is actively attended to by it. The specifications and requirements in regard to target personnel levels were set by the ENSI management. Additional tasks since the events in Fukushima are well covered by ENSI resource planning and have been justified. A smoothly functioning internal control system is present in the ENSI personnel processes. Selected spot checks confirmed the effectiveness of the key controls.

The SFAO has also submitted recommendations on improvements to ENSI. These recommendations concern the internal control system, the contract portfolio and the delimitation of research mandates. To this end, the following demands must be taken into account:

- There should be regular information from management on the status of the internal control system. All internal controls must be reflected in the personnel processes and the description of the key controls must be adapted.
- When procuring a portfolio tool for contracts, it should be ensured that all contractual phases can be displayed. The start in particular should be displayed with the requirements analysis. It must be ensured that aspects such as related and recurring contracts and supplements can be evaluated.
- The basis for the delimitation of research and consultancy mandates should be drawn up uniformly.

### **Original text in German**

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<sup>4</sup> Dealing with internal and external personnel resources at ENSI