

# ONR Inspection Rating Guide

To use this guide, inspectors should identify applicable indicators from the list based on their inspection findings. Then select an appropriate rating which is the best fit, overall.

The majority of licensees and duty holders should be operating predominantly with a rating of Green.

(The rating scale from the previous system is provided for information only and does not form part of the current rating system).

Indicative Inspection Findings	Rating	Previous System	ONR Response	
<ul style="list-style-type: none"> <li>Relevant good practice generally met, or minor shortfalls identified, when compared with appropriate benchmarks.</li> <li>Legal duties complied with, although there may be minor contraventions of specific administrative requirements.</li> <li>No significant shortfalls identified in the delivery of safety or security functions.</li> <li>Relatively minor, if any, deficiencies in compliance arrangements.</li> <li>Minor failure to implement, compliance arrangements.</li> <li>Only limited opportunities exist to fully reduce risks to ALARP or enhance security measures.</li> <li>There may be some examples of best practice which have been observed and recorded.</li> </ul>	Green	Exemplar	<b>No Formal Action</b> <ul style="list-style-type: none"> <li>Provide feedback at the closeout meeting on the rating and key points from the inspection to be recorded in the IR or other record.</li> <li>If appropriate, provide advice on how to address any identified areas for improvement.</li> <li>Expect the licensee/duty holder to address any identified improvements and manage resolution via their internal management controls.</li> <li>Make a Level 4 Regulatory Issues Database entry for minor compliance shortfalls, if necessary, to monitor licensee/duty holder progress.</li> <li>Record any examples of best practice in the IR and acknowledge these to the licensee/duty holder.</li> <li>Record advice given regarding continuous improvement and best practice.</li> </ul>	
<ul style="list-style-type: none"> <li>Significant shortfall against an identified relevant good practice when compared with appropriate benchmarks.</li> <li>Specific legal requirements not met, but without prejudice to overall nuclear safety or security objectives.</li> <li>Inconsistent standards for managing risks to workers; with some key relevant statutory provisions not met.</li> <li>Specific significant weaknesses identified in delivery/implementation of safety case requirements.</li> <li>Significant or systematic failure to implement or meet compliance arrangements.</li> <li>Failure to maintain approved security arrangements, but with principal barriers remaining intact.</li> <li>Deficient arrangements for compliance with legal requirements.</li> <li>Systematic failure to comply with administrative legal requirements.</li> </ul>		Below Standard		<b>Seek Improvement</b> <ul style="list-style-type: none"> <li>Provide feedback at the closeout meeting on the rating and key points from the inspection to be recorded in the IR or other record.</li> <li>Identify and discuss any significant shortfalls with the licensee/duty holder, at an appropriate level.</li> <li>Discuss the proposed enforcement response with the relevant Programme Delivery Lead or nominated site inspector.</li> <li>Issue an ONR enforcement communication (email or letter) to the licensee/duty holder seeking the required improvements.</li> <li>Make one or more Regulatory Issues Database entries at Level 3 or above to log the enforcement communication and to track progress.</li> <li>Follow-up and close out the Regulatory Issue when complete.</li> </ul>
<ul style="list-style-type: none"> <li>Absence or failure of one or more principal barriers claimed in the safety case.</li> <li>Major failure to maintain arrangements in the approved security plan.</li> <li>Shortfalls in safety or security requirements resulting in significant avoidable risks to the public or workers, generally with at least one contravention that gives rise to a discernible risk gap under the EMM.</li> <li>Major non-compliance with defined or established standards necessary to ensure safety or security.</li> <li>Failure to deliver improvements previously identified in ONR enforcement communications.</li> <li>Persistent failure to meet administrative legal requirements, multiple warnings having been given.</li> </ul>				Red
	Unacceptable			