# Summary

## ORR's Annual Health and Safety Report of Performance on Britain's Railways: 2015-16

July 2016

## Background

The Office of Rail and Road (ORR), as health and safety regulator of all Britain's railways, reports annually on how infrastructure managers, such as Network Rail and London Underground, and train operating companies, have managed health and safety.

The report combines the findings of ORR's inspectors, who spend the majority of their time out on the railway network, with a detailed analysis of statistical trends and an assessment of the industry's risk management capability.

2015 was the 175th year of HM Rail Inspectorate. In this anniversary year, we saw a major milestone: for the first time ever, there were no fatalities amongst those working on the railway.

## Key messages

- There was good collaboration across the mainline industry in 2015-16, leading to the publication of a unified railway health and safety strategy, endorsed by ORR. This identified key issues requiring the industry's attention, including the workforce's occupational health.

- Safety at level crossings continues to improve, but standards are not yet applied consistently.

- ORR is scrutinising Network Rail's programme of work to further improve safety management at level crossings to ensure harm at crossings continues to drop.

- Whilst for the first year ever there were no fatalities amongst those working on the railway, there was still loss of life and injury to station users, both passengers and the wider public. ORR is pressing the industry to increase its focus on safety for people using stations, particularly at the platform edge.

- ORR took a number of enforcement actions where safety standards were not being met in 2015-16. We served eleven improvement and six prohibition notices and successfully completed prosecution of four defendants.

## Our priority

Although 2015-16 saw major steps towards our 'zero industry-caused fatalities' vision for safety on the railways, there is no room for complacency. We continue to expect further evidence of improvement across the industry, particularly improvements in occupational health.

The industry's leadership need to ensure that safety initiatives are properly implemented to deliver real benefits on the ground. However, ORR's inspectors still found that safety rules and procedures were not always followed consistently; ORR stepped in with enforcement action where safety fell below standard.

**ORR inspects and assesses the health and safety of Britain's railways – the health and safety of passengers, public and the workforce is ORR's top priority.**

## Keeping Britain's railways safe

The Office of Rail and Road is the independent safety and economic regulator for Britain's railways and monitor of Highways England

### What we do

- ORR inspectors spend most of their time out on the rail network
- Identify and monitor trends in health and safety performance
- We improve health and safety practices by informing development of new laws
- Check and approve safety systems and licence train drivers

### Who we regulate

- **NetworkRail** — Network Rail
- Passenger and freight train operators
- Rail industry supply chain
- Heritage railways
- Trams
- Metros

### How we ensure a safer railway

- Investigate accidents, incidents and complaints
- Proactively help rail companies identify and manage health and safety risks
- Use our Risk Management Maturity Model (RM3) to assess an organisation's ability to control health and safety risks and define best practice
- Help develop new laws. Review current laws to cut red tape.

### Inspection focus is on key safety themes

- Level crossings
- Passenger safety
- Rail workers
- Infrastructure
- Occupational health (everyone benefits from better worker health and wellbeing - the individuals themselves, the companies they work for, and the travelling public).

### Our aim is firm and fair enforcement of health and safety law and our inspectors take action in many ways:

- Provide verbal and written advice to improve practices
- Issue clear improvement notices with deadlines for change
- Criminal prosecutions against companies/individuals breaching the law. These can result in large fines and even prison sentences.
- Revoke safety certificates
- Issue prohibition notices to stop work immediately until safety issues are addressed

### Moving health and safety forward

To meet the challenges of growth and change, our focus for industry is:

- Take a proactive approach to managing health and safety
- Deliver a sustainable maintenance programme
- Use opportunities at design stage to lower risks
- Treat worker health on a par with safety
- Share innovation and best practice
- Improve risk management maturity and ensure succession planning

ORR
OFFICE OF RAIL AND ROAD

# RM3 explained

A key tool used by ORR to help the industry achieve excellence in health and safety risk management is the Risk Management Maturity Model (RM3). We use this model to assess and help manage organisations' ability to control health and safety risks and identify areas for improvement. We see excellent management of health and safety risk as being built on three key areas:

- Leaders that inspire confidence and commitment.

- Making full use of employees' potential and actively involving them in building a culture of trust, openness and empowerment.

- Using health and safety policy to challenge organisations to bring their business performance in line with their best-performing counterparts in the sector

RM3 sets out criteria for policy, governance and leadership practice, on which ORR evaluates a company's progress towards excellent safety management capability. ORR inspectors collect evidence, engage with key people across an organisation and observe safety management systems in action.



TRAIN OPERATING COMPANIES RM3 MAX MIN 2015-16
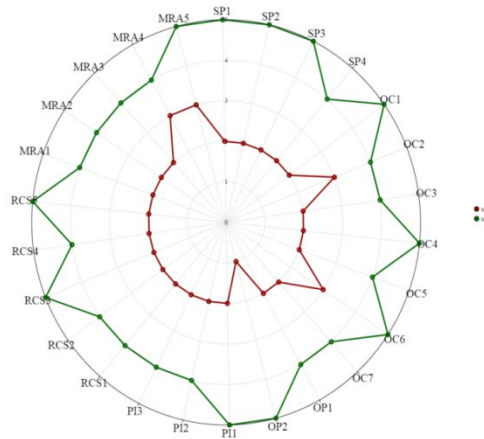
We analyse this evidence to determine weaknesses, highlight areas of good practice and to set a benchmark for year on year comparisons; many organisations across Britain's railway sector also use RM3 for self-evaluation.

Looking forward, we are continuing to develop RM3's scope to measure organisational capabilities in areas other than safety, such as asset management and our own regulatory functions.

orr.gov.uk