ORR protects the interests of rail and road users, improving the safety, value and performance of railways and roads today and in the future

OFFICE OF RAIL AND ROAD

RM³ Workshop

York

2nd December 2019

RM^3 York Workshop Agenda

09:30-10:00 Registration, welcome tea / coffee
10:00-10:15 Opening Introduction to workshop
10:15-10:50 LNER Presentation
10:50-11:25 RSSB Taking Safe Decisions and RM^3 Presentation
11:25-12:00 ORR RM^3 Presentation
12:00-12:45 Lunch and networking opportunity
12:45-16:15 RM^3 practical application training
(tea / coffee break at 15:00-15:15)
16:15-16:45 Wash up and group discussion
16:45-17:00 Closing discussion and end of workshop

Welcome Address

Jen Ablitt

Deputy Director, Safety Strategy, Policy and Planning
Head of UK Delegation to Channel Tunnel Safety Authority

Chair of the joint ORR / Rail Industry RM^3 Governance Board

The next presentation is
LNER
Please wait while we change presenters

LNER Presentation

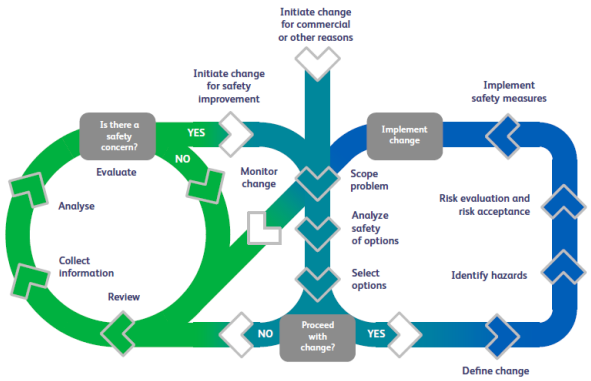
The next presentation is from
RSSB
Please wait while we change presenters

RSSB | A Better, Safer Railway

Taking Safe Decisions and RM3

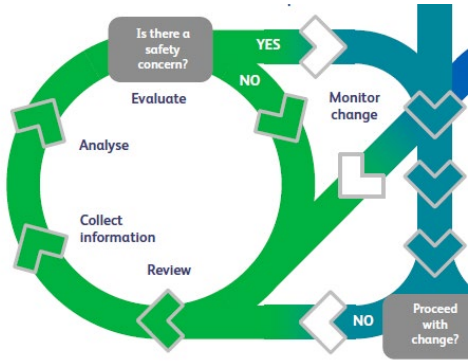
December 2019

Ben Gilmartin
Lead System Safety Engineer



A short introduction to Taking Safe Decisions

- RM3 & Taking Safe Decisions
  - Introduction
  - Taking Safe Decisions & RM3



- Taking Safe Decisions
  - Document structure
  - The Taking Safe Decisions framework

- RM3 & Taking Safe Decisions
  - Questions
  - Over to you…

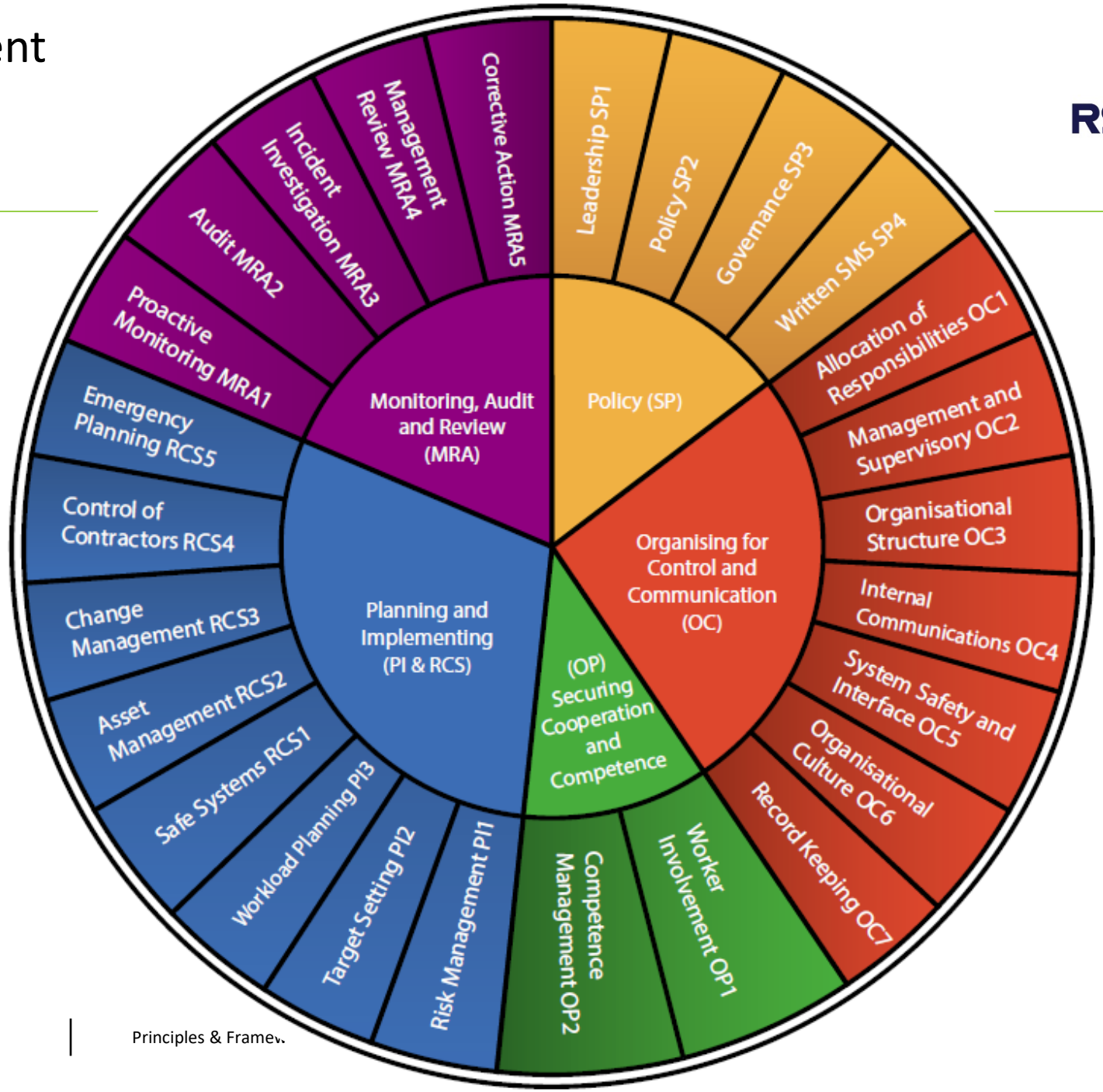
- Taking Safe Decisions
  - Where to go for further help

Risk Management Maturity Model (RM3)

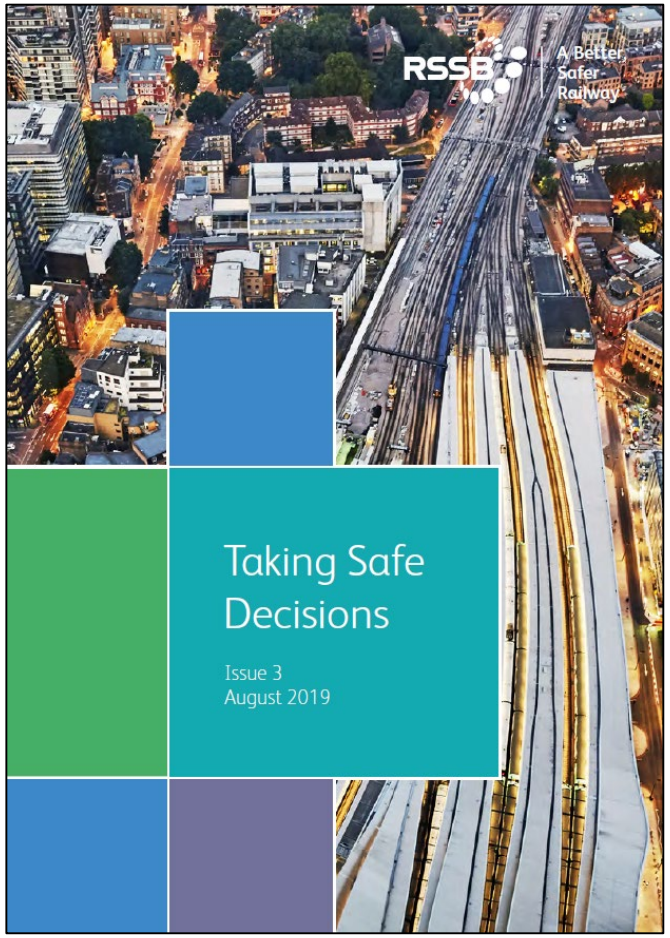
5 sections

26 elements

5 maturity levels



Risk Management Maturity Model (RM3) & Taking Safe Decisions



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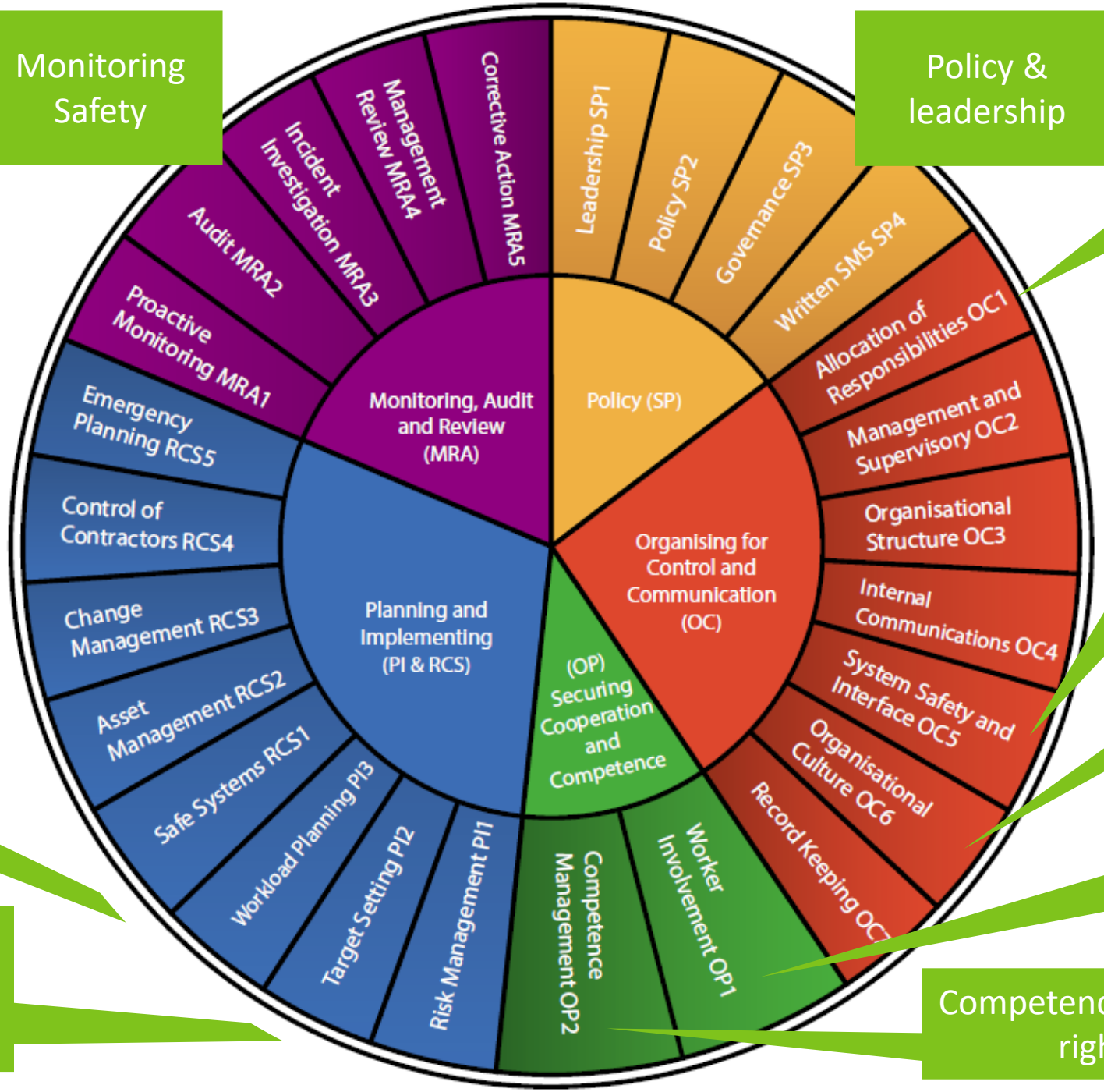


Responsibilities of contractors & suppliers

Monitoring Safety

Policy & leadership

Responsibilities – who should take decisions?

Change Management – implementing a change safely

System safety & interfaces – collaboration and cooperation

Target Setting – how do you know when you've done enough?

Organisational culture – Taking Safe Decisions principles

Decision making and risk assessment

Cooperation, collaboration & consultation

Competence – involving the right people

Taking Safe Decisions – what's it all about?

How to go about making decisions in the right way…

- protect safety
- risk-based
- satisfy the law
- commercially sound

→

- rational
- equitable
- defensible

→

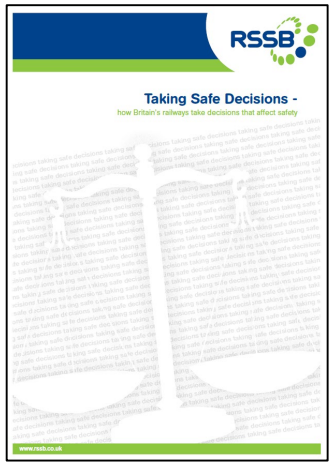
- passengers

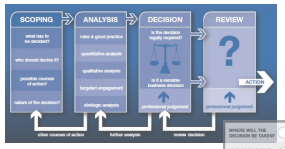
- staff

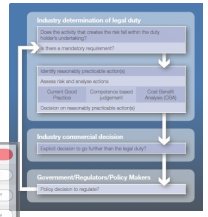
- public

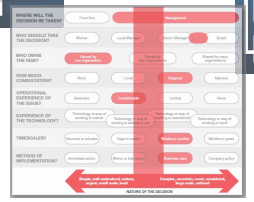
Taking Safe Decisions – what's new in 2019?

2008

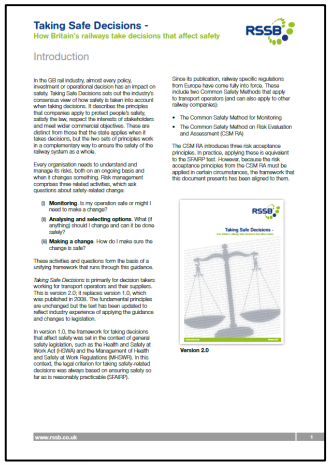


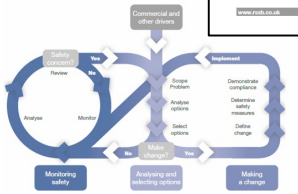


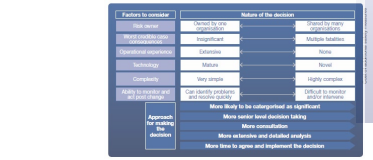


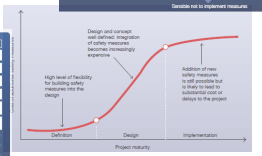


2014

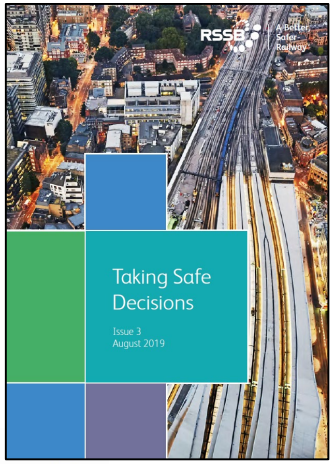


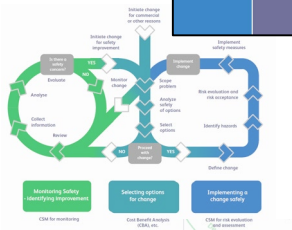


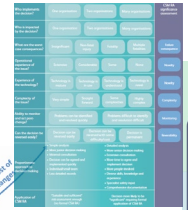


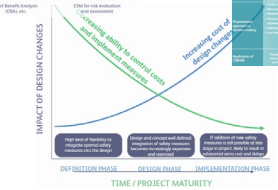


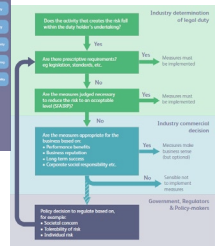
2019







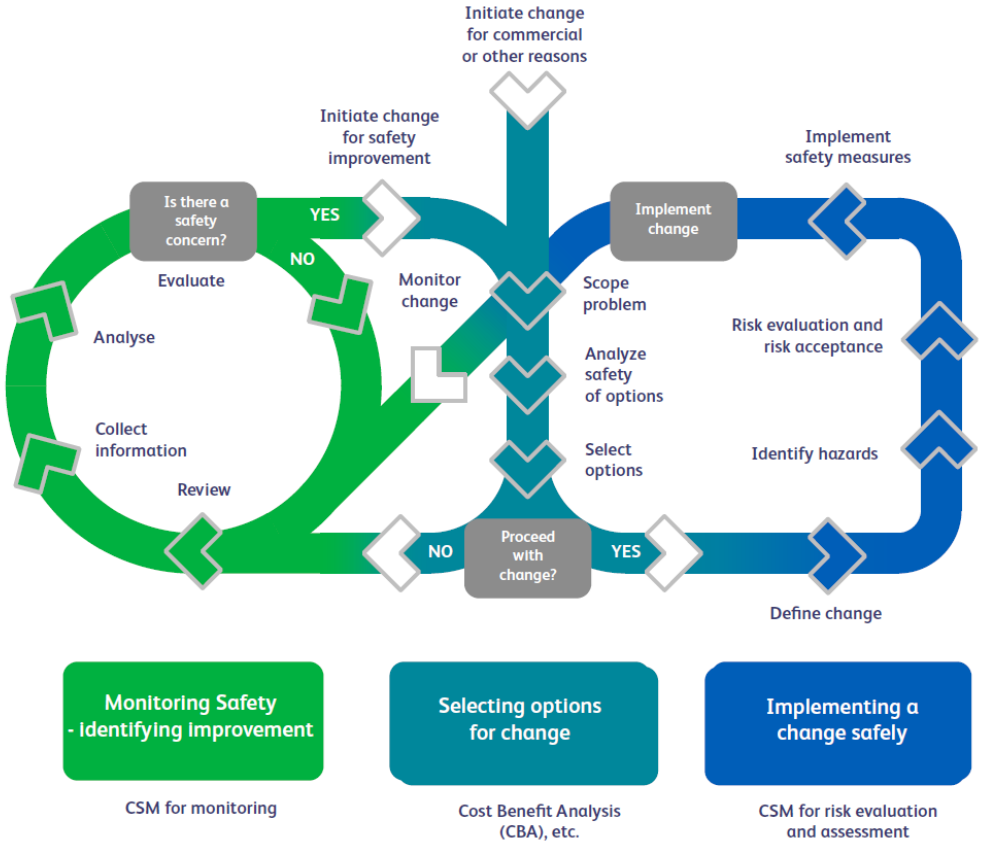




The underlying principles remain fundamentally unchanged

Taking Safe Decisions 2019 - structure

PART 1
The Taking Safe Decisions framework



What?

PART 2
What are your legal responsibilities for safety risk?

When?

PART 3
When should decisions be taken?

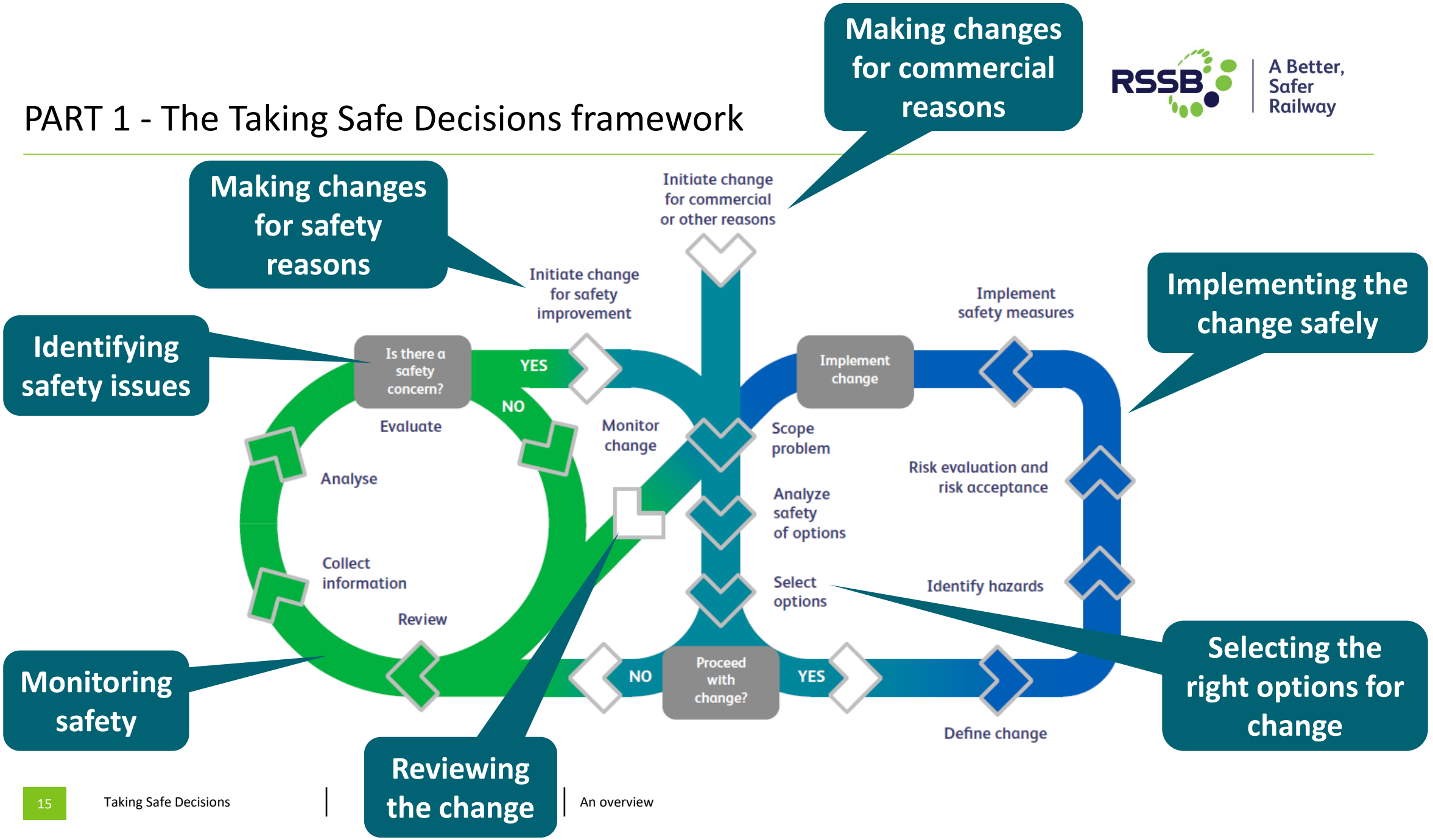
Who?

PART 4
Who should take decisions?

How?

PART 5
How should decisions be taken?

PART 1 - The Taking Safe Decisions framework



MRA1 Proactive monitoring arrangements

MRA5 Corrective action

PI1 Risk assessment and management

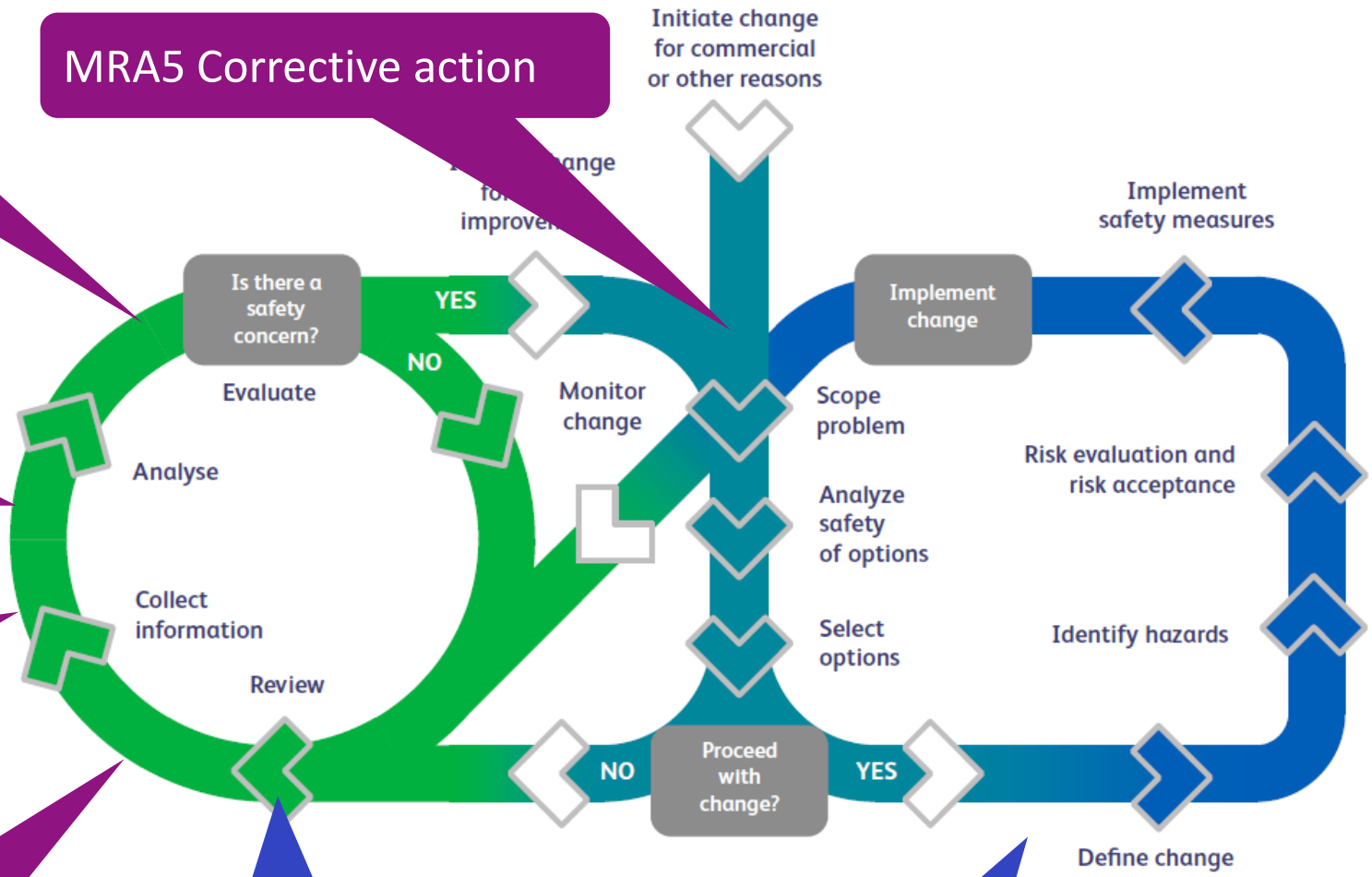
MRA2 Audit

MRA3 Incident investigation

MRA4 Management review

PI2 Objective / target setting

RCS3 Change management (operational, process, organisational and engineering)



RM3 & the Taking Safe Decisions framework

Taking Safe Decisions & RM3

RM3 elements related to Taking Safe Decisions framework

PI1 Risk assessment and management

PI2 Objective / target setting

RCS3 Change management (operational, process, organisational and engineering)

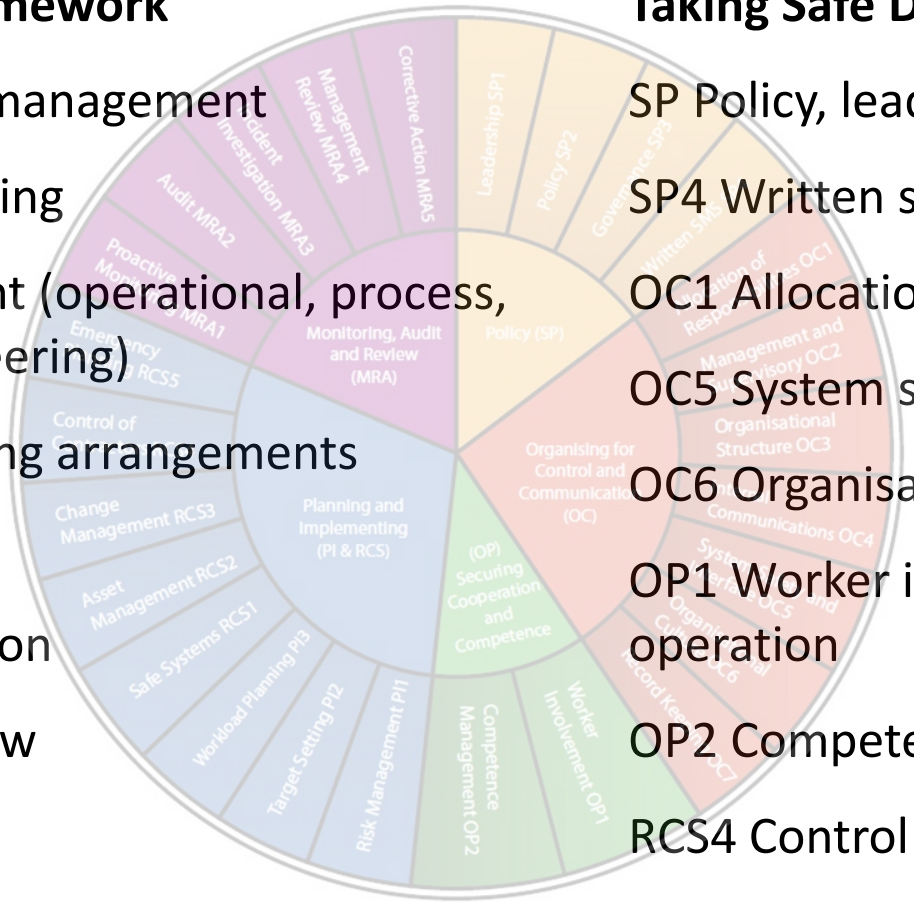
MRA1 Proactive monitoring arrangements

MRA2 Audit

MRA3 Incident investigation

MRA4 Management review

MRA5 Corrective action



RM3 elements related to Taking Safe Decisions principles

SP Policy, leadership and governance

SP4 Written safety management system

OC1 Allocation of responsibilities

OC5 System safety and interface arrangements

OC6 Organisational culture

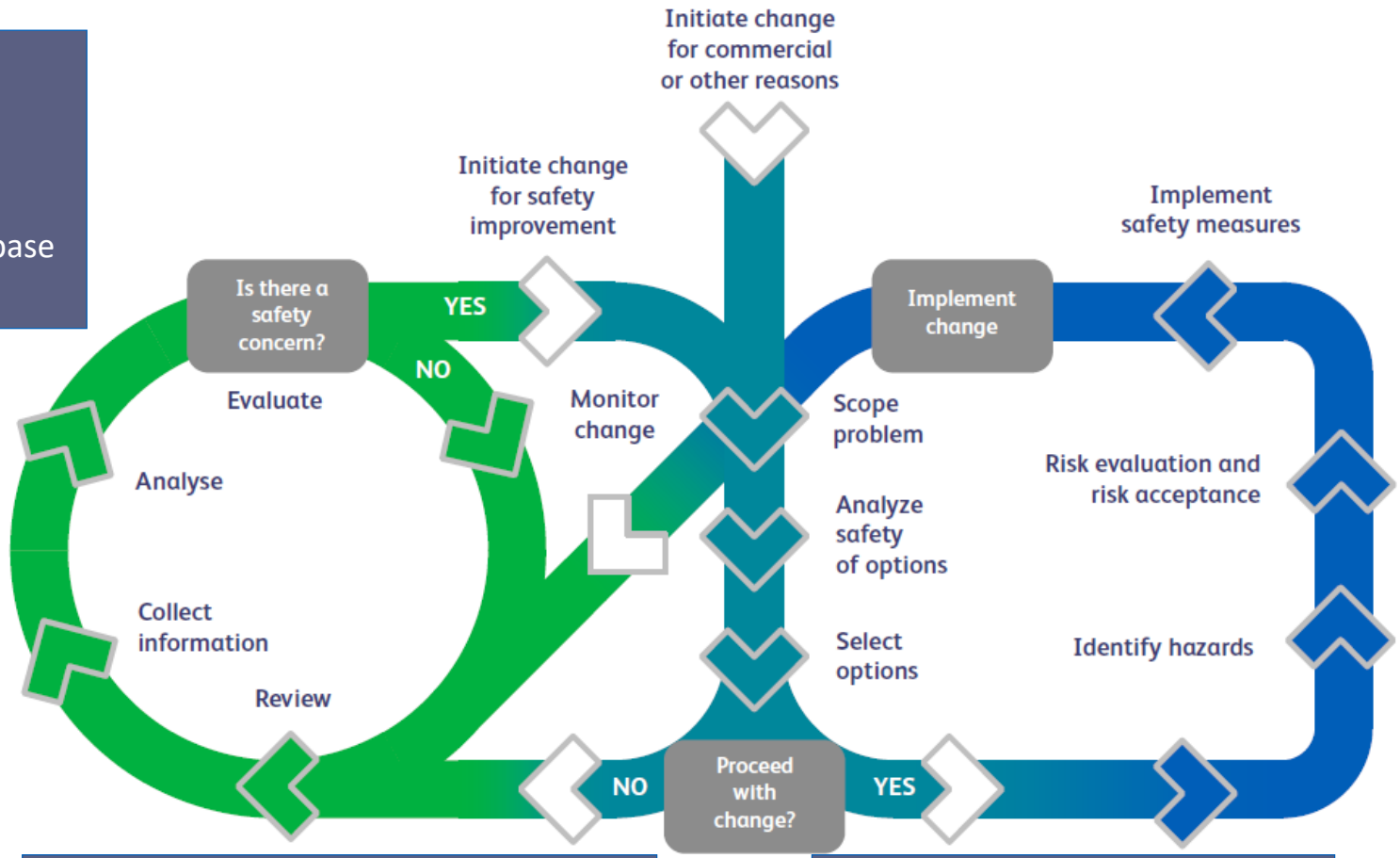
OP1 Worker involvement and internal co-operation

OP2 Competence management system

RCS4 Control of contractors and suppliers

Safety Data
Close Call
Dashboards
Data requests
Industry Shared Risk Database
SMIS

Analysis & Reporting
Accident investigation
AHSR
Benchmarking data
Data requests
Incident Log Summary
LOEAR
Opsweb overseas incident summaries
PIM
Rail Accident News
Rail Investigation Summary
Route Specific Risk Profile
RPB
Safety Performance Reports
SPAD/TPWS report
Special Topic Reports



Guidance
CSM for monitoring guidance
CSM RA guidance
Duty of Cooperation Guide
Independent Risk Assessment Review
Measuring Safety Performance Guidance
Safety Assurance Guidance
Safety Management System Guidance
Taking Safe Decisions
Taking Safe Decisions worked examples
VpF

Collaboration activities
Duty to cooperate
ERA Reps European Update
HAZID
HAZOP
Industry Risk Assessments
Legislation update
Rail Risk Portal
Risk Management Forum
Standards change
Workshop facilitation

Tools
Accident Consequence Model
FLAT
GeoSRM
Network Modelling Framework
PARAT
PTI risk tool
Rail Risk Portal
Risk Profile Tool
Road Driving Risk Resources
SPAD risk ranking analyser
Specific risk model development
SRM
TSD – Analysis tool (CBA)

PART 2 - What are your legal responsibilities for safety risk?

Every policy, investment or operational decision taken in the railway industry ***has a potential impact on safety***, and organisations have ***legal responsibilities for safety***.

PART 3 - When should decisions be taken?

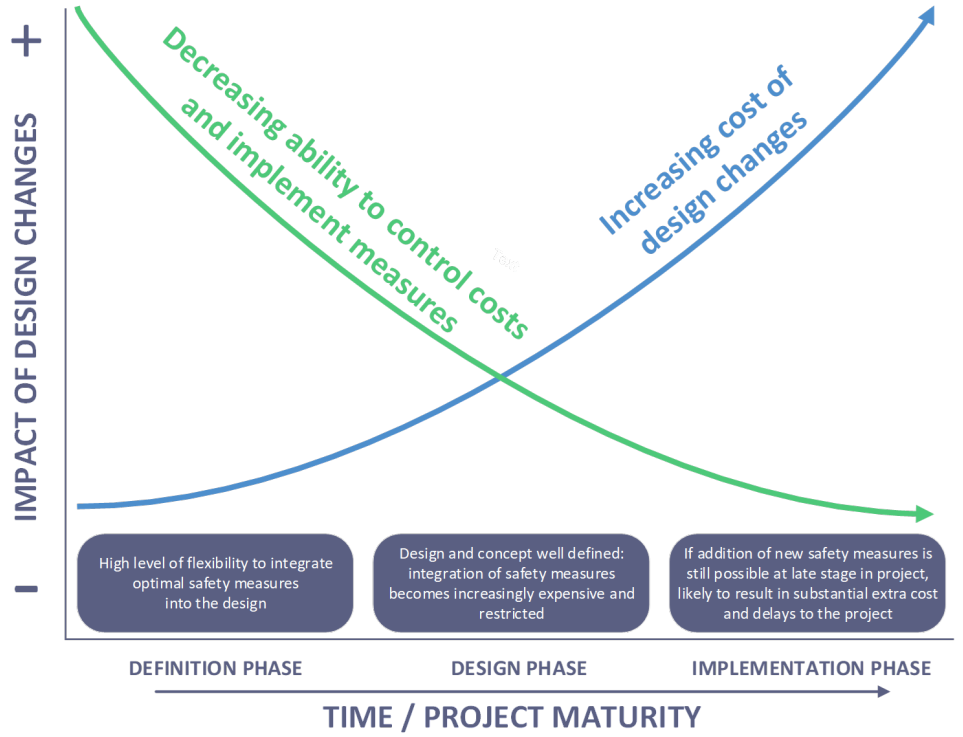
When do you take decisions?

When do you plan for safety?

When do you use risk assessment?

The benefits of early planning for safety and “safety by design”

Future-proofing your decisions



PART 4 - Who should take decisions?

- Competencies
- Skills
- Knowledge
- Experience
- Expertise
- Authority

→

- Consultation
- Collaboration
- Cooperation

→

Rational, equitable, defensible decisions

PART 5 - How should decisions be taken?

Getting the question right

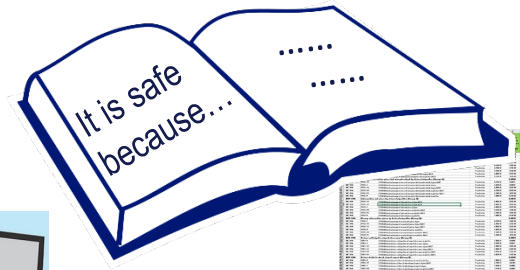
Efficient

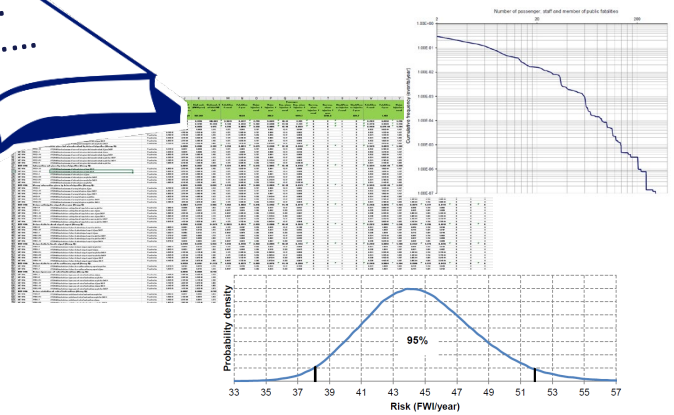
Effective

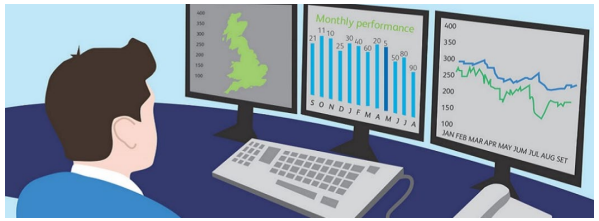
Pragmatic

Proportionate

ensuring safety “so far as is reasonably practicable” (SFAIRP)



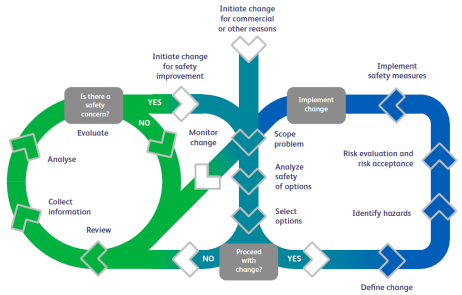


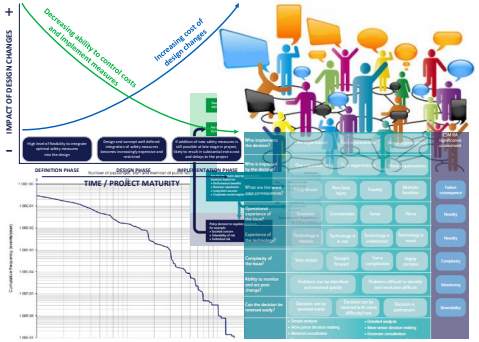


Risk-based decisions

legal duty to implement measures unless you can demonstrate that the ***money, time and trouble*** to implement them are ***grossly disproportionate to the safety benefits***

Taking Safe Decisions 2019 in brief





A framework to guide decision making

How to make rational, equitable, defensible decisions

Aspects of good practice in decision making

How to fulfil your legal duties for ensuring safety

What? **When?** **Who?** **How?**

Taking the right decisions, in the right way, at the right time

The ingredients of good safety management

Legal Framework for effective Safety Management

- Health and Safety at Work etc Act 1974
- Management of Health and Safety at Work Regulations 1999
- ROGS - Railways and Other Guided Transport Systems (Safety) Regulations 2006
- CSM for Monitoring
- CSM for Risk Assessment
- CSM for Safety Management Systems

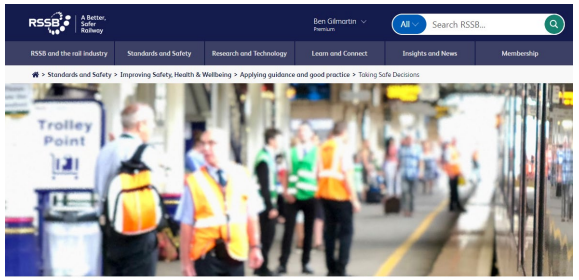
Industry good practice for effective Safety Management

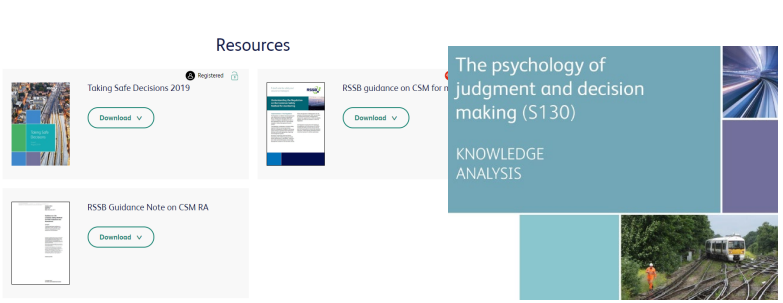
- RM3 - Risk Management Maturity Model
- Taking Safe Decisions
- Leading Health and Safety on Britain's railway
- Various RSSB and ORR Guidance

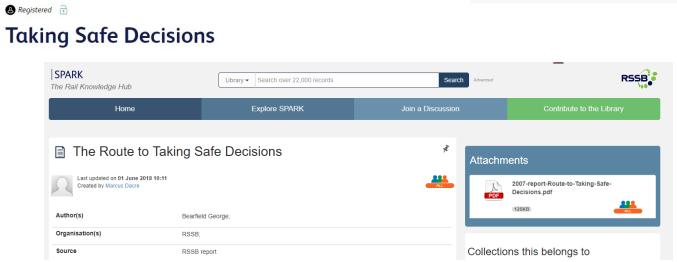
Where to go for more help on *Taking Safe Decisions*

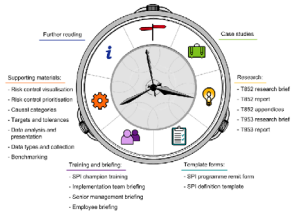
To download the main Taking Safe Decisions document and supporting material visit www.rssb.co.uk

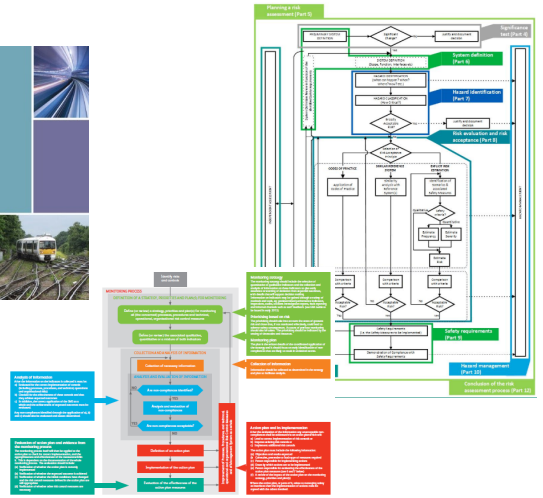
Standards and Safety > Improving Safety, Health & Wellbeing > Applying guidance and good practice > Taking Safe Decisions

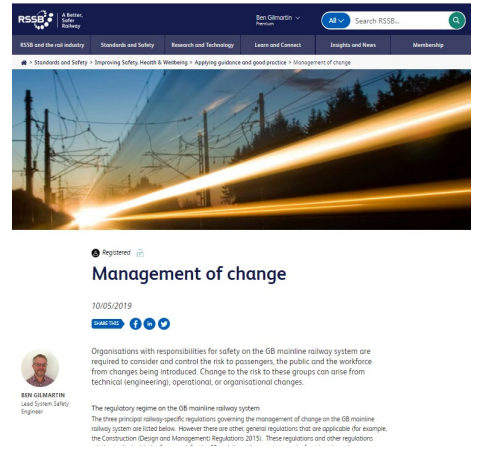












For more help and for feedback, please contact risk@rssb.co.uk (or ben.gilmartin@rssb.co.uk)

Over to you… Taking Safe Decisions & RM3 in your organisation

1. In terms of making “rational, equitable and defensible” decisions, what do you think your organisation does well or might do better?
2. What parts of the Taking Safe Decisions and RM3 principles and framework are most relevant to your organisation's activities?
3. Who in your organisation needs to be aware of, know, understand, or be an expert in using Taking Safe Decisions?
4. What should you or your organisation do next?

The next presentation is from ORR

Please wait while we change presenters

ORR protects the interests of rail and road users, improving the safety, value and performance of railways and roads today and in the future

OFFICE OF RAIL AND ROAD

RM³ in ORR

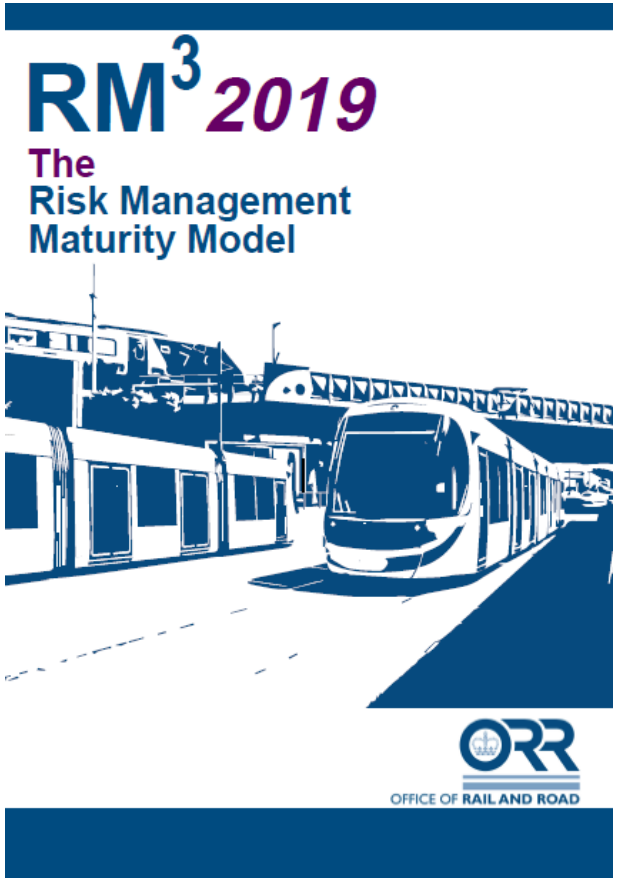
Tom Wake, Head of NR Route Teams

RM³ workshop

December 2019

RM³ – the ORR experience

- How do we use RM³?
- What are the challenges?



The role of RM³ in regulation

- *RM³ is not an audit tool, but a model to structure discussions about evidence and where to go next, either internally in organisations or between inspectors and the organisations we regulate.*
  - We don't do 'RM³ inspections'
  - We systematically collect evidence to inform our view of management maturity
  - We use the RM³ model to structure our thinking and conclusions
  - Our conclusions aim to suggest improvement priorities to achieve greater management maturity

Information sources

- National projects looking at a specific area of risk management across the organisation
- Local inspections of route-specific risk control
- Investigations & complaints
- Local, regional and national liaison

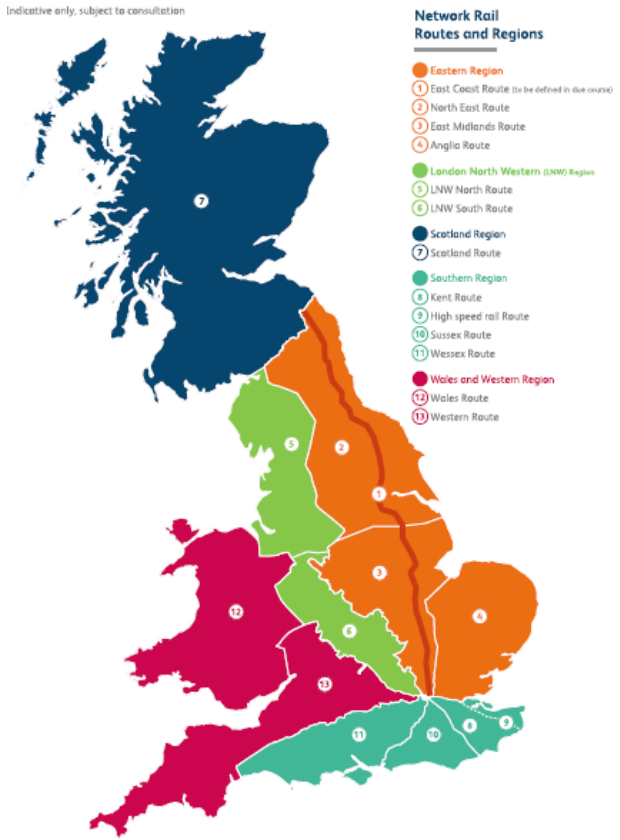
Table of RM3 criteria and assessment levels

RM3 criteria	Summary of Evidence	Section Numbers	Assessed Level
Leadership - SP1	This reporting period Inspectors were pleased to note a number of important safety initiatives were in the process of being developed. Senior managers have taken ownership for their delivery. These include the WMEP, WMCA and the implementation of a new inspection regime for Longitudinal Timbers. Managers appear to have successfully communicated the importance of these initiatives to staff. These initiatives and their success so far indicates that managers at a number of levels within the Route are open to ideas for improvement. Although this work has been encouraged by inspectors, the positive work this year indicates a high '3'.	4.8, 4.9, 10.1, 12.1	3
Safety Policy - SP2	Criterion was not assessed.	-	-

Ways of collecting RM³ information

- Primarily from inspection findings
  - From the outset, inspection plans list the RM³ elements that need to be reported on
  - Inspectors are expected to give their qualitative view of strengths and weaknesses and an assessed level.
- Investigation & liaison work findings
  - These are the conclusions from our non-inspection work, pulled together by the route team manager usually in discussion with their team.

Aggregating findings



National RM³ report

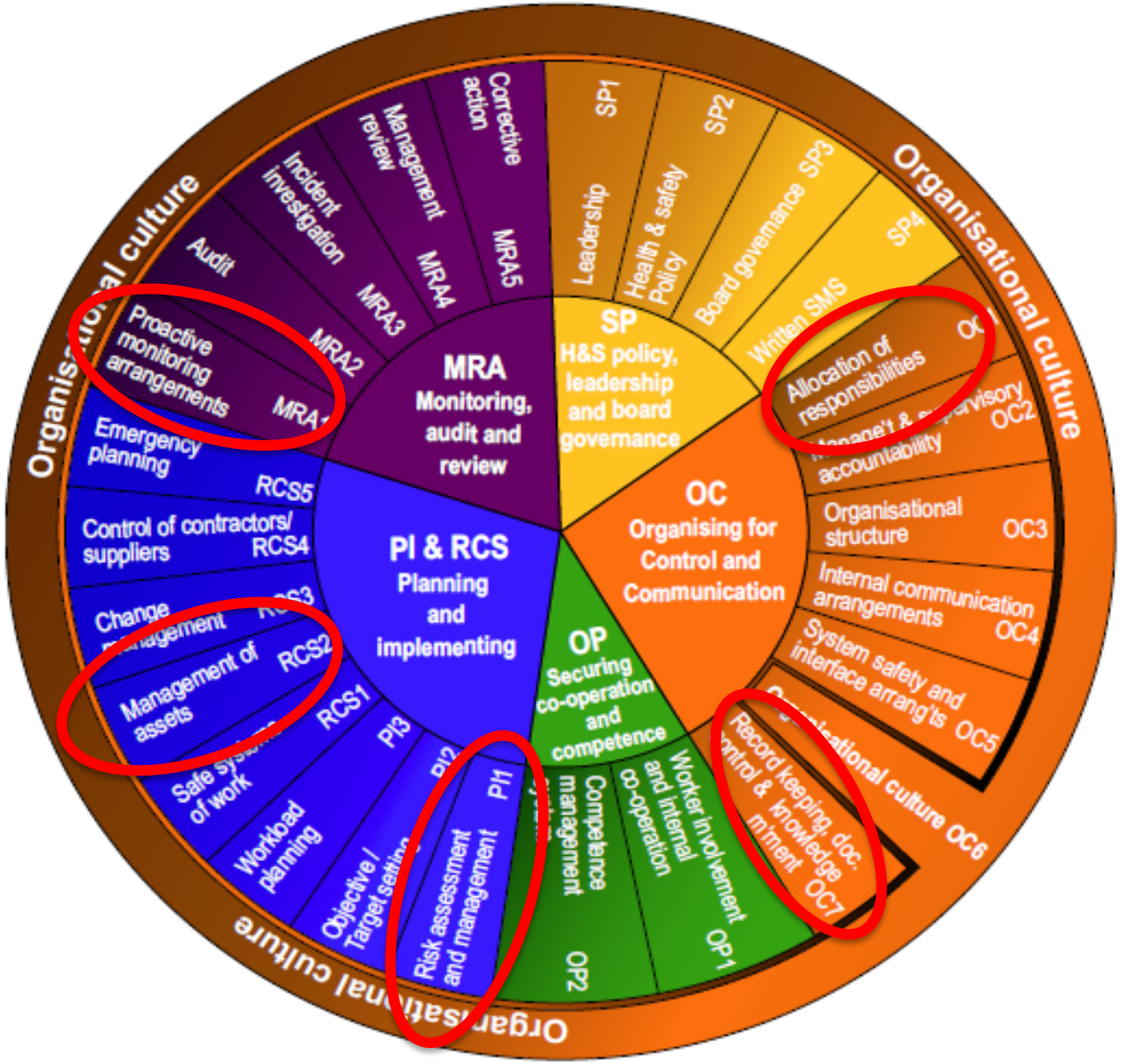
RM³ moderation panel

The national context

National topic reports

Route reports

Inspection, investigation and liaison findings



Route comparisons:

- PI1 risk assessment & management
- RCS2 Asset management
- Proactive monitoring arrangements
- Allocation of responsibilities
- Record-keeping

RM³ moderation panel

- Applies a sense check to national and route assessments
  - Consistency
  - Quantity
  - Quality
  - Currency
- Applies a broad overview to findings
  - Identify and, if necessary, moderate assessed levels
- Produces a national RM³ report

The national report

SP2 Health and Safety Policy

We obtained limited evidence on this topic, insufficient to justify a change in the assessed level from 2017-18. Our overall experience is that where centrally-led programmes do well it is because of clear policies. This has implications for the devolved world planned for CP6. Regions will need to play their part in developing clear policies to achieve sustained and improved risk control.

Assessed Level: Standardised

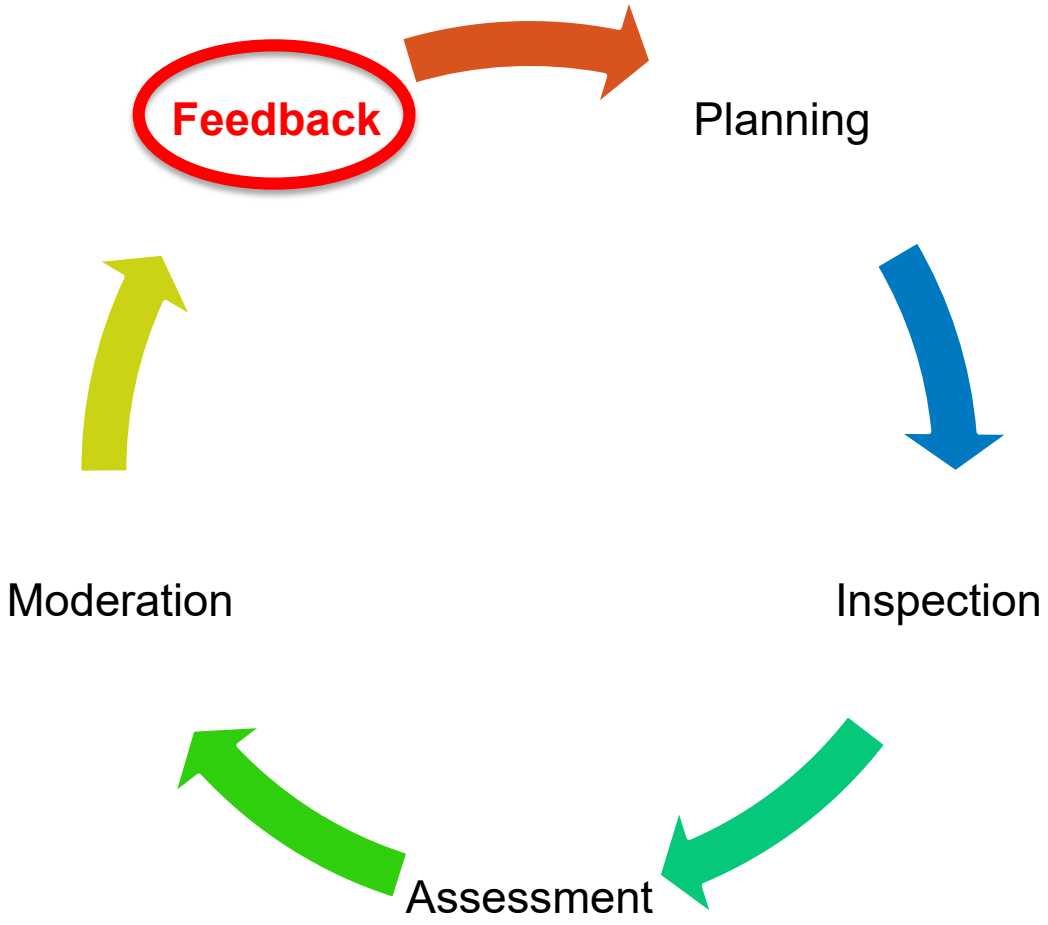
CENTRAL LIAISON At our regular meetings with STE we monitor and discuss the principal elements of Network Rail's Health and Safety Strategy. We have found evidence of strong direction and assurance in some areas, such as the Home Safe Plan. In others, such as the Near Miss Reduction Plan, we have tried to exert influence to make them better targeted.	3
WESSEX The Home Safe Plan provides the overarching structured approach for the Route to manage health and safety risks. There is clear evidence of awareness of the 'home safe every day' message throughout the areas of the route inspected. It was observed to have an influence on how work activities are planned and implemented (e.g. the flow chart instructions produced for the management of risks to the track during hot weather provided clarity for maintenance staff on how to reduce the likelihood of track buckle, and the potential of a train derailment). Conversely, there was narrative evidence from staff that other pressures on the Route (e.g. managing track quality to enhance train performance) can sometimes place pressures on prioritising the importance of this safety policy.	3

- Network Rail gets the evidence
- We don't emphasise the assessed level
- We provide a commentary
  - These are designed to set the evidence within a national context and generate discussion about improvement
  - This is the real value of RM^3

The challenges

- Consistency
  - Dealing with outliers: over or under assessment
  - Consistency between years
  - Range of assessment – a proxy measure for degree of confidence?
- Quantity
  - Too much or too little evidence
- Quality
  - Evidence that fails to address the criteria, or does so in vague terms
- Currency
  - Some evidence might be 12 months old. How to include when things have changed

How we manage the challenges



- RM³ briefings and workshops
- Moderation panel
- Feedback to inspectors and team managers

Thank you for your attention

Any questions?

Lunch

RM^3 Practical Implementation Exercise

RM^3 Practical Application Training Exercise

- To help develop and improve your understanding of RM^3, we would like you to step into the shoes of an inspector for an afternoon.

- Typical evidence of what ORR inspectors find on visits, has been represented into four individually numbered evidence sources.

- We want you to:

What we want you to do:

Identify and assess RM^3 elements and their level of maturity:

- Each table will be a group and name themselves.
- Go through each evidence source individually.
- You have 20 minutes to read and identify relevant RM^3 elements (use the evidence factors and culture call outs).
- Assess the RM^3 maturity level of elements you find, but also consider Consistency, Quality, Quantity Currency (CQQC).
- Record the elements and their maturity level in your groups.
- Review the findings before moving to next evidence source.

What did you find and decide?

- We will discuss each evidence source individually to share learning and understanding.

- Provide delegates the opportunity to share their experience of RM^3 and their thoughts as to the decisions they made.

RM³ Workshop Wash Up and Group Discussion

Opportunity for the audience to ask questions on RM³ to ORR inspectors in the room:

- Training in RM³;
- Issues with using RM³:2019;
- Suggestions for improvement of RM³:2019;
- What more can ORR do to help?

Closing Comments

Thank you to:

- Presenters;
- Hilton for providing their venue;
- ORR Inspectors and;
- To all rail industry delegates for attending and participating.