RM3 2019

Errol Galloway
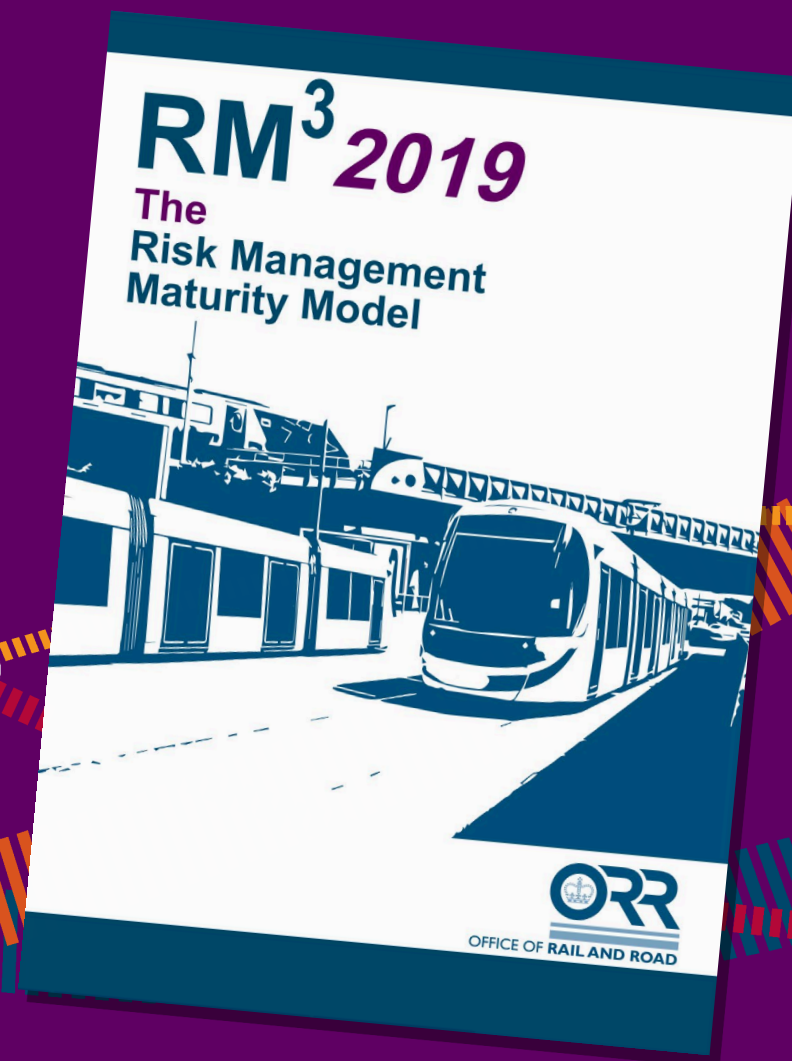**Head of Capability and RM3**
Office of Rail and Road

23/11/2020

Where are we going?

Risk Management Maturity Model 2019

Scope of today's session:

- Why RM3 helpful and what it helps achieve

- RM3 2019 Changes

  - What & Why

- Illustrate its use

- Exercise

- Q&A

Why does risk control need to get better?

…because essentially it is people that control risks day in, day out and human performance varies.

If they are already high performing ("excellent"), then greater likelihood that any dips in performance will still be above the legal minimum and risks will be adequately controlled…
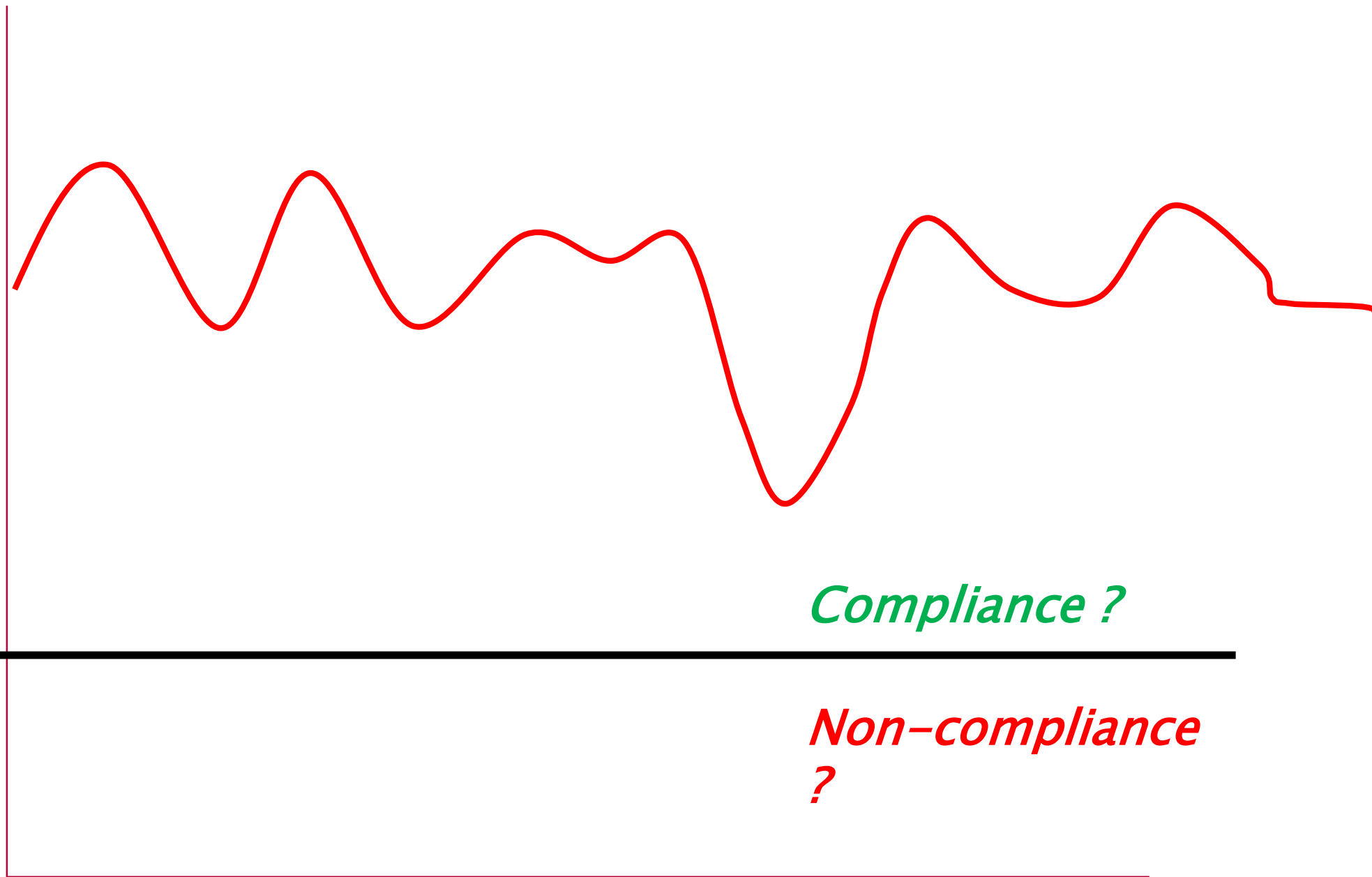
…If they are only poorly performing ("ad hoc"), then greater likelihood that their normal performance (and any dips) are below the legal minimum and risks are uncontrolled.

Excellent

Ad hoc

Compliance ?

Non-compliance ?

Time

Our vision for RM³ is:

That the Risk Management Maturity Model is the capability model used by all UK rail companies to:

- internally, and with their ORR inspectors, discuss the evidence found through assessment work; to

- determine maturity of their safety management systems; and

- identify what they need to do to 'continuously improve' and strive for excellence in risk control;

and that this new edition of RM3 is more readily accessible to those just starting out with RM3 ….

…. as well as pushing the boundaries of excellence for experienced users.

Why RM3?......

ORR view?

- RM3 as a tool for assessing an organ_____'s ability to successfully manage health and s____isks, but we also use it to

- determine if the organisat____ealth and safety management system is continuously____ving.

- Where an organis_____as adopted RM3, it demonstrates to us the commitme____ontinuously improve its risk control

- It is not m____ory but……………

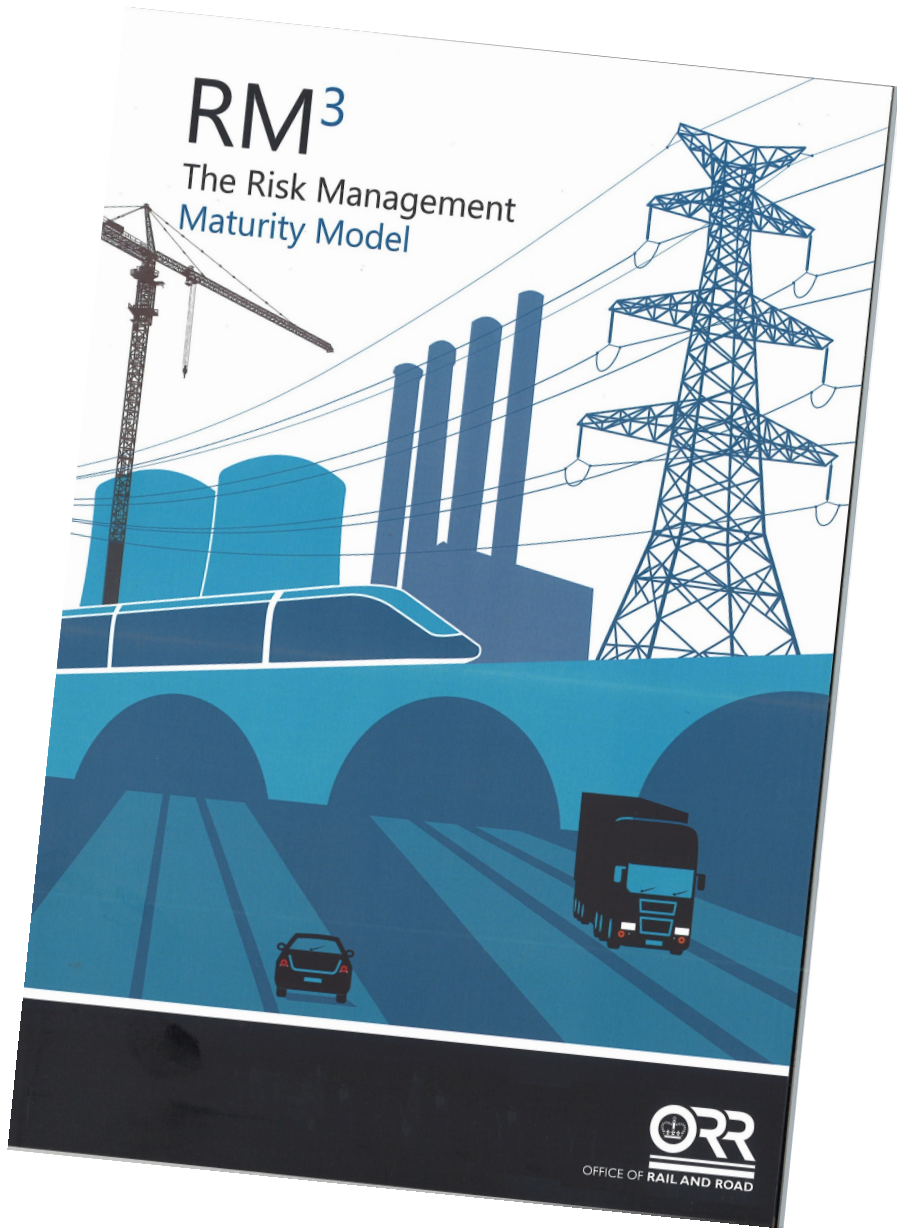It is becoming the preferred model across the industry

The RM³ journey
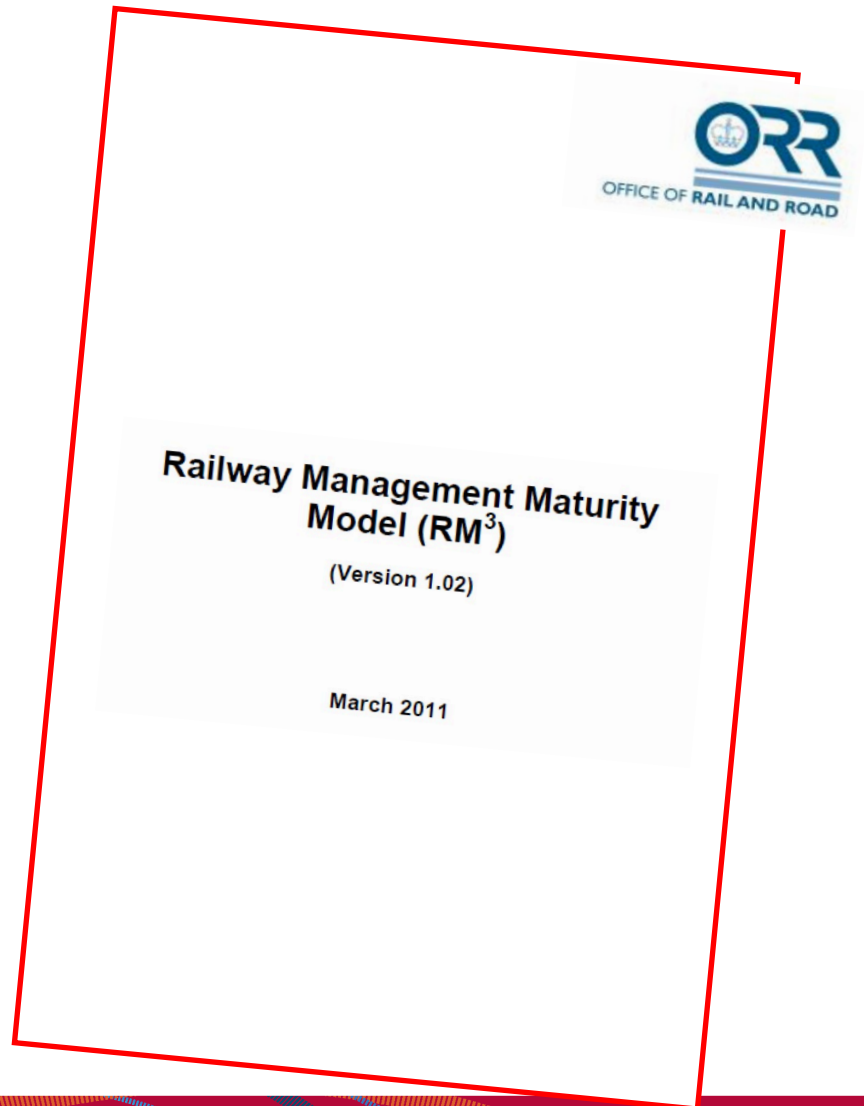
2011

- The Railway Management Maturity Model was published as tool for regulators

2015

- Changes to the governance of the model

- Formation of the RM³ Governance Board of industry representatives

Railway Management Maturity Model (RM³)

(Version 1.02)

March 2011

2016

- Model extended to industry as a tool

- Governance Board strengthened with industry partners

2017

- Version 2 published now as the 'Risk Management Maturity Model'
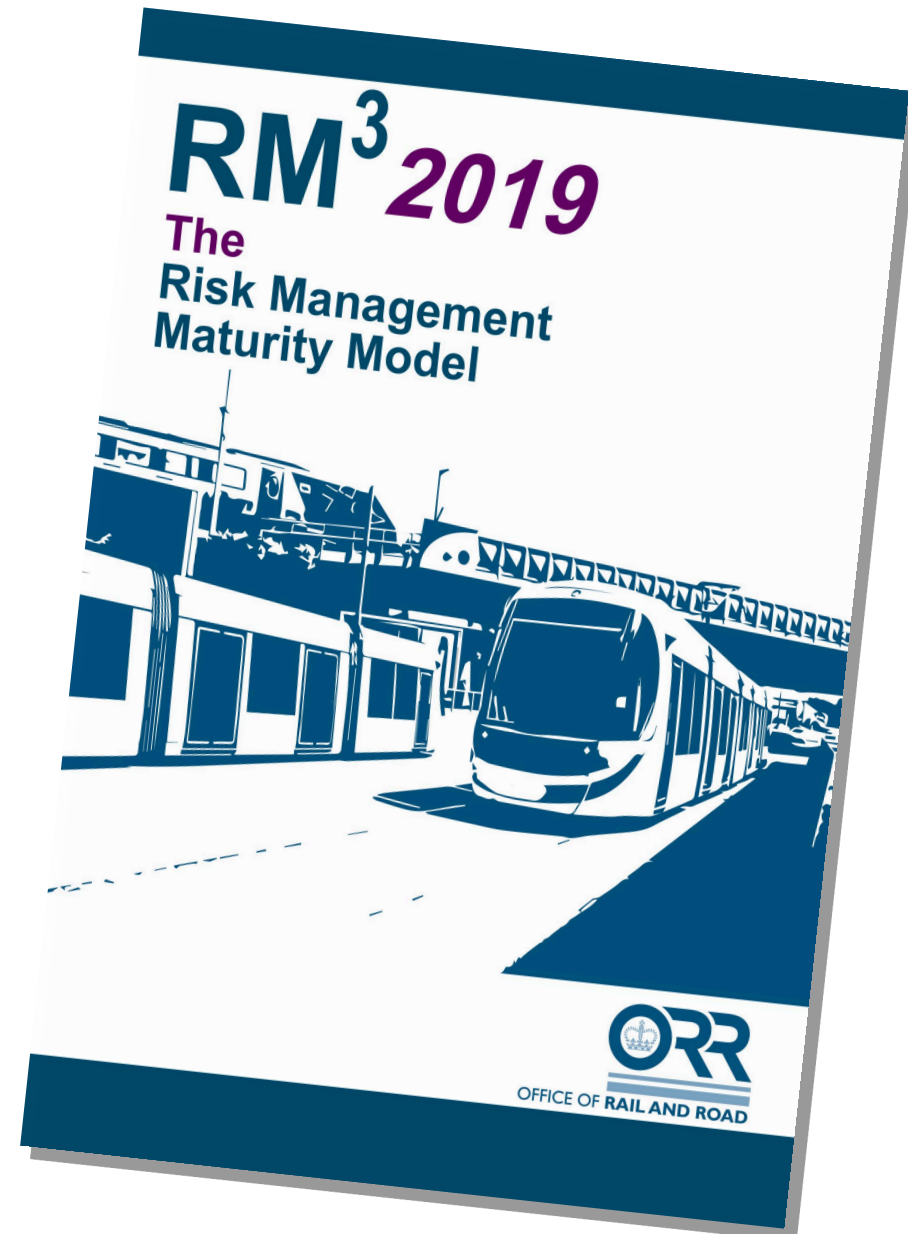
2018

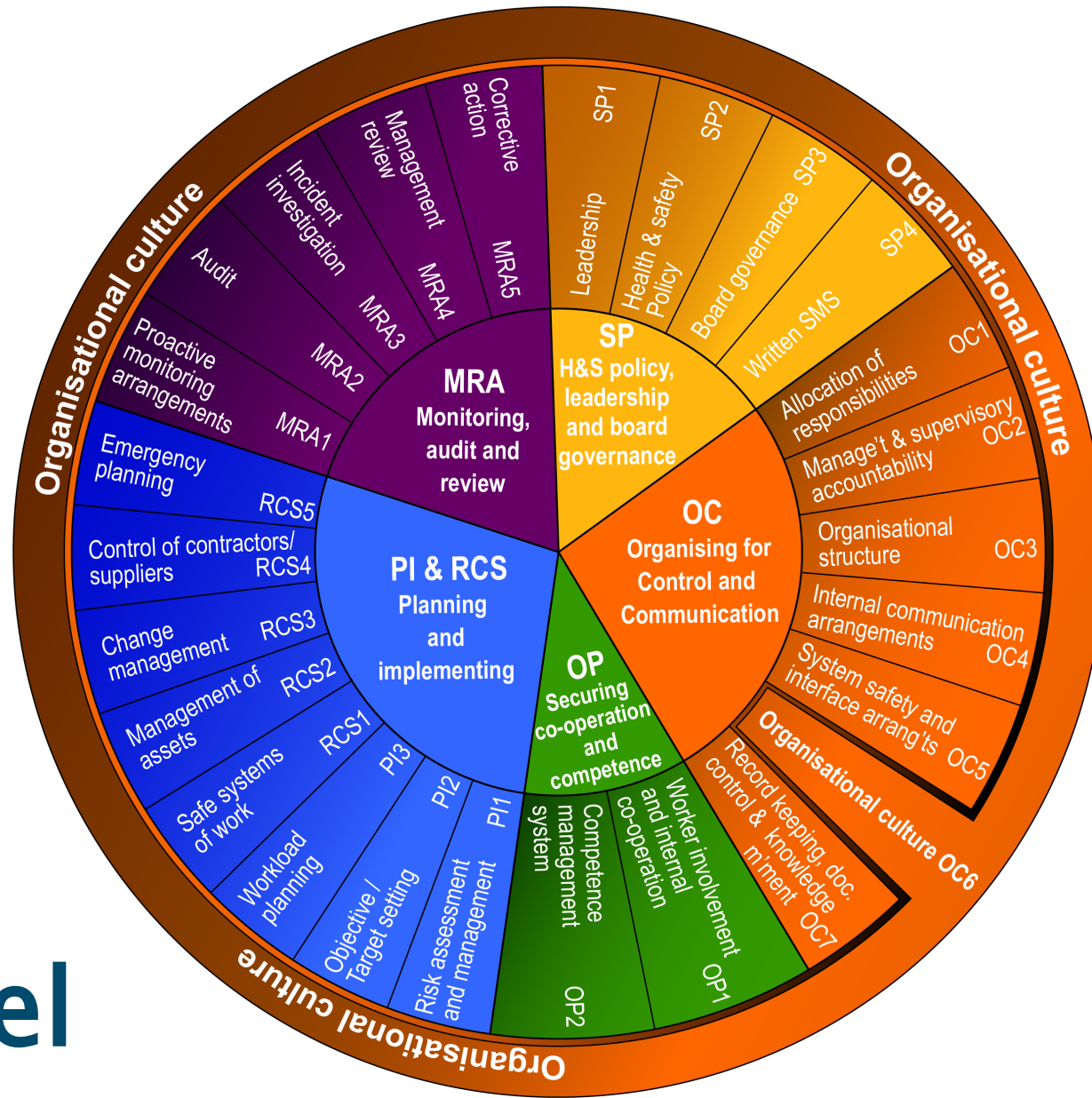- Full redraft of the model commenced

2019

- Launch of RM3–2019

2019

Version 3 published on 1st April 2019

Builds on earlier versions

- Relevant & meaningful criteria
- Strengthened descriptors
- Logical progression
- Greater clarity on next steps

RM³ 2019
The
Risk Management
Maturity Model

ORR
OFFICE OF RAIL AND ROAD

The RM³ model

Proactive/continual improvement

Delivery can be predicted by the management system Variation and change is controlled

Good practice synthesised into standard processes

Excellence

Predictable

Standardised

Managed

Ad hoc

Local groups are organised to ensure repeatable performance BUT
each work group performs similar tasks differently

Ad hoc and uncoordinated

The 5 maturity levels

SP 1 Leadership

Leadership from the top provides a consistent example and inspiration for leaders at all levels of the organisation. Good leadership in health and safety (H&S) management involves:

- The attitudes and decisions of senior managers aligning with the H&S policy and culture;
- Identifying and promoting the styles of leadership and management practices at all levels, which best support a positive health and safety culture;
- Promoting effective collaboration and engagement of all workers and business partners to achieve continuous improvement on health and safety;
- Aligning the leaders in operational management, organisational functions and operational and support units in pursuit of the common health and safety purpose, strategies and goals;
- Assessing health and safety leadership and management behaviour to motivate and reward success, in improving the control of risk; and
- Adjusting the performance-management and reward systems so they help the organisation achieve its goals and strategies for improving health, safety and performance.

Excellence

- Leaders at all levels of the organisation demonstrate shared values which strive towards continuous improvement.
- Leaders search within and outside the organisation for opportunities to improve risk control in their area of the organisation to ensure it is as effective and efficient as possible.
- Leaders always consider how they influence others, recognising that good leadership is compelling not coercive.
- They pro-actively promote a positive culture and encourage safety improvements in all areas of the business.
- Health and safety lead... that better results a... exercising power... over, staff.

Culture
Leaders recognise they have an obligation to foster the kind of organisational climate where people find it easy to speak up and share when they have made mistakes rather than covering up errors.

- Leaders encourage people and enable them to join forces and to participate as responsible individuals in a collaborative institutional enterprise.
- Non-technical management skills development is recognised as world c...

Predictable

- Leadership a... and reinforc... and safety...
- Leaders a... are credib... improvem...
- Leaders ta... the health... achieves it...
- Leaders insp... organisation... H&S vision of t...

Standardised

- The organisation is built around a command and control structure with some feedback.
- There is a rule book-based approach to health and safety management, this can result in unwavering adherence to standards with little innovation or flexibility.
- Collaboration occurs as specified in 'the rules'.

Culture
Leadership is still largely viewed as a senior management role.

- Non-technical skills are specified and staff receive appropriate training.

Managed

- There may be managers with health and safety leadership skills, but these are not proactively developed by the organisation.
- Managers demonstrate leadership skills but these are not recognised by everyone or used consistently within the organisation.
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- Some collaboration occurs but often by chance rather than planned and depends on the individuals involved rather than being systematic.

Culture
Leadership is viewed solely as a senior management role.

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- There is no evidence of positive health and safety leadership at any level in the organisation.
- Health and safety leadership is not considered to be important in staff development.
- ...ective application of health and safety leadership standards in the organisation.
- Leaders do not collaborate internally or externally.

Culture
Staff consider there is little effective leadership in health and safety at any level of the organisation.

- Health and safety leadership skills and other non-technical management skills are not recognised or developed within the organisation.

Guidance and further reading:

- INDG 277 'Leadership in the Major Hazard Industries': Health and Safety Executive (HSE)
- INDG 417 'Leading Health and Safety at Work': HSE

Culture 'call–outs'

General layout for criteria, maturity levels and evidence factors

OC 6 — Organisational culture

The significant ways of thinking and doing, which underpin a positive H&S culture suited to the organisation, are identified and applied.

Culture is a lever which can assist the board and senior managers to improve company and safety performance. Setting out a culture strategy for H&S as part of a SMS is a necessity for excellence.

Culture consists of the shared of ways of thinking and doing in respect of the most significant risks of the organisation, which underpin the approach to devising and implementing the SMS.

Current thinking suggests there are 'seven attributes of an integrated health and safety culture', these are shown opposite.

Different positive cultural characteristics may be more relevant to some parts of the business. For example, a just and fair reporting culture, may be more pertinent to enhance learning in front-line work, whereas a process safety culture of doubt, and a challenge culture of questioning, may be more relevant to those in engineering functions concerned with the high hazard systemic risks of the infrastructure.

Testing organisational culture and RM³

There are different ways of finding out about an organisation's H&S culture:

1. By routinely gathering informal information about the H&S culture during monitoring, inspections, investigations and other dealings with employees, interfacing organisations and the supply chain. For instance, workers on site during a routine preventive inspection may comment that performance pressures sometimes take priority over risk controls. In this case, as well as investigating the allegation, the background should be recorded to build up a picture of the organisation's H&S culture.

2. Organisations can conduct H&S culture or safety climate assessments, using techniques and toolkits, such as the RSSB's Safety Culture toolkit. These assessments can provide useful information on the current safety culture, and provide information and views about leadership, communications, learning culture, employee involvement and attitudes to blame.

3. RM³ is not intended to be a substitute for other safety culture assessment tools, but in this version there are highlighted 'culture call-outs' against every level of maturity in all criteria. Assessors using these 'call-outs" will see elements of the 'seven attributes' throughout the RM³ criteria. The 'call-outs' suggest typical actions, beliefs and behaviours held by staff, at all levels, suggesting the culture of the organisation.

An explanation of how to collate and use the culture indications from the 'call-outs' is provided on pages 40 and 41.

Organisation Name: Fenrail Limited

Team/Area/Division assessed: Whole Organisation

RM³ assessment by: Alison Jones **Date:** 23/11/18

		SP	OC	OP	PI & RCS	MRA	Row totals
Excellence	Continually improving						
Predictable	Cooperating	SP1 SP4			PI1 RCS4 RCS5	MRA5	6
Standardised	Involving	SP2 SP3	OC3 OC4	OP2	PI2 RCS1 RCS2	MRA3 MRA4	10
Managed	Managing		OC1 OC2 OC5	OP1	RCS3	MRA1 MRA2	7
Ad-hoc	Emerging				PI3		1
Not assessed			OC7				1

Organisational culture maturity indicated level: Standardardised/Involving

Figure 6 Organisational culture template

OC6 – Organisational culture collation

The role of RM^3 in regulation:

RM^3 is not an audit tool, but a *model to structure discussions* about evidence and where to go next
Either internally within organisations or
Between inspectors and organisations
Benchmarking with other organisations

ORR's approach is not to 'do' RM^3 inspections, but to:
Systematically collect evidence
Use RM^3 to structure our thinking and conclusions
Identify improvement priorities to achieve greater management maturity

The Principles for using the model

The assessment will only be as good as the evidence being assessed.

Evidence sources:
- Large scale projects looking at a specific area of risk management across the organisation
- Local inspections of department specific risk control areas
- Investigations & complaints
- Other sources (e.g. local meetings etc)

Source – extract from ORR inspection report dated 02/12/19– Driver

Having reviewed the process/procedure for driver management ORR mad following observations;

1. The H&S policy for Driver Management (dated May 2014) was clear a commitment to deliver consistent levels of compliance with the rele company standards. It also stated that the company aimed to be the Group. The document had no provision for signature.

2. Discussion with the Driver Standards Manager (DSM) indicated that been involved in the drafting of the document and that it was a 'historic that he inherited back in 2004 when he joined the company. He was to to review it after an internal audit in 2014. He read it and thought it was updated the date. The policy document was stored in his office althoug could access it on request. He wasn't sure how this fitted with the overa policy (which was in a frame on the reception wall).

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Principles for using the model

Consistent use of RM³ across the organisation

Applying the assessment principles correctly ?

CONSISTENCY
QUANTITY
QUALITY
CURRENCY

The challenges to consider

Engaging with others before reporting on assessment levels?

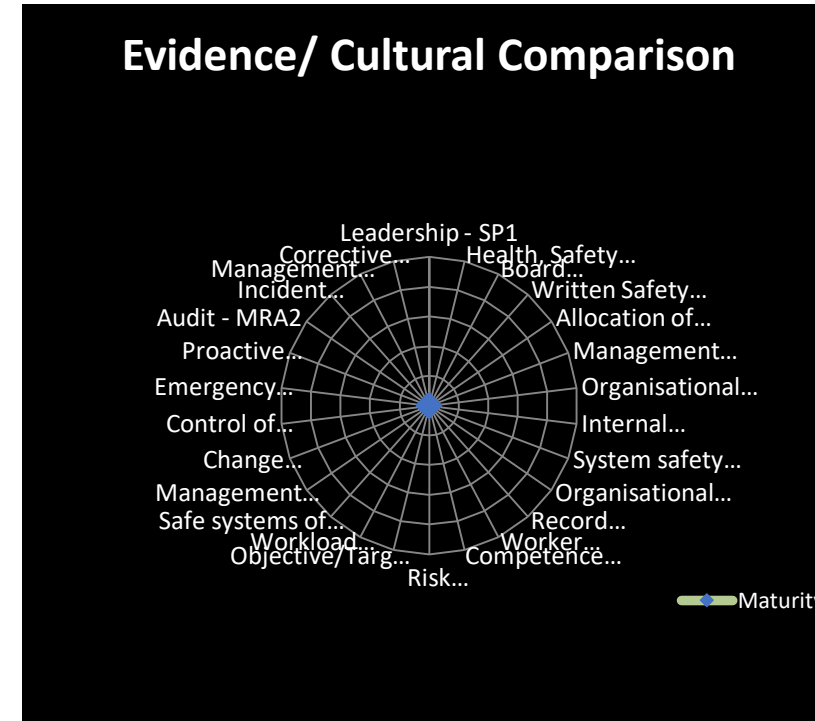What impact will RM3 *2019* have on how you do things?

Applying the assessment principles

- 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

Recording and reporting your findings

- There is a new spreadsheet for RM3–2019

- This automatically creates and populates both the radar graph but also the overall culture assessment

- [RM3–2019 report spreadsheet](#)

Evidence/ Cultural Comparison

Evidence Matrix

Cultural Assessment

SP 1 Leadership

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Culture
Leaders recognise they have an obligation to foster the kind of organisational climate where people find it easy to speak up and share when they have made mistakes rather than covering up errors.

- Leaders encourage people and enable them to join forces and to participate as responsible individuals in a collaborative institutional enterprise.
- Non-technical management skills development is recognised as world class.
- Leadership demonstrates and reinforces the values and culture of the organisation and ensure these lead to engagement and empowerment across all layers.

Predictable

- Leadership activities are consistent with and reinforce the organisation's health and safety policies.
- Leaders at all levels of the organisation are credible and open to ideas for improvement.
- Leaders take responsibility to ensure that the health and safe management system achieves its intended outcome.
- Leaders inspire others within the organisation to work to deliver against the H&S vision of the organisation.

Culture
Leaders take responsibility for developing, leading and promoting a positive culture in the organisation that supports effective H&S risk management.

- Non-technical management skills are recognised and developed within the organisation.

Standardised

- The organisation is built around a command and control structure with some feedback.
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Ad-hoc

- There is no evidence of positive health and safety leadership at any level in the organisation.
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Radar Graph and Bar Graph Outputs

Evidence/ Cultural Comparison

Leadership - SP1
Corrective Action -...
Management Review...
Incident investigation...
Audit - MRA2
Proactive monitoring...
Emergency Planning -...
Control of contractors...
Change management...
Management of...
Safe systems of work...
Workload planning -...
Objective/Target...
Risk assessment and...
Worker involvement...
Competence...
Record keeping,...
Organisational...
System safety and...
Internal...
Organisational...
Management and...
Allocation of...
Written Safety...
Board Governance -...
Health, Safety Policy -...
Maturity

Evidence/ Cultural Comparison

Management Review – MRA4
Audit – MRA2
Emergency Planning – RCS5
Change management...
Safe systems of work including...
Objective/Target Setting – PI2
Competence management...
Record keeping, document...
System safety and interface...
Organisational structure – OC3
Allocation of responsibilities – OC1
Board Governance – SP3
Leadership – SP1
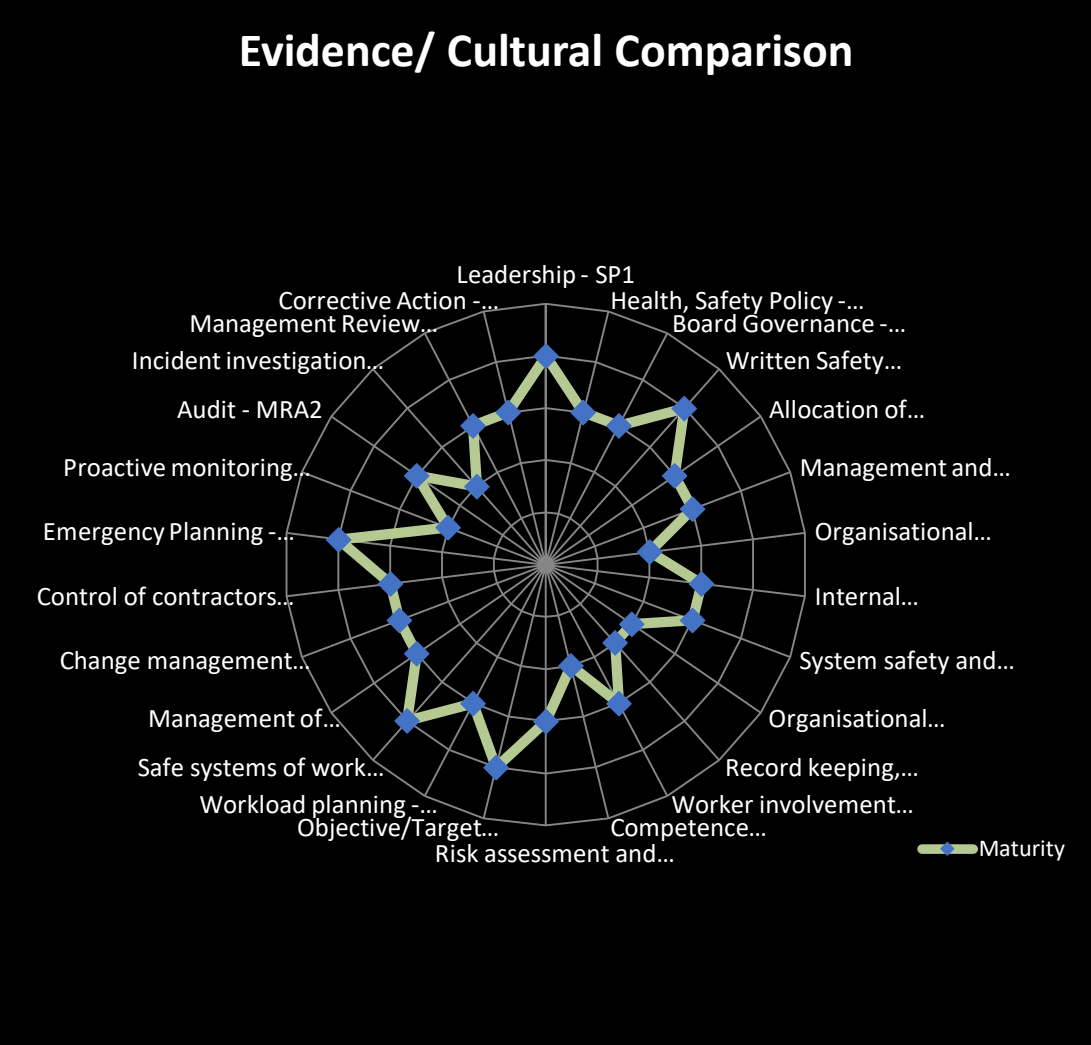
Maturity

Radar Graph and Bar Graph Outputs
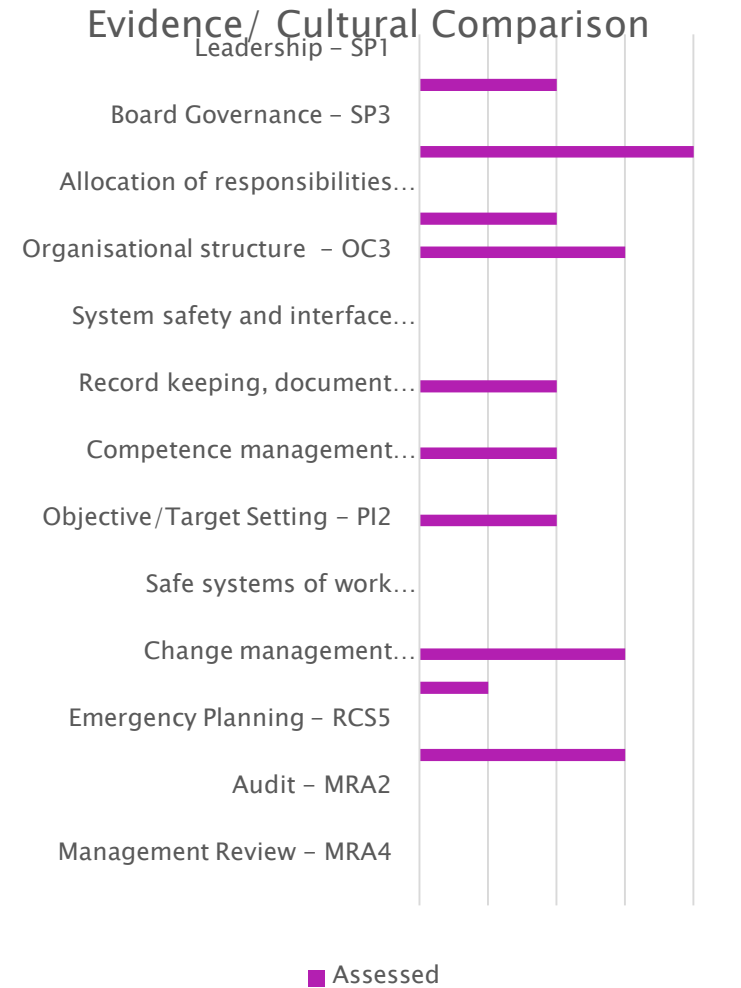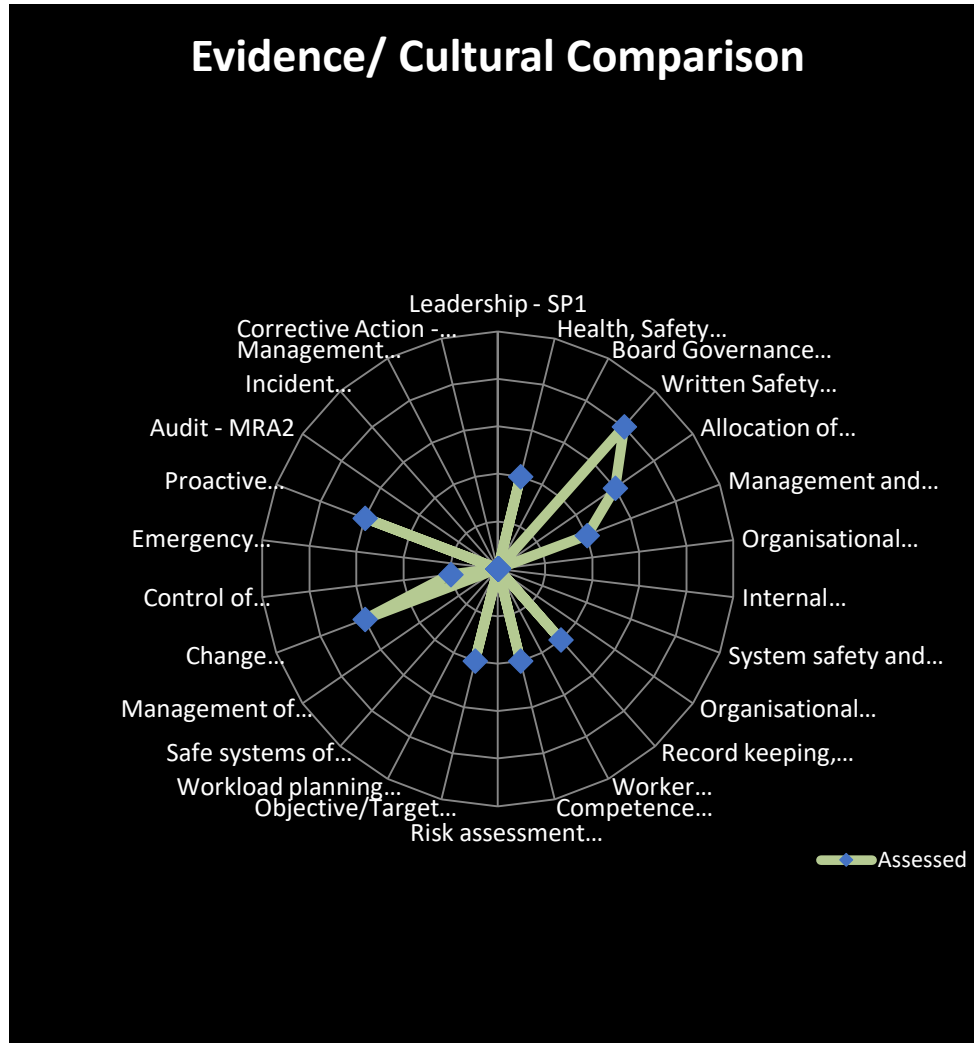
What evidence?

Reactive assessment includes:
- Workplace violations and errors
- Incidents
- Failures to deliver performance objectives
- Complaints

Proactive assessment includes:
- Risk control system review
- Safety verification activity
- Safety certification/authorisation assessment

Audit includes:
- Top down SMS reviews
- Corrective action monitoring
- Internal and external audits

Assessment exercise

Scenario

You are to carry out a limited assessment of the Mid-Fens Railway.

You have various pieces of evidence from a number of sources. These have looked at different processes/procedures.

Included in you portfolio of evidence is an ORR inspection report describing a number of observations from reviewing Mid-Fen's process for Driver Management.

RM3 2019

Task:

- Identify the relevant RM3 Criteria;

- Determine the level of achievement using the RM3 guidance;

- Have you got any culture evidence? …..and what is the maturity level??

I will do the first one…………………………….

Source – extract from internal audit report November 2017– Management of Change

Having reviewed the process/procedure for change management the auditors made the following observations:

1.Review of the Management of Change Policy found that it aimed to ensure that 'every change, whether large or small, relating to equipment, process or organisational change shall be subject to a formal assessment proportionate to the change and potential risk'.

2.This policy was in-line with the review date and was dated May 2017 and was displayed on a Safety, Quality and Environment (SQE) noticeboard in reception.

3.A review of the actual process document showed it to be contained in the overall Health and Safety Manual stored on the SQE platform of the company portal. It is available to anyone in the organisation although it was noted that only Grade 4 (operational managers and above) had personal issue laptops.

4.The process description had clearly been developed from a number of industry approaches and guidance. The process described was consistent with the steps expected for good change management including initial scoping of the change, identification of potential effects including interfaces etc.

5.The process had been prefaced with a flow-diagram visualising the key stages. The detail of the process had been documented and split into chapters. It was said (Head of SQE) that this was done to emphasise the relevant steps. Each chapter had a named owner (specific individual, not role). For each chapter/element, there was a list of individuals to be involved (specific individuals, not roles). There was a short description of why they should be involved and what they would do.

6.Again, the process followed faithfully, the accepted principles of management of change, including comprehensive detail on document management and record keeping.

7.Discussion with a sample of those identified within the document demonstrated a clear understanding of the roles allocated to them. They were able to demonstrate a clear knowledge of the principles and more detailed questioning showed a wider breadth of knowledge beyond their specific role. It was however, noted that at least four of the named individuals were unavailable for interview as they had left the company.

8.Review of a specific, past project led to discussion with general employees who were affected by the change. The general consensus was that the change had gone very well. Some employees had said they had received emails telling them what was going to happen and regular updates through until completion, others did not receive any information. On completion they were asked if there was anything that they didn't like or that could be enhanced to make their lives easier. Overall, some were very happy with the change.

SP2 Policy: STANDARDISED. This is an 'associated policy'. It reflects most of the criteria (quantity of evidence?)

SP4 – some evidence of written SMS, bit not detailed evidence. It would be possible to make an assessment but this would be better as supporting evidence with previous examples (note documents available but only to managers)

OC1 – STANDARDISED: Allocations seems clear and appropriate. Individuals understand their roles. However, some roles vacant. Allocation to named individuals?
OC4 Overall assessment Managed
–as inconsistent communication of information to employees

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Source – extract from ORR inspection report dated 02/12/19– Driver Management

Having reviewed the process/procedure for driver management ORR made the following observations:

1. The H&S policy for Driver Management (dated May 2014) was clear and showed a commitment to deliver consistent levels of compliance with the relevant company standards. It also stated that the company aimed to be the best in the Group. The document had no provision for signature.

2. Discussion with the Driver Standards Manager (DSM) indicated that he had not been involved in the drafting of the document and that it was a 'historical thing' that he inherited back in 2004 when he joined the company. He was told he had to review it after an internal audit in 2014. He read it and thought it was ok so he updated the date. The policy document was stored in his office although others could access it on request. He wasn't sure how this fitted with the overall H&S policy (which was in a frame on the reception wall).

3. The company employ 148 drivers out of 9 depots. There is one DSM and 6 Driver Training Managers (DTM). They have a reasonably stable workforce with only about 10% turnover per year. The majority of their drivers are direct employees although at peak times they have a facility with another operating company to 'buy-in' extra drivers.

4. Route and traction knowledge for their own drivers is delivered through initial 'driver's school' for 6 months, then practical training for 12 months. After this, all trainees are tested and either marked competent or required to address weaknesses and continue training. It was unclear whether there were criteria for the maximum length of time or number of times a driver could undertake re-training.

5. Training records of the existing drivers were examined. Most records showed the personal details of each driver including the routes they signed, and when they signed it. It was more difficult to find consistent evidence of when the route and / or traction knowledge was reviewed. There were some records for most drivers but these were not all consistent or easily accessible.

6. The majority of drivers had come from other companies so did not need initial training. If they arrived having already signed a route (with proof) they were deemed as competent for that route.

7. The system for buying-in drivers was via a written contract describing the requirements of any driver (route / traction knowledge) and the financial arrangements. The supplying company are a very large, well-recognised organisation. For that reason, the DSM felt that an audit of their arrangements was unnecessary. 'There had never been a problem'.

Source – extract from ORR inspection report dated 02/12/19– Driver Management

SP2 Associated policies: Ad-Hoc / Managed due to lack of signature, no evidence of consultation, lack of understanding

OP2 CMS: Managed / Standardised. Some evidence of following structured processes as per industry standard. Weak structure for bought in resource as taken at face value. Record keeping not ideal. No evidence that drivers transferring route knowledge are systematically checked.

OC7 Record keeping: Managed – inconsistent records kept (important risks?)

RCS4 control of contractors: Ad hoc / Managed. No audit or drilling down to verify training and competence of contract drivers

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Creating the report…………

Theme	Criteria	Comments to support evidence	Assessed Level (and descriptor)					Assessed
			1	2	3	4	5	Level
Health and Safety policy, leadership and board governance	Leadership - SP1	criterion not assessed						
	Health, Safety Policy - SP2	The policy for Driver management was significantly out of date. There was no review or retention policy. This policy is an 'associated policy' with respect to the overall H&S policy however, it was not linked, communicated not did the 'owner' know how it fitted with the overall policy						2
	Board Governance - SP3	criterion not assessed						
	Written Safety Management Systems - SP4	criterion not assessed						
Organising for control and communication	Allocation of responsibilities - OC1	criterion not assessed						
	Management and supervisory accountability - OC2	criterion not assessed						
	Organisational structure - OC3	criterion not assessed						
	Internal Communication arrangements - OC4	criterion not assessed						
	System safety and interface arrangements - OC5	criterion not assessed						
	Organisational Culture - OC6		HOW TO USE CULTURE CALL OUTs within OC6 automatically loaded from Cultural Assessment database)		(NB Scoring			#N/A
	Record keeping, document control and knowledge management – OC7	inconsistent records kept relating to training and policy documents. Important risks are not documented and recorded. The document relating to contract drivers relates to financial matters and not the safety risks						2
Planning and implementing risk controls through coordinated management arrangements	Worker involvement and internal cooperation - OP1	criterion not assessed						
	Competence management system - OP2	Some evidence of following structured processes as per industry standard. Weak structure for bought in resource as taken at face value. Record keeping not ideal. No evidence that drivers transferring route knowledge are systematically checked						2
	Risk assessment and management - PI1	criterion not assessed						
	Objective/Target Setting - PI2	criterion not assessed						
	Workload planning - PI3	criterion not assessed						
	Safe systems of work including safety critical work - RCS1	criterion not assessed						
	Management of Assets - RCS2	criterion not assessed						
	Change management (Operational, processes, organisational and engineering) - RCS3	criterion not assessed						
	Control of contractors and suppliers - RCS4	No formalised process for selection and control of contractors (other than cost). No audit or drilling down to verify training and competence of contract drivers						1
	Emergency Planning – RCS5	criterion not assessed						
Monitoring, Audit and Review	Proactive monitoring arrangements - MRA1	criterion not assessed						
	Audit - MRA2	criterion not assessed						
	Incident investigation - MRA3	criterion not assessed						
	Management Review - MRA4	criterion not assessed						
	Corrective Action - MRA5	criterion not assessed						

RM3 criteria	Comments to support Evidence	Assessed Level
Leadership - SP1	criterion not assessed	
Safety Policy - SP2	The policy for Driver management was significantly out of date. There was no review or retention policy. This policy is an 'associated policy' with respect to the overall H&S policy however, it was not linked, communicated not did the 'owner' know how it fitted with the overall policy	2
Board Governance - SP3	criterion not assessed	
Written Safety Management System - SP4	criterion not assessed	
Allocation of responsibilities - OC1	criterion not assessed	
Management and supervisory accountability - OC2	criterion not assessed	
Organisational structure (management cascade etc) - OC3	criterion not assessed	
Communication arrangements - OC4	criterion not assessed	
System safety and interface arrangements - OC5	criterion not assessed	
Culture management - OC6		#N/A
Record keeping - OC7	inconsistent records kept relating to training and policy documents. Important risks are not documented and recorded. The document relating to contract drivers relates to financial matters and not the safety risks	2
Worker involvement and internal cooperation - OP1	criterion not assessed	
Competence management system - OP2	Some evidence of following structured processes as per industry standard. Weak structure for bought in resource as taken at face value. Record keeping not ideal. No evidence that drivers transferring route knowledge are systematically checked	2
Risk assessment and management - PI1	criterion not assessed	
Objective/Target Setting - PI2	criterion not assessed	
Workload planning - PI3	criterion not assessed	
Safe systems of work including safety critical work - RCS1	criterion not assessed	
Asset management (including safe design of plant) - RCS2	criterion not assessed	
Change management (process, engineering, organisational) - RCS3	criterion not assessed	
Control of contractors - RCS4	No formalised process for selection and control of contractors (other than cost). No audit or drilling down to verify training and competence of contract drivers	1
Emergency Planning - RCS5	criterion not assessed	
Proactive monitoring arrangements - MRA1	criterion not assessed	
Audit - MRA2	criterion not assessed	
Incident investigation and management - MRA3	criterion not assessed	
Review at appropriate levels - MRA4	criterion not assessed	
Corrective Action / Change management - MRA5	criterion not assessed	

How it would be presented…………..

Evidence/ Cultural Comparison

(Radar chart titled "Evidence/ Cultural Comparison" with categories: Leadership - SP1, Health, Safety…, Board…, Written Safety…, Allocation of…, Management…, Organisational…, Internal…, System safety…, Organisational…, Record keeping,…, Worker…, Competence…, Risk assessment…, Objective/Target…, Workload…, Safe systems of…, Management of…, Change…, Control of…, Emergency…, Proactive…, Audit - MRA2, Incident…, Management…, Corrective Action… — legend: Assessed)

(Bar chart titled "Evidence/ Cultural Comparison" with categories: Leadership – SP1, Board Governance – SP3, Allocation of responsibilities – OC1, Organisational structure – OC3, System safety and interface…, Record keeping, document…, Competence management…, Objective/Target Setting – PI2, Safe systems of work including…, Change management…, Emergency Planning – RCS5, Audit – MRA2, Management Review – MRA4 — legend: Assessed)

Summary

- RM3-2019 is an evolution of the original model.

- It is not a new model

- The assessment levels are more stretching

- The culture bubbles are 'indicators only'

- Lots more information on [The ORR website section on RM3](#)