

RM³ 2019

Topic set 1

HERITAGE RAILWAYS

**Public Consultation
Draft (V 1.0)**

RM³ 2019

Topic set 1

HERITAGE RAILWAYS

Published 2020

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Foreword

The Risk Management Maturity Model (RM³)¹ is relevant to the minor and heritage railway sector and is a useful tool to help both ORR and the railways themselves consider safety management system capability, identify areas for development, and provide a benchmark for year-on-year comparisons.

RM³ sets out criteria for key elements of a health and safety risk management system and its criteria identify the steps to evaluate a company's progress through five levels of 'maturity', from ad-hoc to excellent².

Topic Set 1 for Heritage Railway

We recognise that smaller organisations or those just starting out on the RM³ journey may find some of the criteria and descriptors inaccessible, or not obviously relevant to them.

To help heritage railways, we have developed, with input from key stakeholders, the RM³ Topic Set 1 for Heritage Railways. This heritage Topic Set provides more focused RM³ descriptors over a much smaller and more readily applicable set of criteria than the 26 found in the full RM³ 2019. The intent is to provide descriptors that reflect the heritage sector's particular operating characteristics and risk profile. We believe this makes the RM³ approach more accessible and meaningful as a tool for analysing and improving heritage railway safety management. Users should find that the additional examples of heritage-centred evidence make it easier to determine maturity levels in the sector.

The heritage Topic Set contains 9 particularly applicable elements of RM³ 2019, tailored to the heritage sector. Users can of course supplement the 9 Topic Set criteria with others from RM³ 2019, if they believe this will help their development.

Furthermore, the heritage Topic Set has been designed so that there should be consistency in the assessed level, irrespective of whether the full RM³ 2019 or Topic Set 1 for Heritage Railways criteria are used. This means that as an organisation matures, it can adopt RM³ 2019 in full without adversely impacting on the usefulness of previous assessments.

We want heritage railways to embrace RM³ and to use it as a tool to help them continuously improve their health and safety management system capability. We believe this heritage Topic Set will help to achieve those improvements.

We recommend that larger heritage railways that also operate on the mainline, or which routinely transfer rail traffic through a mainline interface, consider using the full version of RM³ 2019. That said, the heritage Topic Sheet could form part of the route to achieving this, by first introducing RM³ to such a railway.

1 RM3 2019 (Amended 2020)

2 For more information on the purpose of RM32019, excellence in health and safety management systems, and criteria development, refer to RM32019

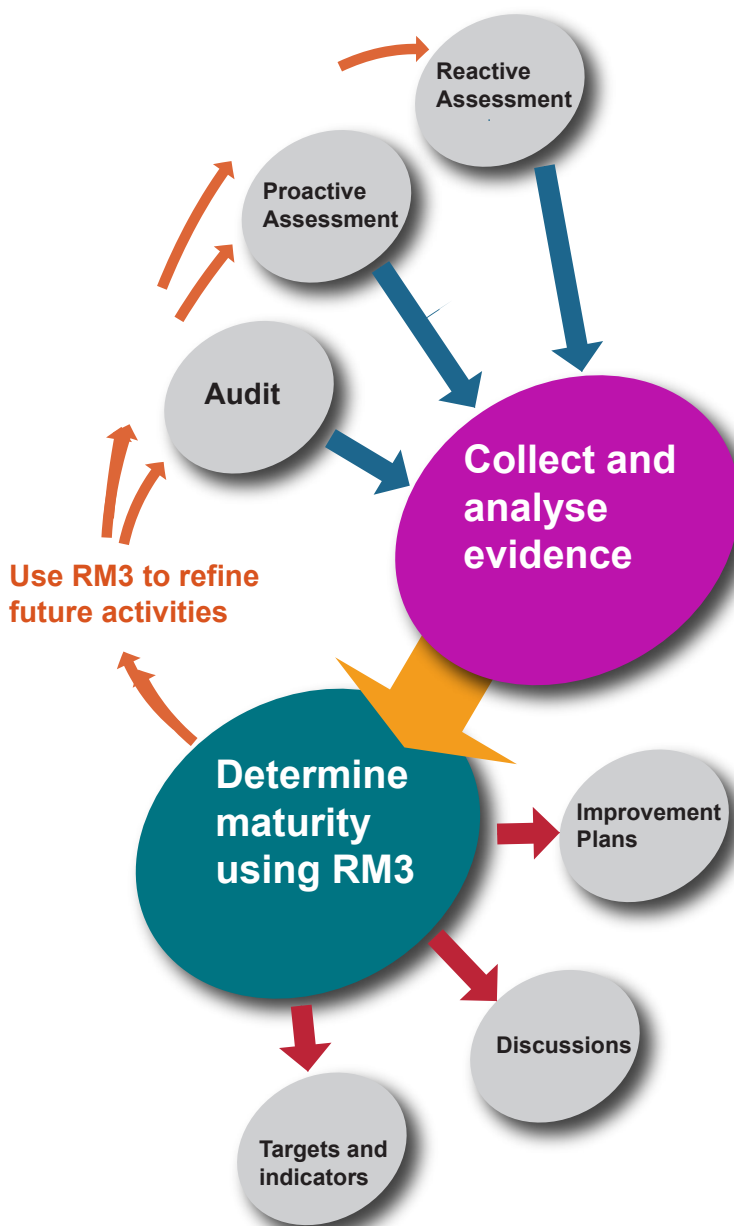
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Using the criteria

RM³ supports the evaluation of an organisation's health and safety management system (SMS). The purpose of these assessments is to identify whether the management arrangements provide and maintain risk-control systems that protect the safety of people affected by the organisation's activities. The model provides a consistent way of evaluating the management arrangements required by MHSWR¹ and ROGS².

Assessors should adopt an evidence-based approach to evaluating the management of risk. Several sources of data, information and knowledge can be used to measure an organisation's current level of risk management maturity.



Information on the performance of organisations can be gathered in a variety of ways: through interviewing individuals at various levels, through inspecting and reviewing documentary evidence and through direct or indirect observation of conditions found at site level.

Figure 4 illustrates the type of information and the collection methods available to assessors in determining an organisation's maturity levels.

A non-exhaustive list of evidence sources is attached at appendix 3.

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 scrutiny

Figure 4 Information sources and collection methods

1 The Management of Health and Safety at Work Regulations 1999 (MHSWR)

2 The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS)

SMS assessments may focus on a limited number of risk controls and track them up through the levels of the organisation.

They may also start at senior management level and track the relevant risk controls down through the organisation. However, to form a reliable opinion, the assessor would need to make sure that the whole SMS is assessed against all of the elements set out in RM³; and that the size, structure and nature of the organisation are also taken into account.

Evidence of the capability (or otherwise) of the organisation will be built-up during assessment activities. The evidence gathered will only be based on a sample of the information available and so will not be conclusive. It is possible that the evidence collected could fall across a range of maturity levels.

Assessors should use the evidence gathered to inform their opinion of the organisation's management arrangements against the RM³ criteria. As the volume of evidence increases, there should be greater clarity over where an organisation's maturity lies. Assessors should use their judgement when deciding which criteria and evidence to use. The following issues should be considered:



Figure 5 Evidence factors

- **Consistency of the evidence** - if evidence from a number of sources suggests a similar level of maturity, this would indicate that the findings of the assessment are accurate;
- **Quantity of the evidence** - whether there is enough evidence to provide an informed opinion on the organisation as a whole. For example, if evidence on document control for a small depot revealed an 'ad-hoc' level of achievement, is that sufficient to form an opinion on the document control system for thirty other, much larger, depots?;
- **Quality of the evidence** - whether the evidence is based on a limited observation from one site or is consistent across a number of sites and;

- **Currency of the information** - when the evidence was initially gathered and whether there are likely to have been any significant changes since then.

Collating findings

When collating findings, assessors should critically review their evidence against the evidence factors and should look at identifying maturity levels, based on the modal average for each criteria.

Evidence collected during assessments and investigations should be compared against the descriptions of each level and a judgement made of the health and safety management capability of the organisation. This will enable the organisation to understand its strengths and target areas for improvement. Evidence could be grouped for a work section, a department, directorate, site, an organisation or a group of companies.

Organisations should never try to roll all maturity assessments together to arrive at an overall maturity level. The value of RM³ is in the discussions to be had around the findings for each of the 26 criteria. Determining how the SMS works in practice is, in terms of risk management, generally more important, than how it appears on paper. The assessment should focus also on the day-to-day application of the SMS.

A method for collating organisational culture assessments is included in Criterion OC6, see page 41 of the full RM³ 2019 version (amended 2020).

Using the RM³ model, it is possible to identify the gap between the '**work as imagined**' of the written health and safety management system (SMS) and the '**work as done**' actions taken at the sharp end; the '**here and now**' of task performance.

This approach enables assessors to interpret information to:

- identify and address the progress of the organisation towards excellence in SMSs;
- identify what activities are in place to support the development of an excellent health and safety culture;
- identify deficiencies in management systems that may impact on issues wider than safety, such as efficiency and performance, especially in relation to asset management;
- provide a roadmap to forming an action plan to assist an organisation's progress towards excellence;
- build on the existing safety validation process;
- inform future regulatory activity within the rail industry, or with particular organisations; and
- provide assurance that system safety is being managed by all the interdependent organisations in the railway industry.

Key principles to remember when undertaking an assessment using RM³ are that:

- Both health and safety are most effectively managed when they are integrated with other management activities and managed in the same way;
- Any unsafe act, unsafe condition, near miss or accident is a symptom of a possible failure of a part of the management system;
- SMSs should focus on making sure that the physical, managerial, procedural, behavioural and cultural elements of the organisation are managed;
- The SMS should take account of, and be shaped by, the culture of the board and the organisation as a whole and;
- There is no one right way to achieve excellence in H&S management in an organisation. However, there are some common characteristics that are seen in organisations that manage H&S risks well.

The Risk Management Maturity Model (RM³) criteria

| | | |
|---------------------|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|
| SP | Health and safety policy, leadership and board governance | SP1 Leadership SP3 Board governance SP4 Written safety management system |
| OC | Organising for control and communication | OC7 Record keeping, document control and knowledge management |
| OP | Securing co-operation, competence and development of employees at all levels | OP2 Competence management system |
| PI & RCS | Planning and implementing risk controls through co-ordinated management arrangements | PI1 Risk assessment and management RCS2 Management of assets |
| MRA | Monitoring, audit and review | MRA2 Audit MRA3 Incident investigation |

Purpose:

- To make sure that the organisation is effectively governed and led;
- To make sure that each policy clearly expresses the top-level management expectation, accurately defining what the organisation wants to achieve, how it will achieve it (through effective leadership) and how management will know when that expectation has been met;
- To make sure that the organisation (specifically the board) effectively challenges whether a policy and its associated activity is correct, in place and effective.

Introductory notes

Poor leadership has caused many high-profile health and safety failures. A failure to consider health and safety risks when the board makes decisions can have catastrophic results.

An organisation's approach to health and safety inevitably reflects the attitudes of those who make business decisions, and it leads the opinions and attitudes of the staff who work within the organisation.

The organisation's policies are to be forward-thinking and based on solid evidence of what the organisation can achieve. Together with effective leadership, the policies should promote a consistent approach to health and safety at all levels of the organisation.

- Leaders of the organisation set and communicate a clear direction for the organisation that reinforces a consistent approach to health and safety;
- Leaders at all levels of the organisation act in a consistent way to reinforce the values, ethics and culture needed to meet the organisation's objectives and;
- The governance arrangements make sure that the organisation remains accountable for the health and safety of its workers, passengers and members of the public affected by their work.

The Heritage Railways Topic Set criteria in this section include:

- **SP1 - Leadership** from the top which provides consistent example and inspiration for leaders at all levels of the organisation;
- **SP3 - Board governance** - effective at providing clear direction, leadership and oversight for health and safety – setting 'the tone from the top' and;
- **SP4 - A written safety management system** designed to control all H&S risks which arise as a consequence of the business activities.

SP 1 Leadership

What leadership looks like for heritage railways:

SP 1

Excellence

- Outstanding leadership is displayed at all levels of the railway, by directors; managers; department heads and front line staff.
- There is ample and consistent evidence of all the following:
 - Honesty and integrity;
 - Competence over confidence;
 - The ability to inspire others;
 - Commitment and passion;
 - Good communications;
 - Decision-making capabilities;
 - Accountability;
 - Delegation and empowerment;
 - Creativity and innovation;
 - Empathy and;
 - Visibility of leaders

Culture

All Leaders recognise they have an obligation to foster an atmosphere where people do not fear and find it easy to speak up and share when they have made mistakes rather than covering up errors.

- Leadership is part of a carefully planned structure and does not happen by accident;
- The organisation acts as one powerful, totally co-ordinated team with high levels of trust and;
- There are training courses on leadership and opportunities for encouraging and to develop leadership qualities in the next generation.

Predictable

- Leaders at all levels maintain attention on their significant risks, and quality of implementation of the control measures;
- Leaders' actions show they are committed to improving safety performance;
- Appointment to leadership positions is mainly based on merit, attitude and competence;
- There are good levels of communication, co-ordination and collaboration at and between leadership levels and employees / volunteers;

Culture

Leaders take responsibility for developing, leading and promoting a positive atmosphere that values staff and volunteers and encourages safe working and an awareness of risk.

- Everyone pulls together in times of stress or difficulty and;
- Some efforts are made to develop the next generation of leaders.

Standardised

- Volunteers and staff who demonstrate leadership qualities, are usually willing to accept responsibility and so tend to settle into leadership roles;
- Leadership is seen to be about having personal qualities and confidence in self and others and;
- Leaders challenge unsafe behaviour and;
- Standards of discipline are generally good, and departments speak, share information and co-operate with each other to improve safety.

Culture

Leadership is still largely viewed as a directors and senior management role.

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|---------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Managed | <ul style="list-style-type: none"> • The railway is heavily reliant on a few key individuals who are considered natural leaders; • There is not always planned or documented consistency or collaboration between individuals and the various departments and groups; • Rules are generally followed, but not always to the letter if there is a simpler, quicker alternative and; • Leaders accept deviation and non-compliance. | <p>Culture Leadership is viewed solely as a directors and senior management role.</p> |
| Ad-hoc | <ul style="list-style-type: none"> • The role of leaders and managers is to tell volunteers and staff what to do; • Individuals are blamed and disciplined when things go wrong; • Leaders set no health and safety priorities; • There is no effort to allocate time or resource to health and safety organisation; • Nothing gets done until it goes wrong and; | <p>Culture Staff and volunteers consider there is little effective leadership in health and safety and it is left to those undertaking tasks to manage their own and visitors' health and safety.</p> <ul style="list-style-type: none"> • Volunteers and staff are expected to get on with their tasks and not question. |

Suggested guidance and further reading:

- INDG 417 'Leading Health and Safety at Work': HSE
- HRR-M0101 The Duties and Roles of Boards of Directors and Chairmen; HRA

SP 3 Board Governance

SP 3

What board governance looks like for heritage railways and when developing your maturity you should take into account the 12 'Tablets of Governance' detailed in Appendix 1;

Excellence

- The board demonstrates all 12 'Tablets of Governance' (See Appendix 1);
- The railway has in place a vision, purpose and long term strategy, to which there is total buy-in by railway board, management, staff and volunteers;
- There is transparency and clear lines of accountability for the board to the owners and / or members;
- There is excellent organisational discipline and culture;
- The board, is generally seen by most staff and volunteers, to exhibit fairness and justice, when making sensitive and difficult decisions;

Culture

The board promotes a culture of continuous improvement, challenging managers and supervisors to improve, supporting that with examples of good practice from both outside and the wider rail industry, that have the capability to be implemented in a way that adds value to the railway.

- Corporate Social Responsibility is demonstrated by using such measures as BITC's Responsible Business Tracker, a Community Mark or similar and;
- The board demonstrates diversity across a range of expertise, opinion, age and background.

Predictable

- The board, demonstrates, to a reasonable level, the 12 'Tablets of Governance';
- The railway has in place a vision, purpose and long term strategy;
- The board ensures all policies are reviewed at least annually, and they are updated on the outcomes;
- There is reasonable transparency and clear lines of accountability for the board to the owners and/or members;
- There is good organisational discipline;
- The board reviews proactive monitoring information (e.g. delivery of training and maintenance programmes) and reactive information (e.g. accident, near miss sickness data);
- The board initiates periodic audits of effectiveness of the management structure and risk controls;

Culture

There is a culture of most people doing the right things in the right way at the right time.

The board seeks balanced indicators of safety assurance and has mechanisms in place to demonstrate the integrity of the railways' assurance regime. The board demonstrates a systematic approach to identifying and understanding risk and sets clear tolerances and expectations.

- The board has independent and effective non - executive directors and the minutes of Board meetings will demonstrate their level of engagement, investigation and questioning and;
- The board demonstrates some diversity across a range of expertise, opinion, age and background.

| | | |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Standardised | <ul style="list-style-type: none"> • The board effectively governs the railway; • The board takes its responsibilities seriously; • The board sets out to work in the best way possible, with the resources available; • The board routinely review the risk register and use it to inform board decisions; • The board has access to a good level of technical and railway expertise for decision making and; | <p>Culture The role of the board and managers in managing H&S is clear and the expectation of risk tolerance is communicated.</p> <ul style="list-style-type: none"> • The board recognises that improvements are necessary and has plans in place to address this. |
| Managed | <ul style="list-style-type: none"> • The board is well-intentioned and can demonstrate how it believes it has the best interests of the railway at heart; • The board has access to some, but not all the levels of expertise it would like, to be effective; • There is a risk register in place; • H&S performance is considered reactively, rather than proactively; • The board routinely reviews reactive safety performance indicators (e.g. accident / near miss / sickness rates); • The board communicates when it needs to, but does not always welcome challenge; | <p>Culture Some, but not all parts of the railway, believe that the board managers and supervisors are interested in H&S.</p> <ul style="list-style-type: none"> • Succession planning for new directors has proved difficult and; • Most of the board's efforts are directed to immediate operational priorities, rather than a focus on longer term developments |
| Ad-hoc | <ul style="list-style-type: none"> • Trustee and director roles are seen as positions of status and remote from the ordinary running of the railway, with only a limited overseeing role and to approve decisions and; • Power and control reside with individuals or ad-hoc committees and groups. | <p>Culture Throughout the organisation, individuals are either not confident or do not know that the board, managers and supervisors are interested in H&S.</p> |

Suggested guidance and further reading:

- INDG 417 'Leading Health and Safety at Work': HSE
- HRR-M0101 The Duties and Roles of Boards of Directors and Chairmen; HRA

SP 4 Written Health & Safety Management System (SMS)

SP 4

What the written health & safety management system looks like for heritage railways:

| | | |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Excellence | <ul style="list-style-type: none"> • The railways' SMS is adaptable and responsive to change; • The SMS is capable to accommodate emerging risks and reasonably foreseeable developments in: • Legislation; <ul style="list-style-type: none"> • Best practice (such as HS (G) 65); • Technology; • Social; • Environmental and; • Political influences • The SMS is an integral part of the overall management system; | <p>Culture The SMS demonstrates a visible commitment to measuring and improving organisational culture.</p> <ul style="list-style-type: none"> • The SMS is seen as the means to demonstrate a commitment to measuring and improving organisational culture and; • Everyone on the railway has received training on the SMS and is regularly updated. |
| Predictable | <ul style="list-style-type: none"> • People understand the risks associated with their role, and are able to describe and implement the prescribed control measures; • Visiting volunteers and contractors are able to adhere to the same standard; • Everyone in the organisation can explain their role, how the SMS affects them, and know where to find information and guidance or processes; • Standards are reviewed, to ensure that the SMS uses and delivers up to date standards of risk control and; | <p>Culture There is a collaborative approach across the organisation in implementation and reviews of the health and safety management system.</p> <ul style="list-style-type: none"> • The SMS describes how performance is measured, to check controls are working, and standards are being implemented, |
| Standardised | <ul style="list-style-type: none"> • The written SMS meets the elements laid down in HRA's guidance note on safety management systems, as a minimum; • The written SMS contains clear references to supporting documents that describes control measures; • Each document within or referenced from the written SMS has its own author / owner and it is approved and authorised as being fit for its intended purpose; • The SMS reflects clearly the systems in place to manage risk effectively and; | <p>Culture There is a clear understanding at all levels and across the railway of how the SMS sets out to control risks and to what standard.</p> <ul style="list-style-type: none"> • The SMS is communicated to employees, volunteers and others who work with the railway or share risks (e.g. connecting infrastructure managers and operators). |

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| Managed | <ul style="list-style-type: none"> • There is a process in place within the organisation to produce and maintain a legally compliant SMS; • The SMS says what the railway does about railway safety; • The SMS reflects the 'PLAN DO CHECK ACT' model in describing how safety is managed on the railway; • Relevant parts of the SMS are communicated to employees and volunteers and; • Not everyone does what the SMS says in all parts of the organisation. | <p>Culture The SMS is understood by most staff and volunteers, as an important and integral part of how safety and risk are managed.</p> |
| Ad-hoc | <ul style="list-style-type: none"> • There is no written SMS, or if there one, it is based on a template or copied from another organisation; • The SMS does not reflect the individual railways' activities, operations and risks; • It is not always clear what standards the railway is using and; • There is little training given. | <p>Culture The SMS is seen as unimportant or is poorly understood.</p> |

Suggested guidance and further reading:

- A Guide to ROGs; ORR
- HGR-A0017-IS03 Safety Management Systems; HRA

Purpose

- To set out responsibilities for meeting the organisations H&S objectives.
- To make sure that important information is available to those making decisions.
- The organisation's arrangements and actions promote a culture that makes excellence in risk control possible.
- Organisations have controls in place so that risks are identified and adequately controlled.

Introductory notes

H&S policies set the direction for H&S, but organisations need to create a strong framework for management activities, setting out the roles, responsibilities, authorities and accountabilities that will improve performance. Two important issues are **control** and **communication**.

Control is the foundation of a positive health and safety culture.

- Maintaining control is central to all management functions. Control of H&S is achieved by allocating and carrying out responsibilities which relate to H&S objectives;
- Organisations rely on the empowerment and engagement of staff and the organisation has to balance giving the necessary freedom and flexibility, with the need for good control of risk. The boundaries of discretion need to be clearly drawn – it should be clear when strict adherence to safety procedures is essential. In many cases learning from trial and error and experience is too costly for those involved and;
- H&S representatives can make an important contribution. Staff should be focused on developing and maintaining systems of control before events happen – not on blaming people for failures after events.

Communication is often a challenge to organisations.

- It is important that the messages which senior managers want people to understand are the ones the people actually hear and;
- Effective proactive and reactive communication about H&S relies on accurate and clear information coming into the organisation, flowing within it, and going out from it.

The Heritage Railways Topic Set criteria in this section include:

- **OC7 Record keeping, document control and knowledge management** - suitable information is collected, stored and is readily retrievable to support H&S decision-making and effective and reliable control of risk at all levels.

What record-keeping, document control and knowledge management looks like for heritage railways:

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|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Excellence | <ul style="list-style-type: none"> • The railway has a centralised and comprehensive system for all records and documents; • There are active systems in place to capture data and corporate knowledge; • Paper records are scanned and made into electronic (soft) copies where appropriate; • The system is easily accessible on-line to appropriate and approved users; • The railway subscribes to industry-wide information systems and readily shares its own information and; | <p>Culture The importance of maintaining and growing corporate knowledge to deliver continuous improvement is embedded in all levels of the railway's culture.</p> <ul style="list-style-type: none"> • Data and information are regularly published in an understandable format that can be used to drive continuous improvement. |
| Predictable | <ul style="list-style-type: none"> • The railway has a comprehensive document and record system with a central index made up of a mix of electronic and paper-based records; • Records include details of all risk related processes and controls, standards, and outputs from those processes (e.g. inspection records maintenance records); • Systems are in place for capturing and retaining corporate knowledge and; | <p>Culture There is a culture of making decisions based on corporate knowledge.</p> <ul style="list-style-type: none"> • Corporate knowledge is used to inform decisions. |
| Standardised | <ul style="list-style-type: none"> • The railway has a basic document and record system with a central index made up of a mix of electronic and paper-based records; • Records include details of most risk related processes and controls, standards, and outputs from those processes (e.g. inspection records maintenance records); • Records are kept of important information and decisions. These are readily available and used by decision makers to control risk and; | <p>Culture All staff and volunteers understand why corporate knowledge is important and work with the organisational processes to develop and maintain it.</p> <ul style="list-style-type: none"> • There are basic systems in place for capturing and retaining corporate knowledge, so individual memory is rarely relied upon. |

Managed

- Records are created, maintained and updated by individuals or departments, but may not be widely available to the railway;
- Information and records are not readily shared between departments, and there is no centralised index;
- There are only a limited number of documents shared e.g. the rule book and;
- Individual memory and expertise are used to fill in gaps of recorded corporate knowledge.

Culture

There are pockets of information retention by individuals or parts of the organisation, but the importance of developing and retaining corporate knowledge is not widely understood or valued.

Ad-hoc

- There are few or no corporate documents that describe how safety is maintained or achieved;
- Reliance is placed primarily on the memory and knowledge of a few key individuals;
- Procedures to identify and manage record keeping, document and knowledge management, do not exist or are weak and;
- The railway is unable to use written records to demonstrate that risk management was considered in decision-making.

Culture

There is no evidence of corporate knowledge, only individual's memory.

Suggested guidance and further reading:

- HGR-M0110; The Care of Key Corporate Documentation; HRA

This page has been left blank for you to make notes on Organising for Control and Communication Criteria

Purpose

- To find out whether the organisation has employees with the competencies (knowledge, skills, experience and abilities) needed to perform effectively, efficiently and safely;
- To see if the organisation's recruitment, selection, training and development policies focus, as far as possible, on meeting the organisation's H&S objectives and;
- To prove how much the organisation consults its employees at all levels to make sure that knowledge and experience are shared, and H&S becomes 'everybody's business'.

Introductory notes

Employee involvement and engagement supports risk control by:

- drawing on their experience and learning so that the SMS, risk assessments and risk controls are practical and reality-based and;
- encouraging 'ownership' of H&S policies and procedures.

It makes sure the organisation as a whole and people working in it, benefit from good H&S performance. Sharing knowledge and experience means that H&S becomes 'everybody's business'.

Organisations need an effective system for managing competence to help make sure that their staff have the appropriate skills. Making sure that workers, supervisors, managers and directors have and keep, the appropriate skills, helps assure those members of staff make safe decisions and carry out their work safely, reducing the risks to themselves and to other people.

The Heritage Railways Topic Set criteria in this section include:

- **OP2 Competence management system** - the organisation is capable of effectively managing OHS by having sufficient employees with the requisite competences at all levels.

OP 2 Competence Management System (CMS)

What competence management systems look like for heritage railways:

| | | |
|--------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Excellence | <ul style="list-style-type: none"> • The railway has a fully operational and developed CMS; • All individuals are clear about the performance that is expected of them; • All individuals, including senior managers, have received appropriate training, development and assessment; • The competence of individual's is maintained or improved over time; • Training and development are provided to create a level of competence for the individual or team, to enable them to undertake the designated operations and; | <p>Culture</p> <p>The railway makes full use of its staff and volunteer's potential and actively involves them through shared values and an atmosphere of trust, openness and empowerment.</p> <ul style="list-style-type: none"> • The CMS is subject to regular monitor, audit and review, to ensure that risk controls are continuously improving. |
| Predictable | <ul style="list-style-type: none"> • The railway has an appropriate CMS based on thorough risk assessment of tasks; • The CMS includes policies on recruitment, selection and training in line with identified objectives and; • There are processes in place to manage competence, including succession and resilience planning. | <p>Culture</p> <p>Staff and volunteers believe they have a role to play in the CMS and routinely act to support and develop themselves and others.</p> |
| Standardised | <ul style="list-style-type: none"> • The railway is able to demonstrate they have a CMS in place that takes into account relevant guidance (such as ORR's document, and HRA Guidance note HGR-A0012 "Management of Safety Critical Work"; • Risk controls identify the skills, knowledge and experience needed by individuals to implement them, across all safety critical tasks; • All individuals carrying out safety critical work have been assessed as being competent and fit; • There is an accurate and current written record of every individual's competence and fitness that is available for inspection and; | <p>Culture</p> <p>The value of the CMS is understood by all staff and volunteers and there is a consistent belief that it will provide them with the necessary competencies to undertake tasks safely and manage risks competently. Staff and volunteers accept ownership of their own competence and its development.</p> <ul style="list-style-type: none"> • There are arrangements in place for monitoring the competence and fitness of individuals. |

| | | |
|---------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Managed | <ul style="list-style-type: none"> There is a basic documented CMS in place; Not all safety critical roles and persons who occupy those roles (either staff or volunteers) have been identified and; Most risk controls identify the skills, knowledge and experience i.e. functional competency, needed by individuals to them, but these are not always consistently applied in all departments. | <p>Culture Staff believe that the competence management system is important for H&S, but effectiveness varies depending on the managers implementing it.</p> |
| Ad-hoc | <ul style="list-style-type: none"> There is no competence management system in place; Employees and volunteers have the necessary competencies they need, but there are no formal arrangements to define what is required, record what competencies are held, and to regularly check competence and; Individual managers are left to make their own judgements, as to the competence needed by their teams. | <p>Culture Staff do not believe they are provided with the necessary information, instruction and training to undertake their roles, which may result in them deviating from procedures and ineffective risk control</p> |

Suggested guidance and further reading:

- RSP 1; Developing and maintaining staff competence; ORR
- HGA-P0005-IS03; Fitness Assessment for Safety Critical Workers; HRA
- HGR-A0012-IS05; Management of Safety Critical Work; HRA
- HGR-A0050-IS02; Competence Management Systems; HRA

This space is for making your notes on Securing Co-operation, Competence and Development of employees at all levels criteria.

PI & RCS Planning and Implementing Risk Controls through Co-ordinated Management Arrangements

Purpose

To make sure that the organisation has risk controls that enable the business to operate safely.

Introductory notes

Safe operation is based on the adequate control of risk. The SMS needs to set out how decisions are made for the control of risks to ensure legal compliance is achieved in a structured, efficient and effective way. This includes strategy-making, planning and processes for the control of risk.

The Heritage Railways Topic Set criteria in this section include:

- **PI1 Risk assessment and management** - there are adequate, appropriate and proportionate methods for identifying hazards and assessing risks as a basis of effective control of H&S risk in the business and;
- **RCS2 Management of assets** - assets are managed to ensure that they remain in good condition, and can continue to operate reliably within their design parameters.

PI1 Risk Assessment and Management

What risk assessment and management looks like for heritage railways:

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| PI 1 | Excellence | <ul style="list-style-type: none"> • Risk management is embedded in the railway's culture; • Detailed and comprehensive risk registers are maintained for both business and operational risk, including emergency preparedness; • All risks identified are allocated to an owner; • Risk registers are actively reviewed and managed to close out and mitigation of risk and; • The railway actively engages with the wider industry. | <p>Culture</p> <p>Staff and volunteers seek to learn from others and readily share their knowledge and experience, knowing that this will lead to improved risk control, both within their own and other partner organisations.</p> |
| | Predictable | <ul style="list-style-type: none"> • There are written risk assessments for all significant risks; • Risk assessments are integrated throughout the railway; • There is a systematic approach to risk control and it is applied consistently throughout the railway; • Risk registers are maintained for both business and operational risk and are regularly reviewed and; | <p>Culture</p> <p>Risk assessments, including removing risk at its source, are part of the culture of the organisation; "Risk assessment is how we do things round here".</p> <ul style="list-style-type: none"> • The railway participates with wider industry (e.g. HRA, RSSB) on safety risk control matters. |
| | Standardised | <ul style="list-style-type: none"> • The railway has appropriate risk assessment procedures and policies in place and maintains a risk register; • The railway uses the principles of hierarchy of control measures when assessing the risks and; • Control measures in place have been identified by risk assessment and; • The effectiveness of control measures to manage safety and health risks are evaluated, and proportionate corrective action is taken. | <p>Culture</p> <p>Staff and volunteers understand the purpose of risk assessment. They are actively involved and see the value of risk assessment to control hazards and ensuring their H&S.</p> |

- There is a process for risk assessment, but it is not always applied consistently across the railway;
- Hazards are recognised and control measures developed, but there is a lack of consistency in how this is done, and recorded;
- Safety measures used to perform an activity do not always include the measures identified by the risk assessment and;
- There is some co-ordination of risk control, but the focus is on operational risks and not the complete business risk profile.

Culture

Managers recognise that risk assessment is their responsibility, but they frequently use risk assessment to demonstrate that controls already in place are adequate, or to justify not doing more.

There is some involvement of staff and volunteers in the risk assessment process and some understanding as to why it is important.

- Hazards are not identified and considered as part of identifying, developing, and examining control measures;
- Managers and supervisors think it is someone else's job to carry out risk assessments and;
- Staff and volunteers often see risk assessment as a bureaucratic process, which gets in the way of them doing their job.

Culture

There is widespread evidence that the risk control hierarchy is not understood by staff or volunteers.

Managers and supervisors think it is someone else's job to carry out risk assessments. Some staff and volunteers see risk assessment as a bureaucratic process which gets in the way of carrying out tasks.

Suggested guidance and further reading:

- HGR-A0011-IS04; Risk Assessment; HRA

RCS 2 Management of Assets

What management of assets looks like for heritage railways:

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| Excellence | <ul style="list-style-type: none"> • Full register and condition of all assets including locomotives, rolling stock, infrastructure and property, linked to the collections policy; • Regular monitoring, updating and review of asset registers; • Prioritised and fully costed programme of repairs and renewal. Funding identified or in place, with no significant backlog of work to key assets; • Available capability to undertake all planned work or manage contractors and; • There is an effective pro-active and predictive maintenance regime across all railway assets. | <p>Culture</p> <p>There is a demonstrable alignment between asset management objectives, systems and individual responsibilities at all levels and across the railway.</p> |
| Predictable | <ul style="list-style-type: none"> • Basic register and condition of all assets including locomotives, rolling stock, infrastructure and property, linked to the collections policy; • Costed programme of repairs and renewal in place. Priorities set based on risk and need across all railway functions, some backlog of work to key assets; • Available capability to undertake prioritised work or manage contractors; • The railway has a successful condition-based, preventative maintenance regime. | <p>Culture</p> <p>The railway is structured to support effective asset management and the importance of this is understood by everyone. There is a consistent approach to asset management across all aspects of the railway.</p> |
| Standardised | <ul style="list-style-type: none"> • The information held by the railway is sufficient to support prioritisation of basic repair and renewal programmes; • Maintenance is conducted against a periodic maintenance plan, which is in the most part achieved and; • There are standards in place for each asset type. | <p>Culture</p> <p>The railway's leadership owns and visibly supports the asset management programme. There is an awareness at all levels of the railway of the importance of asset management in managing system safety</p> |

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| Managed | <ul style="list-style-type: none"> • Basic information for assets is held in a spreadsheet or other simple system, but is typically based on broad assumptions, or it is incomplete and; • There is a generally reactive approach to maintenance and renewal across the railway. | <p>Culture Asset management functions are carried out by small groups. Roles reflect asset management requirements. Understanding of the importance of asset management is typically limited to individuals directly involved.</p> |
| Ad-hoc | <ul style="list-style-type: none"> • There is a policy of ‘make do and mend’ when it can be fitted and afforded. Little evidence of planned preventative maintenance; • Individuals or groups often dictate priority of overhauls, repairs and renewals and is not based on recognised standards and; • There is no documented evidence to demonstrate that asset condition is being measured or managed. | <p>Culture There is little recognition that asset management is important.</p> |

Suggested guidance and further reading:

This page has been left blank for you to make notes on the Planning and Implementing Risk Controls through co-ordinated management arrangements criteria.

MRA Monitoring, Audit and Review

Purpose

The aim is to make sure that risk controls are in place, working correctly and achieving the organisation's objectives.

Introductory notes

Organisations need to measure, audit and review the implementation and effectiveness of all parts of the SMS. This is the basis of feedback and learning and continuous improvement.

Monitoring - organisations need to measure the effectiveness of risk controls to make sure that risk controls are identified and work in practice. Safe systems of work must be monitored to make sure they are appropriate and are actually being followed. Systems for monitoring, auditing and reviewing performance should be in place to make sure that the H&S management system is working correctly.

Audit - an audit checks that the organisation is doing what it says it will do. It should be supported by regular reviews to make sure that the organisation's business objectives are correct.

Review - the review should also check that the arrangements put in place to meet the business objectives are working as intended.

Monitoring, audit and review form a feedback loop within the overall H&S management system, and are an essential part of programmes for continual improvement and achieving excellence.

The Heritage Railways Topic Set criteria in this section include:

- **MRA2 - Audit** - Independent, systematic audits check that risk-control systems and management arrangements within the SMS are effective.
- **MRA3 - Incident investigation** – proportionate investigation of accidents, incidents and near misses is essential to learn from adverse events.

MRA 2 Audit

What audit looks like in heritage railways:

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| Excellence | <ul style="list-style-type: none"> • Audit actions help the railway continually improve the management of risk by referring to examples of best practice elsewhere in the rail and other sectors; • Peer-to-peer reviews with other comparable organisations, are routinely included in the audit approach; • The audit process provides a high level of assurance across the railway and; • The audit process drives continuous improvement, through feeding back into the railway organisations H&S management plans. | <p>Culture The railway strives to identify best practice in business risk management to inform the audit programme.</p> |
| Predictable | <ul style="list-style-type: none"> • There is a co-ordinated, effective and up-to-date audit programme undertaken by qualified auditors. | <p>Culture Audit is understood to be an essential part of development of processes and procedures contributing to improvement in risk management.</p> |
| Standardised | <ul style="list-style-type: none"> • The audit programmes cover critical activities; • There is an up-to-date audit programme in place, indicating how it is prioritised on the basis of risk; • Audit is generally understood as an essential part of the risk management process; • Staff and volunteers are prepared to engage with the audit programme and; • Audit results are accepted and there is evidence they are acted upon. | <p>Culture The value of audit is understood at all levels on the railway and there is a culture that the challenges and recommendations are positive influences.</p> |

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| Managed | <ul style="list-style-type: none"> • There is some auditing, but there is no co-ordinated audit plan; • The audit plan is not always proportionate to the risk profile of the railway, or implemented consistently; • Some departments / processes are audited, but not all; • The role of audit is not widely understood across the railway; • Audit is often perceived defensively and negatively and; • Some audit findings are acted upon. | <p>Culture The value of audit is inconsistently understood, and challenges are often taken personally resulting in conflict between auditors and auditees.</p> |
| Ad-hoc | <ul style="list-style-type: none"> • Auditing is limited to the annual accounts. | <p>Culture There is little or no understanding of the value of auditing health and safety arrangements. Audit is seen as a chore.</p> |

Suggested guidance and further reading:

- HGR-A0018-IS02; Safety Audits; HRA

MRA 3 Incident Investigation

What incident investigation looks like in heritage railways:

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| MRA 3 | Excellence | <ul style="list-style-type: none"> There is a 'just' organisational culture where all staff and volunteers freely participate in the investigation, openly and honestly; Incident investigation is seen by everyone as an opportunity to deliver continuous improvement and managers respond fairly and; Relevant investigation outcomes are routinely shared within and outside of the railway. | <p>Culture</p> <p>There is a 'just' organisational culture where all staff and volunteers freely participate in the investigation, openly and honestly. Incident investigation is seen by everyone as an opportunity to deliver continuous improvement and managers respond fairly.</p> |
| | Predictable | <ul style="list-style-type: none"> The range of incidents investigated includes, where appropriate: <ul style="list-style-type: none"> Non-compliance; Non-conformance; Near miss/hit reports and; H&S complaints or disruptions to work and where expected outcomes are not achieved. Investigations and recommendations are generally accepted as important ways of improving risk management. | <p>Culture</p> <p>Investigations and recommendations arising from them are generally accepted as important ways of improving risk management.</p> |
| | Standardised | <ul style="list-style-type: none"> The defined management arrangements for when and how investigations are carried out are followed consistently across the railway; Investigations are carried out after a near miss or near hit and after H&S incidents; Investigations identify all the reasons relevant to the cause and provide an explanation as to how the incident occurred, and what allowed it to happen; The underlying causes of an incident are identified and investigated and; | <p>Culture</p> <p>There is a general understanding of the importance of good quality investigations into a range of occurrences generating recommendations that improve systematic control of risks.</p> <ul style="list-style-type: none"> Recommendations aim to improve safety by reducing the likelihood and / or consequences of recurrence and addressing the underlying issues and deficiencies identified by the investigation. |

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| Managed | <ul style="list-style-type: none"> • The railway has guidance on what type of incident should be investigated and the detail of investigation required; • The level of detail of the investigation is related to the potential (or actual) consequences and likelihood of the incident; • The range of incidents investigated is limited to accidents; • Only immediate causes are identified and; | <p>Culture The culture is to accept inconsistencies in investigations and superficial recommendations, which do not improve risk management.</p> <ul style="list-style-type: none"> • Recommendations are limited to preventing the same thing happening again and do not identify areas for wider improvement. |
| Ad-hoc | <ul style="list-style-type: none"> • There is no evidence of effective investigations, and the culture of the organisation is to find someone to blame; • Investigations focus on the actions of the individual, with little or no indication that the adequacy of systems and risk controls were considered and; • Staff may not feel safe to speak up and therefore tend to cover up genuine errors. | <p>Culture Evidence of a blame culture when something happens.</p> |

Suggested guidance and further reading:

- HGR-A0555-IS01; Incident Investigation; HRA

Appendix 1

The 12 'Tablets of Governance'

Purpose

The 12 'Tablets of Governance' describe what proportionate governance and leadership look and feel like.

- **Preparedness**

Each Director shows up to meetings totally prepared for their role.

- **Doing the right thing**

Directors individually and collectively will always strive to do the right thing in the right way for the right reasons and at the right time.

- **Faith**

Directors will retain faith that they will prevail in the end regardless of difficulties and at the same time confront the brutal facts of the current reality, whatever that might be.

- **Alignment**

Directors must always have full alignment between the core purposes and values [which the Board should define / refer to here]. The Board makes sure that these values underpin all its decisions and railway's activities.

What it is they must excel at – [to be stated]; what is it they cannot fail at – [to be stated]; what makes Directors think they are delivering – [to be stated]; and how do they keep delivering – [to be stated].

- **Bottom line of Governance**

Our base line is [Board to state here], the UK Corporate Governance Code , and if a charity the Charity Commission Charity Governance Code ; or and other relevant codes. Further information is also available at the HRA Guidance note on the duties of Board Directors & Chairs .

Directors will comply with all legal, regulatory and recognised good practice requirements. All Directors will have read and understood all relevant documents and update themselves with individual continuous professional development and board wide training.

The four basic tasks of the Board are:

- Establishing and maintaining vision, mission, and values
- Deciding strategy and structure
- Delegating the authority to manage to monitor and evaluate performance
- Communicating with its members and all internal and external stakeholders

- **Roles and responsibilities**

Each Director will have specific roles, responsibilities and standards of ethics and behaviours; and these will be written down and available to all. Directors can never tolerate carelessness, incapacity, and neglect; they are forever accountable for what they do and what they fail to do. Both individually and collectively. Directors will never compromise their responsibilities. They will never take anything for granted. Directors will never be found short in their knowledge and in their skills.

They will also recognise other roles need to be fulfilled to make an effective Board: someone who looks to the stars; a stickler for procedure and detail; someone grounded in practicality; the devil's advocate; the sensitive, touchy feely one; someone to give alternative views and a different perspective; the ice cold logical view; and someone to always provide the moral compass.

- **Planning for the best and worst**

The rules / constitution / governance documents / policies and strategies will be regularly reviewed (e.g. annually). Their purpose should include setting targets and objectives for success and intervention, and describe and reference arrangements designed to guide the organisation through any foreseeable conflict, crisis, and disaster.

Directors must never forget every organisation is vulnerable, no matter how big or small, strong or weak, and whatever stage of development. Directors must always prepare and plan for their succession.

- **Leadership and teamwork**

Directors will strive to act as a team, respecting and utilising the abilities of others whilst realising they are working towards a common goal. Success depends on the efforts of all. Directors must be disciplined to follow, as well as to lead, knowing that they must master themselves before they can master their task.

- **Making the best decisions**

The Board working as one, not individuals, make the best decisions. Directors must have the courage and integrity to challenge how things are done: not settling for the status quo. The Board should confront and overcome complexity, incomplete information, the consequences of being wrong, and the human element. Decisions must be based on truth and reality – what is actually done versus what should be done in accordance with the standard. Where possible, Directors should seek alternative perspectives, question their objectivity, be paranoid to biases, and be open to new information. No decision can be absolutely right or wrong, but it must be the best they can make.

- **Vigilance**

Directors must be always attentive to the dangers and risks to the business, never accepting success as a substitute for the rigour in everything they do. Directors must share information willingly and openly even when it is challenging and discomforting for them. Directors will continually keep asking why, looking behind the incident reports for underlying factors. Why something happened? Why something didn't happen? And the How it happened. Acknowledge that small errors that aren't caught and corrected can lead to bigger failures.

- **Communication**

Directors must listen closely and carefully when colleagues, staff, members, volunteers, customers and stakeholders talk. What they say and what they don't say. What do Directors need to do, to find out more? Whenever possible record everything in writing to reduce risk of misinterpretation and confusion. It will be the only record on which future actions and learning can be based. Whenever possible double check what Directors thing they have communicated has been understood, always use language that is simple, inclusive, and understandable. Be prepared that Directors themselves are the communication problem.

Final Tablet

Constantly guard against a Board where good people are leaving, power is concentrated and exercised by the chair; and key appointments go to a select few. Be aware of the risk created if by telling rather than consulting; key decisions being made by small select groups, and popular projects winning over essential projects.

Appendix 2 - Glossary

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| Audit | <p>A systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled (ISO 45001).</p> <p>This means you are checking to see whether what you think or are doing, is actually what you should be doing. There are various forms of audit. Audit can be undertaken internally (1st Party) by the railway or externally (2nd / 3rd Party) by either another railway or organisation.</p> |
| CMM | Capability Maturity Model |
| CMS | Competence Management System |
| CPD | Continuing Professional Development |
| CSM | Common Safety Method (of the EU) |
| EU | European Union |
| Safety Inspection | <p>Is a regular, planned activity with assessment against a statutory, standard or in house requirement, usually in a checklist for ease of completion. These can be applied to the Premises (workplace and site), People (behaviours and working methods), Procedures (SSOW, PTW or method statements) and Plant (equipment, machinery). The frequency of inspection can vary from a daily pre-user check to an annual boiler inspection.</p> |
| HSWA | Health and Safety at Work etc. Act 1974 |
| HSE | Health and Safety Executive |
| IOSH | Institution of Occupational Safety and Health |
| MHSWR | Management of Health and Safety At Work Regulations 1999 |
| NED | Non-Executive Director |
| OEM | Original Equipment Manufacturer |
| LNER | London North Eastern Railway Limited |
| PDCA | Plan-Do-Check-Act Cycle |
| PPE | Personal Protective Equipment |
| RDG | Rail Delivery Group |
| ROGS | Railways and other Guided Transport Systems (Safety) Regulations 2006 |
| RSSB | Rail Safety and Standards Board |
| SMART | Specific, Measurable, Achievable, Realistic and Time-bound |
| SMS | Health and Safety Management System |
| SSOW | Safe Systems of Work |

Appendix 3 - Evidence Sources

So what is evidence?

Evidence in its simple form is the information that you gather from your meetings, inspections, tests, reviews monitoring activity and audits. You are probably already gathering much of this as part of your day to day work. This evidence supports your SMS and will consist of **Policies** at the top giving direction, **Processes** which help to structure and manage the task; and **Procedures** to deliver the task. Sources of evidence will include:

- **H&S management action plans** – Objectives on what you want to improve / mitigate, with targets to indicate achievement towards them;
- **Standards** e.g. Infrastructure inspection and maintenance requirements; traction & rolling stock maintenance, refurbishment requirements; arrangements to review and update
- **Competence management system** i.e. competency training, induction and refresher records and process to manage and maintain currency;
- **Maintenance records** - railway and site infrastructure, rolling stock and permanent way;
- **Statutory inspection and testing** - boiler inspections, thorough examinations, A, B & C examinations;
- **Workplace inspection** - workshops, buildings, common areas inc paths walkways;
- **Hazard survey** - identify hazards in activities, equipment and premises and what risk you bring onto premises;
- **Risk assessment** - activities, equipment and premises / workplace and their review;
- **Communications and provision of information** – safety briefings, publishing board minutes, operational notices, alerts or toolbox talks, use of noticeboards;
- **Control of contractors** – management of contractors on site, their briefing and due diligence checks of their method statements, SSOW and PTW system;
- **Emergency arrangements** – testing of plans /exercises, emergency service liaison;
- **Employee Consultation** - workforce safety committee with minutes;
- **Investigation** - accidents, incidents and near misses inc joint investigation with TUs;
- **Official documents** - records, certificates, licences, log books, meeting minutes (inc record of actions / decisions), registers, inc asset and corporate risk;
- **Document control** – version control, document approval, publishing and access.
- **Audit** – internal or external, with reports, actions tracked through to completion.
- **Management Review** – minutes, registers, actions plans,
- **Evidence from Interview;**
- **Monitoring evidence** - from verification of activities through observation;



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