Controlling Risk – are you ready?

Reflections on 2020/21

07/04/2021

ORR's vision for Great Britain's Railways

Zero workforce and industry-caused passenger fatalities, with an ever-decreasing overall safety risk.

- Achieved through 'excellence' in
  - Health and safety management – RM3 2019 can help here
  - **Understanding risk – understanding your asset; knowing your operation**
  - Customer service

- Our perception on passenger's expectations:
  - '1950's experience' with 21st century levels of safety and service

Our focus in 2020/21

- Not the year we expected

- COVID–19 Guidance and risk management – [heritage railway COVID guidance](#)

- Safety Management System – bedrock

  - Governance and leadership

  - Competence management

  - Asset management including p'way, structures, boundary mgmt, level crossings,

  - Workshops + Occupational health to include asbestos, lead, welding fume etc

- Supporting HRA & local railways

- Emerged during the year

  - Higher speed running proposals

Key messages

- Asset condition – do you know their condition & capability?

  - Track, structures, boundary measures – *enforcement action taken*

- Workshop risk

  - Unguarded machines – *enforcement action taken*

  - Health risks – *enforcement action taken*

  - Working at height – *investigation ongoing*

  Competency and capability

  - Establishing, and maintaining, across all your activities – *common issue*

- How does your SMS help you?

  - Managing safety as a system

  - Does it help or hinder. Or is it irrelevant?

  - Using it to demonstrably manage risk? To yourself, the Board, ORR?

- Significant advice given

Summary of the year – the positives

- A willingness to **embrace new ways** of doing things

- Some agile decision-making and organisations that have really 'got on with it' and made changes for the better.

  - Implementation of **coronavirus risk controls is an example of moving efficiently to control emerging risk** though several complaints have been made and passed to L.As

- Some **ground-breaking best practice**,

  - E.g. competence management: Bodmin & Wenford's good work on continuous assessment of signalmen

- **Positive feedback from** those using RM3:

  - Topic Sheet 1 Heritage now published: heritage RM3: guidance just published at https://www.orr.gov.uk/about/who-we-work-with/railway-networks/minor-heritage-railways

- Improved **carriage maintenance:**

  - hopefully days of heavy general repaints are in the past

Summary of the year – the negatives

- Safety Management Systems – incomplete, not covering basics

- Infrastructure including structures, earthworks and permanent way

- Competence management that isn't demonstrable or is not implemented or adequately recorded

- T&RS maintenance

- Engineering / industrial safety risks not sufficiently controlled – eg machinery safety, falls from height

- Corporate governance including internal politics / feuding

- Covid – potential to be a distractor

Enforcement action 2020/21

- **2** Prohibition Notices

- **3** Improvement Notices

Common themes

- Poor risk assessment

- Absence of company standards in key risk areas:

  - Workshop risk management;

  - Lineside boundary;

  - Structures management; and

- No or inadequate SMS & CMS

In summary: Stop and think

Asset condition – do you know their condition & capability?

- Track, structures, boundary measures – enforcement action taken

Workshop risk

- Unguarded machines – enforcement action taken

- Health risks – enforcement action taken
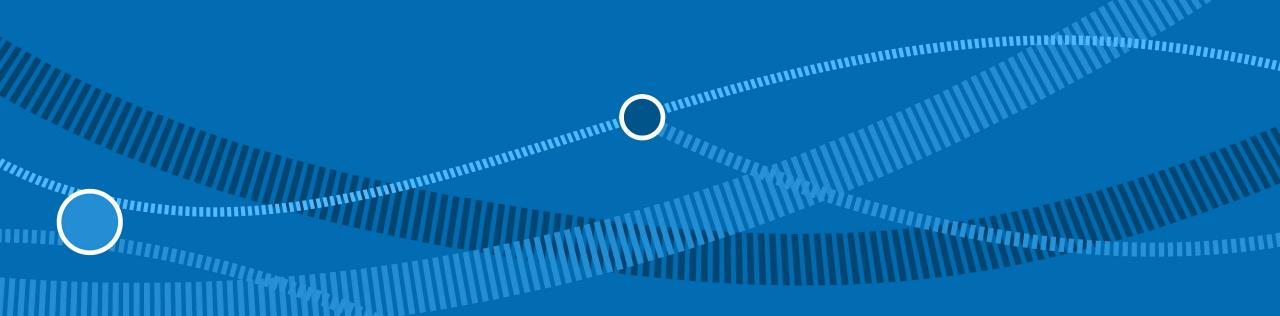
- Working at height – investigation ongoing

Competency and capability

- Establishing, and maintaining, across all your activities – common issue

How does your SMS help you?

- Managing safety as a system

- Does it help or hinder. Or is it irrelevant?

- Using it to demonstrably manage risk? To yourself, the Board, ORR?

Significant advice given

RM3 for the heritage sector

Introducing RM3 2019 Topic Set 1

RM3 Topic Sets

RM3 Topic Sets

- To provide focused assessment of key risk management areas
  - E.g. Occupational Health, Infrastructure management
- Support the RM3 approach in a targeted manner

Support the Heritage Sector develop their management system

- Accessible
- Meaningful
- Useful

Assume a legally compliant SMS in place

- Topic set is not a compliance tool
- Helps develop management maturity
- Other guidance available on how to create and maintain a proportionate SMS

RM3 Topic Set 1 – Heritage Railways

- Extensive public consultation
- Ten criteria over the 5 themes
- Retain the 5 maturity steps – ad-hoc thro' excellence
- Meaningful descriptors for each maturity level

     plus culture descriptors

  Introducing

     The 12 Tablets of Governance

For more information visit:
https://www.orr.gov.uk/about/who-we-work-with/railway-networks/minor-heritage-railways