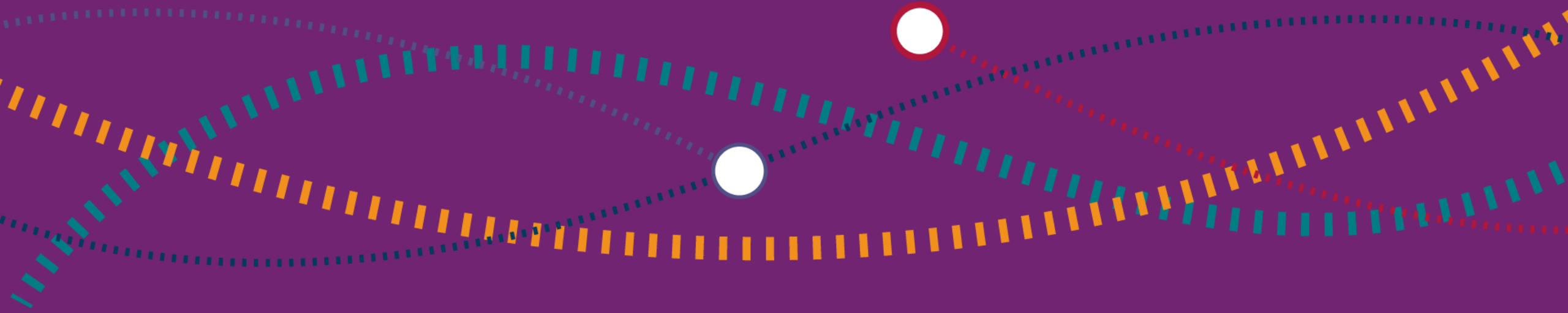


Annual Report of Health and Safety on Britain's Railways

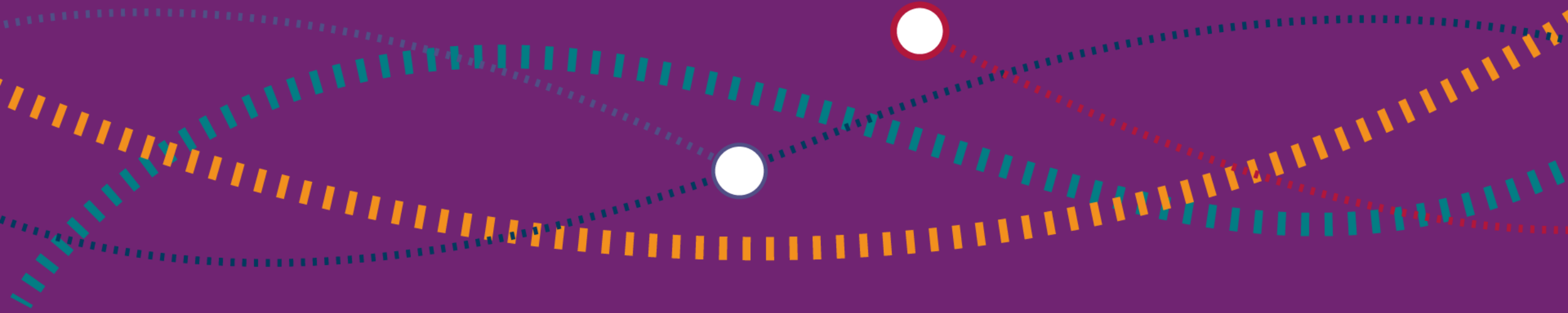
Breakfast launch event at Millennium Point, Curzon Street, Birmingham,
B4 7XG

14/07/2022



Introductions

Ian Prosser – CBE – HM Chief Inspector of Railways/Director, Railway Safety, ORR

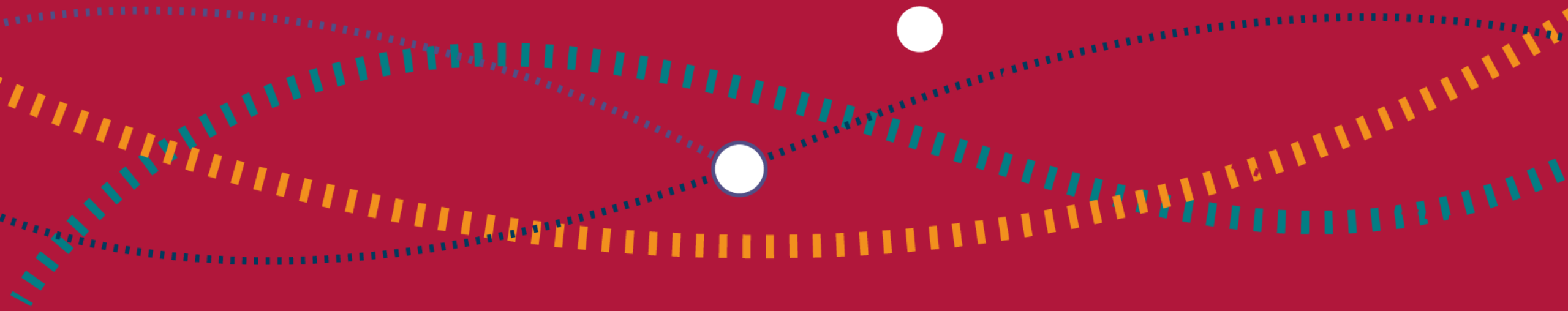


Agenda

Time	Item	Lead
08:00 – 08:30	Breakfast	
08:30 – 08:40	Introductions	Ian Prosser
08:40 – 08:55	Guest speaker: HS2 – A healthy, safe and sustainable mega project	Emma Head
08:55 – 09:10	Risk Management Maturity Model (RM3) with Q&A	Errol Galloway
09:10 – 09:25	Annual Report of Health and Safety on Britain's Railways	Jen Ablitt
09:25 – 09:50	Q&A	Richard Hines
09:50 – 10:00	Event closes	Richard Hines

Guest speaker: HS2 – A healthy, safe and sustainable mega project

Emma Head – Technical Services Delivery Director, HS2 Ltd



A healthy, safe and sustainable mega-project

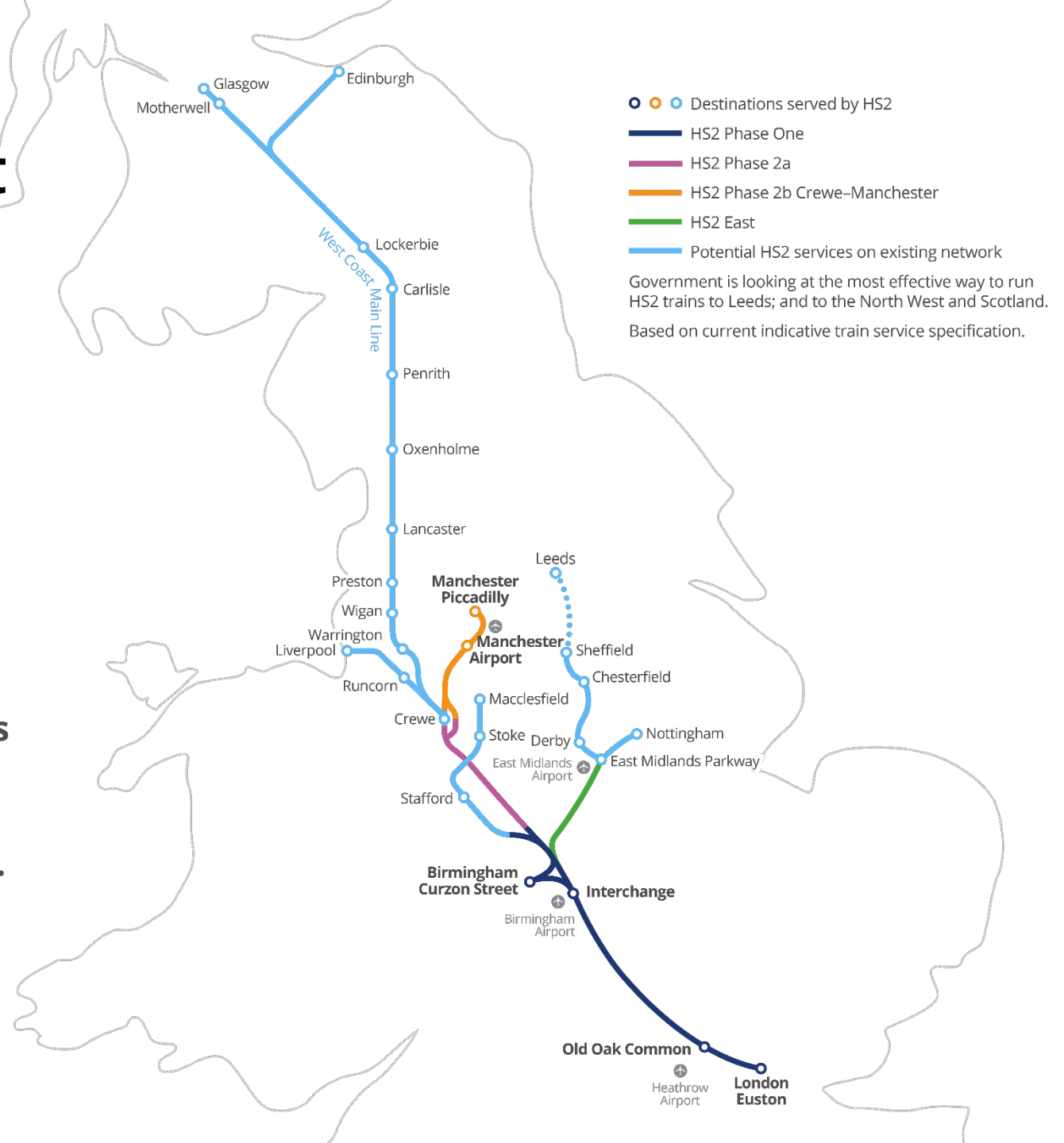
HS2



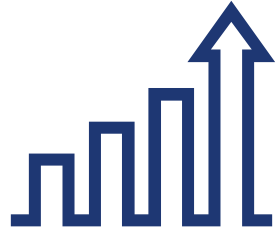
Britain's new high-speed railway is now being built

Key facts

- HS2 trains will **link the biggest cities** in Scotland with Manchester, Birmingham and London.
- HS2 will **integrate with new lines and upgrades** to deliver **faster travel** to towns and cities across Britain.
- HS2 is being built to the highest standards, using **world-class engineering**.



Our strategic goals



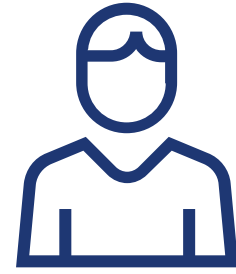
**Catalyst
for growth**



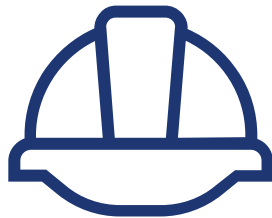
**Capacity and
connectivity**



**Value for
money**



**Customer
experience**



**Skills and
employment**



**Health, safety and
security standards**



**Sustainable and
a good neighbour**

Why HS2?

More
capacity



Cutting
carbon

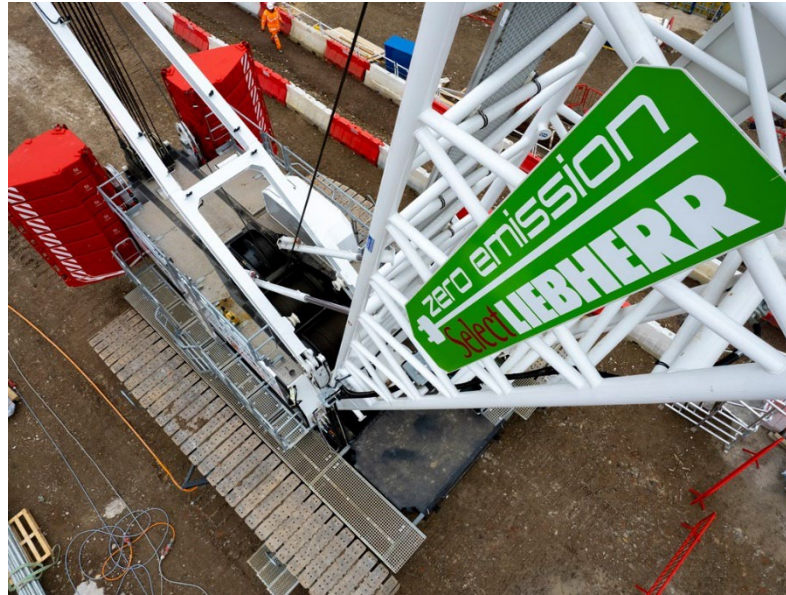


Better connectivity



Our green corridor: Building a sustainable railway, leaving an environmental legacy





Cleaner
construction:
Driving
innovation and
collaboration
through our
supply chain to
build in the **best
way**

Reducing our carbon footprint

**Birmingham
Interchange Station**



**Birmingham Curzon
Street Station**



**Old Oak Common
Station**



Safety is at the heart of everything we do

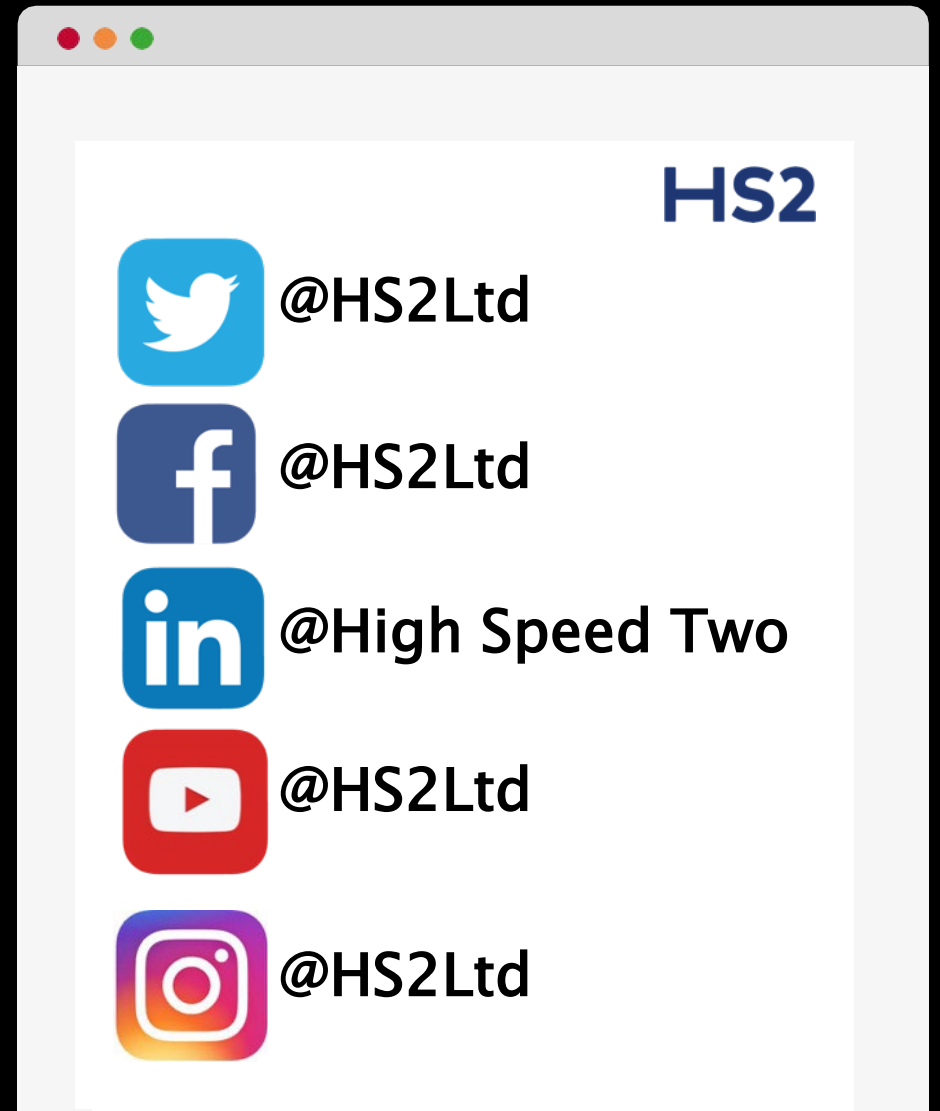


Building a resilient railway for the future



Visualisation of the Colne Valley viaduct

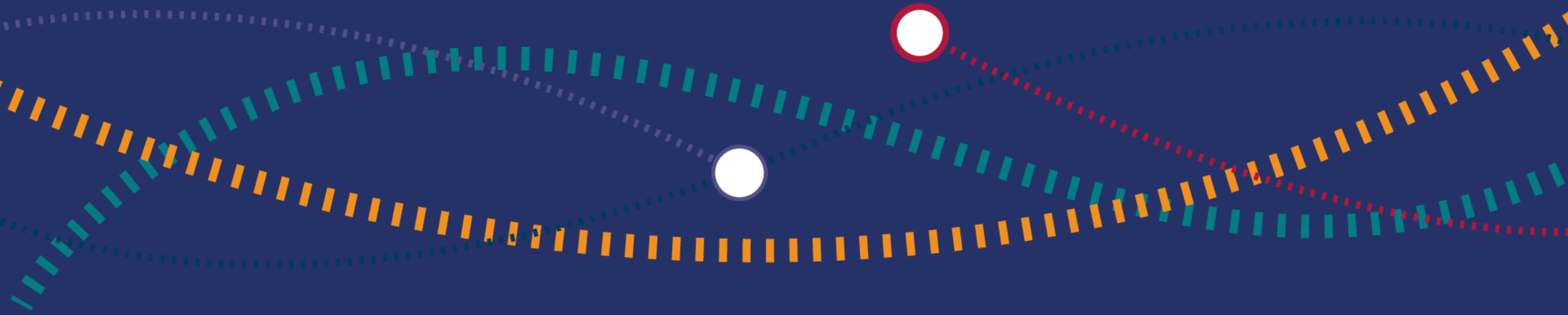
**Thank you.
To stay in touch
with our progress
please visit our
website:
www.hs2.org.uk**



Risk Management Maturity Model (RM3)

Moving the model, ORR and the industry forward

Errol Galloway – HM Principal Inspector of Railways Team Manager –
L&D and RM3, ORR



Where are we with the model

- Over 10 years since creation
- Regulatory tool
- Collaboration with industry

Progress and opportunities

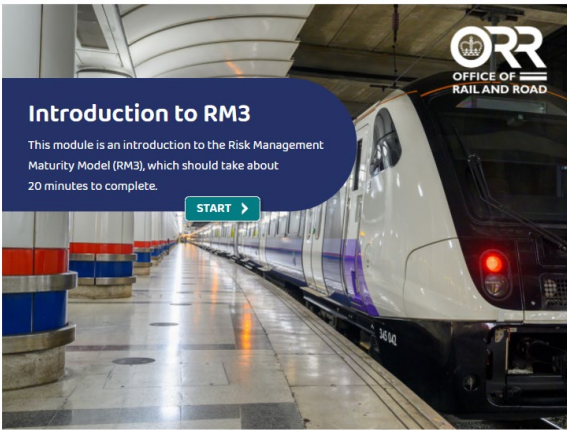
- Many training and briefing sessions
- Model now well established
- Make the model accessible to all industry partners
- E-learning package
- Free to access

Launch the model

- Supplement to hard copy
- Engaging
- Interactive
- Model for management/professionals?
- Model for all
- Alleviate training burden (deliver internally)

E-Learning Module 1

Menu



Introduction to RM3

This module is an introduction to the Risk Management Maturity Model (RM3), which should take about 20 minutes to complete.

[START](#)

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Aims and objectives


Safety is everyone's responsibility.

This module will introduce you to how adopting the right approach can help you and your organisation to create a safe environment for everyone.

We will look at how ORR's Risk Management Maturity Model (RM3) tool is used within the rail industry to ensure that everyone is kept safe, and how you can use it too.

In this module you'll learn:

- 1 Why you should strive for excellence in safety management.
- 2 The importance of safety management systems.
- 3 How RM3 can improve safety in your organisation.
- 4 How RM3 has benefited other organisations like yours.




02

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Making a difference



04

Keeping everyone safe is at the heart of what we do.

Everyone has an important role in safety management. This means that you can make a difference.

The RM3 is a tool which will help to improve your safety management, protecting each and every person both within your organisation and those using your services, ultimately keeping everyone safe.

As you have just heard, RM3 is part of a safety management system. But what does that mean? Let's take a moment to look at what's involved...

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What is risk?

06


Legislation exists to keep people safe. The Management of Health and Safety at Work Regulations 1999, for instance, sets out duties for maintaining health and safety in the workplace.

Select the headings to display what a duty holder must comply by.




Identifying hazards

What could cause injury or illness in the business?



Deciding the risk

How likely it is that someone could be harmed, and how seriously?



Act

Eliminate - or at least control - the risk.

While these regulations are a minimum requirement, they are also an opportunity to improve safety and address any hazards that have been identified.


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
What are the benefits of RM3?

12


To discover the advantages of an RM3 assessment, select each of the icons as they appear.




Identify areas of strengths and weakness in health and safety management.



Identify actions and initiatives to drive improvements in health and safety.



Provide assurance that health and safety is being managed effectively.



Promote sharing of good practice.

So, how can RM3 be used to help your organisation to work towards a higher level of health and safety management maturity? Let's see...

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Using RM3 in your organisation

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As previously mentioned, RM3 is not a safety management system - but it should form an integral part of your SMS.

By using RM3, your organisation will be able to:

- 1 Assess and evaluate the maturity of your own SMS.
- 2 Identify areas for continuous improvement.
- 3 Recognise "Good Practice".
- 4 Provide a common language and understanding.
- 5 Provide a base for informed discussions.
- 6 Promote confidence in the organization.



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E-Learning Module 2A

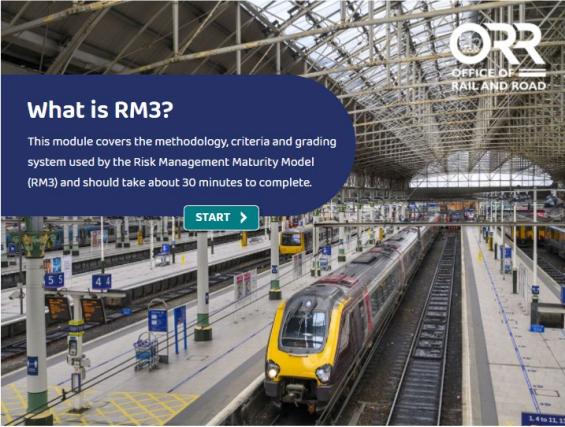
Menu | RM3 Glossary | RM3 Resources

Transcript | Help

What is RM3?

This module covers the methodology, criteria and grading system used by the Risk Management Maturity Model (RM3) and should take about 30 minutes to complete.

START



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Transcript | Help

Preventing accidents and reducing risk with RM3

You may be familiar with instances around the world of serious accidents that could have been prevented by having an effective safety management system and safety approach in place. At the very least, the risk of such accidents occurring would have been significantly minimised.

RM3 enables organisations to use the knowledge gained from the analysis of incidents and from the findings of risk reviews (internal and external) to continuously improve people's safety.

If an organisation only responds to incidents as and when they happen (reactive safety, or 'firefighting') it can lead to other hazards being missed. It's only when organisations put proactive measures in place for continuous improvement in safety that can they truly say they are doing their best to keep their environments safe for their staff and customers.

With that in mind, let's take a look at how RM3 not only helps organisations to identify and control risk, but supports and promotes continuous improvement in safety...



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The Plan/Do/Check Act (PDCA) Methodology

Underpinning the RM3 approach is the PDCA methodology - a continuous loop/cycle (of planning, doing, checking and acting) for improving processes and products.

This approach allows organisations to manage their operations by applying a systems process that is compatible with other established management systems standards, including:

- ISO 9001: 2015 (Quality)
- ISO 14001: 2015 (Environmental).
- ISO 45001:2018 (Health and Safety Management)

The PDCA cycle achieves a balance between systems, behavioural and cultural aspects of management, splitting the activities into four stages, as revealed next ...



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The RM3 Themes

Key to the RM3 approach is the RM3 wheel, which is made up of two levels for assessing maturity in health and safety management: themes and criteria.

The inner wheel displays the 5 key themes, each with an abbreviation:

- Health and safety policy, leadership and board governance (SP)
- Organising for control and communication (OC)
- Securing co-operation and competence (OP)
- Planning and implementing (PI and RCS)
- Monitoring, audit and review (MRA)

Select each theme in the circle for more detail



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The 26 Criteria of RM3

Each of the five themes consists of a selection of criteria for measuring management capability against five maturity levels (explained next).

There are 26 criteria in total, which have been identified as essential areas of an SMS.

You can now see how the 26 criteria fit around the themes to make up the full RM3 wheel.

Select the wheel to spin it and see an example



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The RM3 Maturity Scale

Record keeping, for instance, comes under the **theme**:

- Organising for Control and Communication (OC)

The relevant **criterion** within that theme is:

- 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.

Now select each of the 5 maturity descriptors in the diagram on the right to learn about each level



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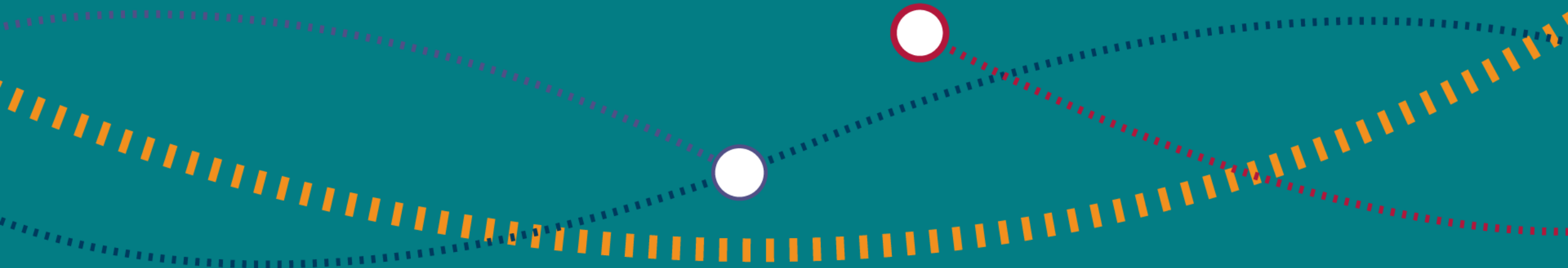
Potential

- Changing industry model(GBR)
- Accessible to industry
- Upskilling workforce
- Meet the challenge of change
- Opportunity to embed maturity

Comments and questions?

Annual Report of Health and Safety on Britain's Railways

Jen Ablitt – Deputy Director Safety Strategy, Policy and Planning, ORR



Annual Health and Safety Report headlines

- Britain's mainline railways remain one of the safest in Europe
- However:
 - Serious accidents and near misses
 - Post pandemic strengthening of safety management capability and changes in public behaviour
 - Non-mainline emerging trends
 - Enormous change and challenge



Key themes

- **Managing the legacy impacts of the pandemic**
 - Strengthening competency management, training and assessment, and frontline assurance
 - Organisational communication – RM3 e-learning!
 - The positive – performance, less crowding, cleaner railway!
- **Managing change: safety by design and successful, safe transition**
 - Our role
 - What we expect from duty holders
 - The day job
- **Supporting people**
 - Health data collection and analysis to support better management
 - Human factors: organisational change management, job design and workload planning
- **Implementing technologies effectively**
 - Weather prediction, earthworks management, worker protection, level crossing protection and traction power control
 - Harness the benefits to design out risk, human factors!!

Working with industry to improve health and safety

Mainline

- Earthworks and drainage management (predates Carmont)
- Track worker safety Network Rail, 98% reduction in lookout working (MAA) of track work related near-misses fell by 70%
- Management of rolling stock (2 yr programme)
 - Hitachi cracking, safety validation and assurance through supply chain (freight and ECMs), software and change
- Stations and platforms – warnings, barriers, accessibility and risk management tools
- SPADs, driver managers and investigations

Trams

- Review of LRSSB concluding adds real value
- Commencement of court proceedings against companies and driver after conclusion of Sandilands investigation
- Understanding the risk profile

Working with industry to improve health and safety

Heritage

- Focus on improving safety management as sector reopens post-pandemic

London Underground (LUL)

- Strategic approach to asset management – investment appropriately considered asset condition, performance, whole life cost and safety risk
- Maintaining safety management during huge LUL modernisation programme – human factors

Policy and strategy

- Developed RM3 e-learning
- Published new and improved guidance for level crossing safety
- High volume of permissioning work for example issued 1,434 train driving licences

Prosecutions and enforcement notices

Prosecutions concluded

- WH Malcolm fined £6.5m after death by electric shock of 11 year-old boy at freight depot.
- Nexus (Tyne and Wear Metro) fined £1.5m after death of an employee at South Gosforth depot.
- Amey Rail Ltd fined £600k after a rail-road vehicle overturned.
- QTS Group fined £12k after injury to contractor installing soil nails in railway cutting.

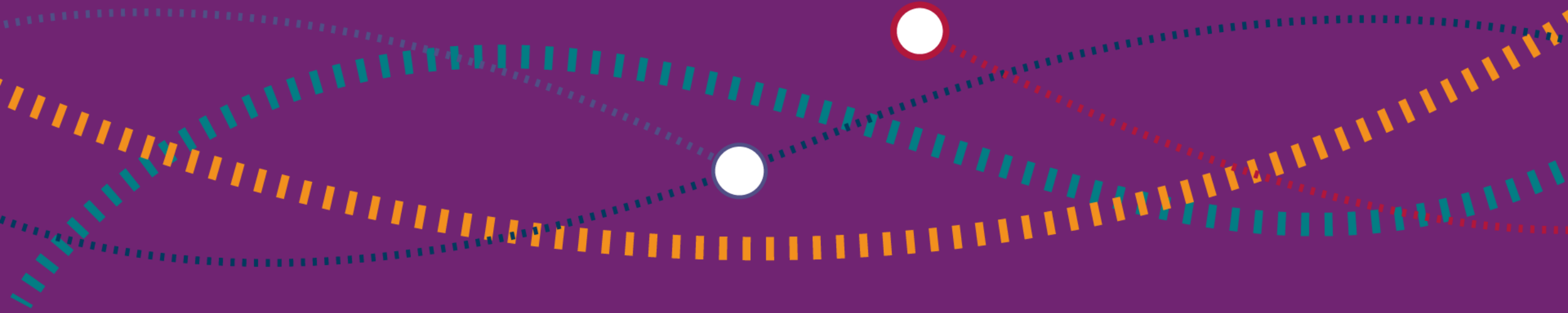
Enforcement Notices – some examples

- Failure to "prove dead" before working on live conductors.
- Failure to prevent unauthorized access to mainline railway.
- Failure to control risk from legionella.
- Failure to demonstrate footplate personnel competence.
- Failure to properly plan and manage construction work.
- Failure to demonstrate competence of staff and volunteers to operate trains.

Q&A

Panel members:

- Hosted by Richard Hines – HM Deputy Chief Inspector of Railways, Railway Safety Directorate, ORR
- Paul Appleton – HM Deputy Chief Inspector of Railways, Railway Safety Directorate, ORR
- Jen Ablitt – Deputy Director Safety Strategy, Policy and Planning, ORR
- Emma Head – Technical Services Delivery Director, HS2 Ltd



Thank you for coming and if you have any questions, please send them to Jen Ablitt (Jen.Ablitt@orr.gov.uk)

