

	<b>RSD Internal Guidance</b>	<b>RIG-2018-02</b>	
<i>Inspection Toolkit for Management of Change</i>			
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<b>RIG postholder / owner</b>		Ian Raxton	
<b>RIG cleared by</b>		Jen Ablitt	
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<b>Keywords</b>	RM3; Change Management; human factors; inspection toolkit		
<b>Summary</b>	This RIG sets out ORR's guidance and toolkit on the inspection of Change Management in duty holders and sets this in the context of RM3.		
<b>Original consultation</b>	Claire Dickinson; Jerry Mawhood; Martin Jones; Paul Appleton; Tom Wake; Jen Ablitt; David Whitmarsh; Matthew McNeal; Neil Anderson and Matt Farrell		
<b>Subsequent consultation</b> (reviews only)			

**Detail**

It is important that changes of all kinds within organisations are properly planned, that risks are assessed and that consequences are analysed and acted upon. It is essential that organisations take a systematic approach to the management of change and management of change is a key risk control system within any health and safety management system.

In addition to the general legal duties from HSWA, there are the directly applicable duties arising from the Common Safety Method for Risk Evaluation and Assessment (CSM RA).

The CSM RA applies when any technical, operational or organisation change is being proposed to the railway system. A person making the change (known as 'the proposer') needs to firstly consider if a change has a significant impact on safety. If there is no impact on safety, the risk management process in the CSM RA need not be applied and the proposer must keep a record of how it arrived at its decision. The Proposer will normally be a Railway Undertaking or ECM, though in some circumstances it may be a 3<sup>rd</sup> party proposing a change or a manufacturer placing equipment on the market.

Inspectors are directed to the MHSW regulations on risk assessment, information for employees, and in particular Regulation 13 on capabilities and training. Regulation 13(2)(b) requires adequate health and safety training on being exposed to new or increased risks:

- on being transferred or given a change of responsibilities;
- on the introduction of new or changed work equipment or
- on the introduction of new technology, or
- the introduction of a new system of work or a change respecting a system of work already in use within the employee's undertaking.

The training should be adapted to take account of any new or changed risks in the health and safety of the employees concerned and take place during working hours.

Legal provisions in the CDM, ROGS, PUWER, and DSE regulations are also likely to be relevant. The arrangements for managing change are expected to be set out in the safety management system of railway duty holders.

ROGS Regulations 8 and 11 set out the requirements for an amended safety certificate/authorisation in the event of substantial change. Regulation 13 requires the holder of a safety certificate or safety authorisation to notify ORR of any major changes, including how they now meet the requirements of the safety management system or any requirements that are necessary for the safe design, maintenance and operation of the infrastructure or when new operations or vehicles are first introduced.

RM3 recognises the importance of change management as a risk control system in criterion RCS 3 and the descriptors indicate how we can recognise excellence within that area. It is also possible to make an assessment of the overall management capability of an organisation using management of change as an example. That is the purpose of this inspection protocol.

The table at Appendix 1 forms the protocol for an inspection of management of change as a risk control system within RM3. The protocol will allow inspectors to make judgements about the maturity level of the organisation's change management process, RCS3, but also provide information on the overall maturity of the management system within the organisation using change management as an example.

ORR has an existing Management of Change Inspection Toolkit, which is an essential reference point for inspectors carrying out an inspection of management of change. The toolkit has been up-dated to better reflect the wide range of change contexts: introduction of new equipment, organisational change, process or procedural change. The toolkit is attached as Appendix 2.

The toolkit recognises the importance of planning and appraisal of risks before, during and after the change process and the need to monitor and appraise the change. The before phase includes the planning, development of an alternative operational concept, design and other preparatory activities. Monitoring serves as a check that preparatory planning and design has worked as expected or to identify further actions that need to be taken to ensure effective control post-change. The toolkit is intended to guide inspectors on potential areas for inspection, and not to be an exhaustive checklist to be rigidly followed.

Appendix 3 is intended to be printed as a short two page aide-memoire for inspectors.

There is substantive further information available on change management, a list of some relevant information is shown at the end of this document.

**Appendix 1 – RM3 Criteria relevant to inspection of Management of Change**  
**The Inspection and [RM3 Change Management Inspection Protocol and Report Matrix](#)**

RM3 Criterion	Areas to cover and Example Questions	
SP1 – Leadership	<ul style="list-style-type: none"> <li>• How do leaders within the organisation ensure that change is managed successfully?</li> <li>• Are leaders identified for changes within the organisation?</li> <li>• Do leaders inspire confidence and commitment to guide staff through changes?</li> </ul>	
SP2 – Safety Policy	<ul style="list-style-type: none"> <li>• Is there an effective policy for the management of change and an effective management system to make it work?</li> <li>• Is there a policy on managing change?</li> <li>• Does the policy define change and does the definition cover all types of change within an organisation?</li> <li>• Are staff aware of the policy?</li> <li>• Is the policy implemented?</li> <li>• Does the policy include the need for a plan for changes?</li> </ul>	
SP3 – Board Governance	<ul style="list-style-type: none"> <li>• Is management of change recognised as an essential part of the board governance arrangements?</li> <li>• How is the organisational change process and the outcomes of changes reported to the board?</li> <li>• Does the board effectively review the information it receives on change management?</li> <li>• Is there someone who can provide an independent challenge function (e.g. non-executive director)?</li> </ul>	
SP4 – Written Safety Management System	<ul style="list-style-type: none"> <li>• Is management of change included in the written SMS? (Note – this is required by ROGs Schedule 1, 2(D)).</li> <li>• Are they doing what they say they are doing in the ROGs SMS?</li> </ul>	
OC1 – Allocation of Responsibilities	<ul style="list-style-type: none"> <li>• Are roles and responsibilities within the change management system clearly allocated and accepted?</li> <li>• Does the system recognise that there may be temporary responsibilities created during the change process?</li> <li>• Are these temporary responsibilities allocated and understood?</li> </ul>	
OC2 – Management and Supervisory Accountability	<ul style="list-style-type: none"> <li>• Are staff adequately held responsible for their responsibilities within the change management system?</li> <li>• Does this include temporary responsibilities in the transition phase?</li> </ul>	

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RM3 Criterion	Areas to cover and Example Questions	
OC3 – Organisational Structure	<ul style="list-style-type: none"> <li>• Are changes to organisational structure recognised as part of the change process?</li> </ul>	
OC4 – Internal Communication Arrangements	<ul style="list-style-type: none"> <li>• Are the objectives of change clearly communicated?</li> <li>• Do staff understand the change plan and how it impacts on their role?</li> </ul>	
OC5 – System Safety and Interface Arrangements	<ul style="list-style-type: none"> <li>• Does the management of change process adequately cover interfaces with other organisations?</li> <li>• Are interfaces identified as part of the change management process?</li> <li>• How are these managed?</li> <li>• Are communications across interfaces adequate to allow management of changes?</li> </ul>	
OC7 – Record-keeping, Document Control and Knowledge Management	<ul style="list-style-type: none"> <li>• Are adequate records kept of the change process?</li> <li>• Is there an issues log kept during the transition phase and is it up to date?</li> <li>• Are changes to record-keeping and document control systems recognised as change within the change management process?</li> </ul>	
OP1 – Worker involvement and internal co-operation	<ul style="list-style-type: none"> <li>• Does the change management system ensure adequate staff involvement throughout the process?</li> <li>• Are staff consulted on changes before, during and after implementation?</li> <li>• Do staff understand the need for change?</li> <li>• Are staff involved in the process for devising workplace solutions?</li> </ul>	
OP2 – Competence Management System	<ul style="list-style-type: none"> <li>• Are new/changed competence requirements identified and implemented as part of the change management system?</li> <li>• Are staff trained to operate the change management system?</li> <li>• Are training and competence requirements included in the change plans for transitional and end point stages?</li> <li>• Is it recognised that changes may require additional competence checks for new/changed roles?</li> </ul>	
PI1 – Risk Assessment and Management	<ul style="list-style-type: none"> <li>• See inspection toolkit (Risk Management Transition Phase and Risk management End Phase)</li> </ul>	

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RM3 Criterion	Areas to cover and Example Questions	
PI2 – Objective/target Setting	<ul style="list-style-type: none"> <li>• Are key performance indicators set to track the changes?</li> <li>• Are the key performance indicators suitable (critical and vulnerable indicators and a mix of activity and outcome indicators)?</li> </ul>	
PI3 – Workload Planning	<ul style="list-style-type: none"> <li>• Are changes to workload included in the change management system?</li> <li>• Are temporary changes to workload during the transition phase recognised?</li> <li>• Are workload changes that may lead to overloading included in the risk assessments of transitional and end phases?</li> </ul>	
RCS 1 – Safe Systems of Work	<ul style="list-style-type: none"> <li>• Are safe systems of work affected by change identified in advance of the change?</li> <li>• Are changes to safe systems of work due to change (either during the transitional or end phase) prepared in advance and briefed out sufficiently to those undertaking the work?</li> <li>• Is there a safe system of work for stopping the change if this becomes necessary due to circumstances?</li> </ul>	
RCS 2 – Management of Assets	<ul style="list-style-type: none"> <li>• Are changes to asset management regimes (longer times between inspections, different inspection techniques etc.) included in the change management system?</li> </ul>	
RCS 3 – Change Management	<ul style="list-style-type: none"> <li>• See Inspection toolkit (all of it)</li> </ul>	
RCS 4 – Control of Contractors	<ul style="list-style-type: none"> <li>• Are interfaces with contractors assessed as part of the change process?</li> </ul>	
RCS 5 – Emergency Planning	<ul style="list-style-type: none"> <li>• Are there procedures in place for emergency situations arising during the change process?</li> <li>• Are emergency situations arising from the change identified and is there a response plan in place?</li> </ul>	
MRA 1 – Proactive Monitoring Arrangements	<ul style="list-style-type: none"> <li>• Have the planned outcomes of the change been achieved?</li> <li>• Is progress monitored during the transition and end phase to make sure that the process for change implementation is on track?</li> </ul>	
MRA 2 – Audit	<ul style="list-style-type: none"> <li>• Is the management of change process subject to audits as part of the organisation’s audit programme?</li> <li>• Are the audit results satisfactory?</li> <li>• Does the audit include outcomes as well as process?</li> </ul>	

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RM3 Criterion	Areas to cover and Example Questions	
MRA 3 – Incident Investigation	<ul style="list-style-type: none"> <li>• Does the change management system include provision for investigation where things have not gone to plan during the transition or end phase?</li> <li>• Are there examples of this having been done?</li> </ul>	
MRA 4 – Management Review	<ul style="list-style-type: none"> <li>• Is there a formal post-change evaluation to assist future changes and build corporate memory?</li> <li>• Do reviews include all relevant documents (issues logs, documented decisions etc) to ensure lessons are learned?</li> <li>• Is there a check that the change has been carried out safely and efficiently?</li> </ul>	
MRA 5 - Corrective Action	<ul style="list-style-type: none"> <li>• Is there a process for checking corrective actions generated from audits, investigations and reviews?</li> <li>• Are corrective actions SMART?</li> <li>• Are corrective actions followed through to completion?</li> </ul>	

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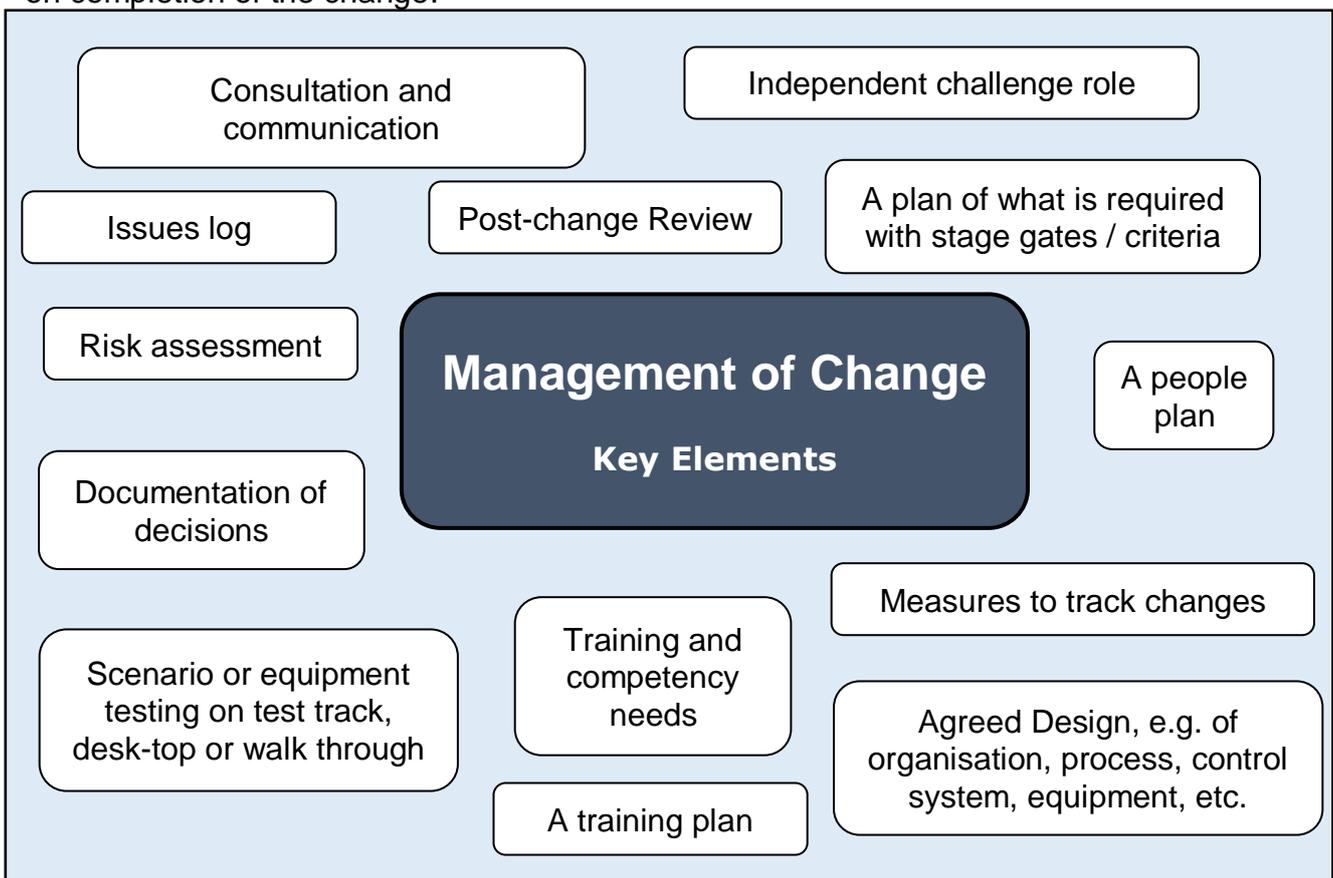
Appendix 2 – Management of Change Inspection Toolkit

# Management of Change Inspection Toolkit v3

The purpose of this toolkit is to assist inspectors in ensuring that any change process is carried out in a safe and effective manner. Change processes need not be bureaucratic, rather they should be planned, risk assessed, proportionate and be fit for purpose. It is appropriate that changes affecting safety critical work be subjected to rigorous inspection processes.

It is crucial to have an overall plan. From this it is likely that further more detailed or specific plans will be developed, for example the various phases of consultation to form an operational concept, a design specification and various plans on how this will developed and then how the works will be implemented. The plans must include a recognition of the impact on people and any additional information needs or training. A change ought to be planned systematically. There should be a programme for the change with stage gates with associated decision criteria to inform steps such as the “go live” date set when all are ready to make the transition. People should not be in a situation where they “muddle through” and are not confident or competent in safety critical tasks, operating new equipment, trains or control systems. If in the event of NO PLAN, then Inspectors need to ensure that plans are prepared before the intervention or re-visit can be made.

Those affected by the change need to be involved and a systematic appraisal of the risks to health and safety *before, during and following* the change. In line with the duties in the Management of Health and Safety at Work Regulations, particularly Schedule 1, any change should be planned to design out risks where possible, with mitigation of any risks that cannot be avoided, to ensure an appropriate level of safety is maintained during and on completion of the change.



**DESIGN & PLANNING PHASE**

The duty-holder should have a comprehensive plan to manage the change which states what should be achieved by the change and how it should be carried out. In the event of there being **NO PLAN**, then Inspectors need to ensure that plans are prepared before the intervention or a re-visit can be made. All risks to the success of the change should be considered, it is essential that health and safety risks are clearly identified. These may be health and safety hazards or delivery or operational performance issues that may result in indirect safety implications. The plan should clearly state who has responsibility for the change and what the scope of the change and the degree of their authority is. For construction projects, CDM requirements will require the identification of the Principal Designer etc.



<b>Guide questions</b>	<p><b>General Change Management</b></p> <ol style="list-style-type: none"> <li>1. Is the overall change owner identified?</li> <li>2. Is the objective of the change clearly communicated?</li> <li>3. Does the company have an overall plan outlining how the change will be achieved?</li> <li>4. Have feasibility studies, including scenario testing, been carried out?</li> <li>5. Does the plan identify clear goals and timescales, as well as outline the owners for each action?</li> <li>6. Have the various affected interested parties signed off the design? (e.g. Operations and Maintenance receiving new infrastructure.)</li> <li>7. Does the plan identify any training, consultation or briefing requirements and are there plans in place to deliver these?</li> <li>8. Is the change adequately scoped and resourced?</li> <li>9. Is the timetable reasonable? Is there slack built in and room for extension if necessary?</li> <li>10. Is there a go live date? Sensible? Are there criteria for "go-live"?</li> </ol>
	<p><b>Organisational Change</b></p> <p>Is there a people plan? Covering before and after the change, number of people, their organisation, their roles and activities?</p>
	<p><b>Process or Procedural Change</b></p> <p>Are the right people involved in defining the proposed new way of working? Is it realistic and viable? Are additional, emerging risks being identified and logged? Does the plan include consultation arrangements? Do people understand their changed roles, responsibilities and accountability? Are they motivated and capable of delivering the anticipated changed task performance?</p>
	<p><b>Introduction of New Equipment or Technology</b></p> <p>Does the plan identify the key changes to existing equipment and implications to people? Are human factors considerations appropriately integrated throughout the change management process? Are the effects on other systems and duty holders identified? (See <a href="http://orr.gov.uk/_data/assets/pdf_file/0011/22160/human-factors-integration-orr-evidence-principles.pdf">http://orr.gov.uk/_data/assets/pdf_file/0011/22160/human-factors-integration-orr-evidence-principles.pdf</a>)</p>

Examples of Satisfactory Evidence	Examples of Unsatisfactory Evidence
<ul style="list-style-type: none"> <li>☺ A written procedure/ business standard for management of change</li> <li>☺ Written plans address people/ task/ organisational states before and after the change</li> <li>☺ Plan considers changes to task, workload, mental models of how processes work</li> </ul>	<ul style="list-style-type: none"> <li>☹ Plan is unrealistic e.g. over-ambitious timetable without scope for extension</li> <li>☹ Management and/or staff don't understand the need for the change</li> <li>☹ Staff unclear on what is happening or when</li> <li>☹ No written procedure/ business standard to outline change</li> <li>☹ Going live before sufficiently prepared</li> </ul>

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<p>☺ Discussion with front line staff reveals their understanding of the change, why it is happening, and how safety is being managed during and after the change</p> <p>☺ Split into manageable chunks (whether sequential or simultaneous)</p>	<p>☺ Unable to stop change process before ready</p> <p>☺ Resource levels insufficient</p>
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**RISK MANAGEMENT  
Transition Phase**

The purpose of transition risk management is to ensure that any risks encountered during the process of the change are adequately controlled – it can be easy to focus solely on the end point and the improvements from the modifications and forget about the risks introduced while reaching this end point. For these risks to be controlled there needs to be an understanding of the steps required for the change to be affected and any interim steps in this process. This transition phase should be planned, the risks assessed and appropriate mitigation and management actions put in place. In particular attention should be paid to the impact of stress on the change, as morale may be lower, and the issues of competence, work planning and clarity of roles may be compromised.



**Guide questions**

1. Has the company identified the hazards, considered who is affected & what actions are required to safely manage the risks in the interim?
2. Is the timetable achievable? Are any external pressures acting on the project and pushing change forward? Has the organisation thought about how these are managed?
3. Will the transition lead to any changes in existing controls? Has refresher training been given if old systems need to be used in the interim?
4. Has the transition phase introduced any changes to staff, including:
  - Training and competence;
  - Supervision;
  - Morale and motivation.
 Have appropriate control measures been identified and adopted?
5. During this transition phase additional tasks may be required. Have these been identified? Are staff aware of the changes and prepared for dealing with these eventualities?
6. Have a range of scenarios been considered? Including degraded, abnormal and emergency situations arising during the transition.
7. Has best practice been identified, either internally or from elsewhere, and followed in terms of managing the risk during the transition? Have lessons from previous changes been taken into account to avoid previous pitfalls?

**Organisational Change**

Is there a people plan that identifies emergent risks during and after a change to the organisational structure? Are there means for reliable, accurate information flow, two-way communications and dispute resolution? Timing of implementing training and briefing – sensible and timely?

**Process or Procedural Change**

Is there a process for systematically capturing a profile of emergent risks? Is there an intention to do feasibility or user testing of the end state process or procedure?

**Introduction of New Equipment or Technology**

Is there a staged plan to test equipment on test tracks or rigs to iron out any emergent issues? Are simulators to be used?

**Examples of Satisfactory Evidence**

- ☺ Documented risk assessment for the transition phase
- ☺ Regularly updated issues log
- ☺ Training needs analysis for transition phase conducted
- ☺ Staff briefed about transition period
- ☺ Staff understand their role during the change

**Examples of Unsatisfactory Evidence**

- ☹ No evidence of risk assessment
- ☹ Evidence addresses normal operations only, not degraded, abnormal or emergency scenarios
- ☹ Follows format of previous change which was not ideal and lessons not learned
- ☹ Risk assessment fails to adequately identify all reasonable foreseeable hazards or fails

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<p>☺ Staff understand the safety controls relating to the transition phase (might be training records for interim measures)</p> <p>☺ Assessment of required supervision levels</p>	<p>to provide robust justification for proposed controls</p>
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**RISK MANAGEMENT**  
**End point**

This is the standard risk assessment that needs to be carried out for any operations within an organisation. It should be completed and agreed prior to the change, but should also be adapted as necessary as the change process develops. It should ensure that the change does not increase or introduce new risks to the organisation. New/ apparent risks should be adequately mitigated. There should be identification of adequate risk controls.



<b>Guide questions</b>	<ol style="list-style-type: none"> <li>1. Is there a process for carrying out risk assessment for significant change in the company?</li> <li>2. Is there a procedure or business standard for risk assessment? Does it include organisational/procedural changes?</li> <li>3. Is there a documented risk assessment for the change? Are control measures identified? Are assumptions justified and fully outlined? Does each risk have an identified owner and a timescale to deal with it?</li> <li>4. Does the risk assessment cover various operational states (e.g. normal operations, degraded, abnormal and emergency) and various operational scenarios?</li> <li>5. Is best practice followed?</li> <li>6. In the light of the change has the risk assessment been reviewed to ensure it is still valid?</li> <li>7. Are the risks demonstrably controlled to ensure safety SFAIRP?</li> </ol> <p><b>Organisational Change</b> Is there a people plan that shows mitigation or management of the emergent risks after a change to the organisational structure? Are there means for reliable, accurate information flow, two-way communications and dispute resolution? Timing of implementing training and briefing – sensible and timely?</p> <p><b>Process or Procedural Change</b> Is there a process for systematically mitigating or managing any emergent risks? Were further changes introduced properly following any feasibility or user testing?</p> <p><b>Introduction of New Equipment or Technology</b> Were further modifications or changes implemented and communicated following earlier assurance or user testing of the equipment or technology? Were training simulators updated with any modifications?</p>	
	<b>Examples of Satisfactory Evidence</b>	<b>Examples of Unsatisfactory Evidence</b>
	<ul style="list-style-type: none"> <li>☺ Comprehensive risk assessment, kept up to date in light of progress.</li> <li>☺ Staff understand the underlying reasons for change</li> <li>☺ Staff understand changes to safety for various operational states</li> <li>☺ Staff understand their roles after the change</li> <li>☺ Organisation has referred to best practice in developing process, solutions and risk assessment</li> </ul>	<ul style="list-style-type: none"> <li>☹ Risk assessment only covers normal operations, not degraded, abnormal or emergency scenarios</li> <li>☹ Assumptions in risk assessment are not justified</li> <li>☹ Control measures identified in risk assessment are not implemented</li> <li>☹ Risks not suitably controlled to ensure safety SFAIRP</li> <li>☹ Risk assessment is not reviewed and updated.</li> </ul>

**COMMUNICATIONS**

The purpose of communication is to ensure that those involved in the change, from the planning stages through to the final implementation, are consulted and communicated with. For risks to be adequately controlled full and open communication is essential – this includes all communications relating to the management of change from industrial relations issues through to communicating the roles, accountabilities and interfaces resulting from the change.



<b>Guide questions</b>	<ol style="list-style-type: none"> <li>1. Do staff understand the plan and how it impacts on their role? Have the details been explained and understood? Have the roles, accountabilities and interfaces been outlined?</li> <li>2. Have efforts been made to get shared involvement and staff buy-in to the process?</li> <li>3. For those impacted by the change, have they been appropriately consulted to ensure that the impacts of the change and safety critical activities are understood and acted on?</li> <li>4. Have Industrial Relations issues been addressed? Have efforts been made to ensure these issues don't affect risk?</li> <li>5. Do communication methods exist across boundaries and interfaces? Such as across different business units, contractor groups, change owners, duty holders and stakeholders?</li> <li>6. Have these methods of communication covered the transitional period of change?</li> </ol>	
	<p><b>Organisational Change</b> Is there a plan for communication of the change? How could this go wrong?</p>	
	<p><b>Process or Procedural Change</b> Is the delivery of information, training and communications accurate, reliable, viable, helpful and delivered at the appropriate time?</p>	
	<p><b>Introduction of New Equipment or Technology</b> Is the delivery of information, training and communications accurate, reliable, viable, helpful and delivered at the appropriate time?</p>	
	<b>Examples of Satisfactory Evidence</b>	<b>Examples of Unsatisfactory Evidence</b>
	<ul style="list-style-type: none"> <li>☺ Training records</li> <li>☺ Culture survey (improved results)</li> <li>☺ Production gains</li> <li>☺ Staff co-operating with management</li> <li>☺ Minutes of meetings outlining consultation with trade unions</li> <li>☺ Evidence of trade unions and management working together to affect change.</li> <li>☺ Fora exist for sharing information across all those involved in the change, including manufacturers, contractors and project managers.</li> </ul>	<ul style="list-style-type: none"> <li>☹ Increased staff turnover</li> <li>☹ Poor morale/ staff resentful of management</li> <li>☹ Staff unaware of the progress of the change</li> <li>☹ Increased incidents/near miss reports</li> <li>☹ Unexpected, impaired operational performance</li> <li>☹ Staff are uncooperative and not participating in the change process</li> </ul>

**MONITORING  
Transition**

The purpose of monitoring is to oversee the change to ensure progress against the plan is monitored, in particular during the transition phase and prior to 'launching the change'.



<b>Guide questions</b>	<ol style="list-style-type: none"> <li>1. Is progress against the plan monitored?</li> <li>2. Is there evidence that the plan is reviewed and updated to reflect this monitoring? E.g. is the rationale for key decisions written down?</li> <li>3. Does the organisation understand the importance of positioning for safety? For example what must be in place prior to launch versus those things that are not essential?</li> <li>4. Can change be safely stopped? Is there any evidence that they would do this?</li> <li>5. Is there someone who can provide an independent challenge function?</li> <li>6. Is there effective use of an issues log? All issues given proper consideration?</li> <li>7. The monitoring outcomes are being communicated to the affected parties in a timely and effective manner?</li> </ol> <p><b>Organisational Change</b> Is there a positive mood or disruptive, chaotic situation. Are people being tolerant and supportive or unwilling to adopt the change?</p> <p><b>Process or Procedural Change</b> Have KPIs or measures been defined? Is feedback being sought?</p> <p><b>Introduction of New Equipment or Technology</b> Have KPIs or measures been defined? Are communication channels working?</p>	
	<b>Examples of Satisfactory Evidence</b>	<b>Examples of Unsatisfactory Evidence</b>
<ul style="list-style-type: none"> <li>☺ Staff can give an update on the progress of the change process</li> <li>☺ Issues log being used and is up to date</li> <li>☺ Evidence that the plan has been adapted where necessary</li> <li>☺ Go live meeting – between change owner and operator, to confirm ready to go live.</li> </ul>	<ul style="list-style-type: none"> <li>☹ Evidence that not all essential aspects are in place before a change takes place</li> <li>☹ Issues log not actively used, out of date</li> <li>☹ No clear central point for monitoring progress e.g. to provide update many people or many documents must be consulted</li> </ul>	

**MONITORING  
Evaluation**

It is essential that the organisation has identified the critical steps in the change process that must be in place for change to be finalised e.g. all staff must be trained and competent, equipment tested etc.



**Guide questions**

1. Has the change been carried out correctly and safely?
2. Have the planned outcomes been achieved?
3. Has a formal post change evaluation been done to assist future changes and build corporate memory? Are all key documents reviewed, including issues log and documented decisions to ensure lessons are learned?
4. Any Key Performance Indicators (KPIs) or other measures used to track the changes?
5. Has an end of change review confirmed that all risk and other logged issues have either been closed out, or have been translated into follow up actions for identified parties who have acknowledged responsibility?

**Organisational Change**

Is there a positive mood or disruptive, chaotic situation. Are people being tolerant and supportive or unwilling to adopt the change?

**Process or Procedural Change**

Have KPIs or measures been defined? Is feedback being sought?

**Introduction of New Equipment or Technology**

Have KPIs or measures been defined? Are communication channels working?

**Examples of Satisfactory Evidence**

- ☺ Culture survey (improved results)
- ☺ Production gains
- ☺ Change achieved what was intended
- ☺ Staff at all levels involved in a change evaluation
- ☺ Written records of change evaluation
- ☺ Safety issues demonstrably resolved
- ☺ Close out meeting taken place
- ☺ Project review meeting taken place

**Examples of Unsatisfactory Evidence**

- ☹ What has happened is different to original aims
- ☹ Staff don't feel able to contribute to change evaluation
- ☹ Some issues on issues log not considered seriously
- ☹ Most issues on issues log not closed out

NOT PROTECTIVELY MARKED

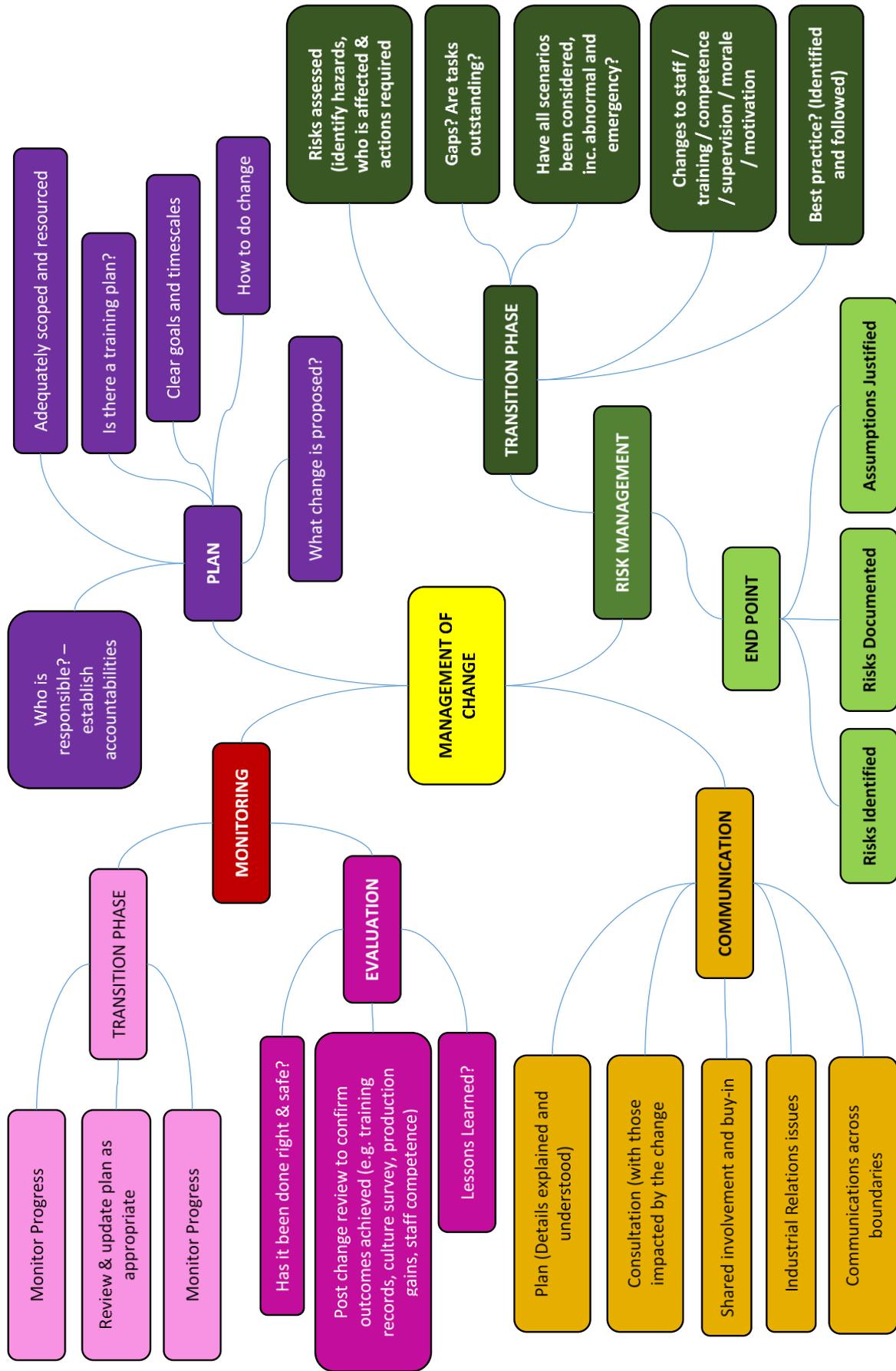
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Appendix 3 – Inspectors Aide Memoire

**Is change management an issue?**

Is the change process carried out in a safe and effective manner? Are those impacted by the change involved and is an honest appraisal made of the risks to safety both during and following the change?

<b>Does the process consider if:</b>	<input checked="" type="checkbox"/>
1. The plan is adequately scoped and resourced?	<input type="checkbox"/>
2. There are sufficient numbers of people?	<input type="checkbox"/>
3. There are adequate levels of supervision?	<input type="checkbox"/>
4. Staff are trained and competent?	<input type="checkbox"/>
5. Staff are motivated and morale is high?	<input type="checkbox"/>
6. There is (over) reliance on contractors? Are they monitored, supervised, work safely etc.?	<input type="checkbox"/>
7. The need for the change is communicated to all involved?	<input type="checkbox"/>
8. Progress and timescales are understood by all those involved?	<input type="checkbox"/>
9. Risk assessment is carried out, for various situations including normal, abnormal, degraded & emergency conditions?	<input type="checkbox"/>
10. There is a change owner to drive changes with commitment and authority?	<input type="checkbox"/>
11. The risk controls are adequate and effective? (e.g. supervision, permits to work)	<input type="checkbox"/>
12. Various problems been anticipated? (and risk management and mitigation measures identified)	<input type="checkbox"/>
13. Mechanisms are in place to ensure that lessons learned following change are learned, e.g. issues log, key decisions review etc.?	<input type="checkbox"/>



**Associated reference information sources**

1. ORR RM3 Page - <http://orr.gov.uk/rail/health-and-safety/health-and-safety-strategy/risk-management-maturity-model-rm3>
2. ORR general risk page - <http://orr.gov.uk/rail/publications/guidance/health-and-safety/risk-management>
3. RSSB's risk analysis page - <https://www.rssb.co.uk/risk-analysis-and-safety-reporting/risk-analysis>
4. [Change management content on ORRganise](#)
5. [Presentation on change management](#)
6. [ACOC/ACOP/EC/01006 Approved Code of Practice Management of Rail Vehicle Engineering Change, Issue 3.5, Aug 2015.](#)
7. [CIPD Change Management Guidance](#)
8. [Top 20 Change Management Mistakes](#)
9. [RSSB RS800 Managing drivers on routes undergoing significant change. Issue 1, Nov 2015](#)
10. HSE Human factors briefing note, [www.hse.gov.uk/humanfactors/topics/11orgchange.pdf](http://www.hse.gov.uk/humanfactors/topics/11orgchange.pdf)
11. [Common Safety method on risk evaluation and assessment 402/2013](#)
12. Common Safety Method for Risk Evaluation and Assessment – Guidance on the application of Commission Regulation (EU) 401/2013, ORR  
***[location of updated document to be confirmed]***