The ORR railway management maturity model and its use in benchmarking safety and securing continued improvement

Iain Ferguson
International Railway Safety Conference
Hong Kong
2010
• Our Corporate Strategy
• How we get our information
• How we evaluate what we see
• What excellence looks like
• Industry response
Our Corporate Strategy

Safety management System

- Inspection

Promoting safety and value in Britain’s railways

Our strategy for 2009-14

Safety Climate Surveys (Industry led)

- Our Corporate Strategy
- How we get our information
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How we get our information

We define what we expect from an excellent SMS and how we evaluate whether a dutyholder's SMS is progressing towards it.

Elements for exploration are defined and incorporated into assignment or audit protocols.

Information gained from activities evaluated to determine duty holder performance against each element of the model;

- Inspection, investigations and audits explore the management system elements;
  - Incidents and failures to deliver performance objectives
  - Complaints
  - Risk control system review (topic strategy)
  - Safety verification activity
  - Duty holder audit reports
  - Top down SMS reviews
  - Corrective Action Monitoring

Subsequent regulatory activity determined by the findings or elements not covered.

We define what we expect from an excellent SMS and how we evaluate whether a dutyholder’s SMS is progressing towards it.

- Railway management maturity model
  - Wider intelligence
    - RAIB reports
    - Formal Inquiries

- Duty holder SMS
  - Reactive Inspection
  - Proactive Inspection
  - Audit

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How we evaluate what we see

- Element (HSG 65 derived):
  - Sub-element
    - 5 stages for each sub element:
      - Excellent
      - Proactive/Continual Improvement
      - Predictable
        - Delivery can be predicted by management system
        - Variation and change is controlled
      - Standardised
        - Good practice synthesised into standard processes
      - Managed
        - Local groups are managed to ensure repeatable performance BUT
          - Each work group performs similar tasks differently
      - Initial – ad hoc
        - Ad hoc and uncoordinated
What excellence looks like

RM3 elements

RM3 Main Categories
- Policy
- Organising for Control and Communication
- Securing Cooperation and Competence
- Planning and Implementation
- Monitoring, Audit and Review

RM3

Corrective Action
Management Review
Incident Investigation
Audit
Proactive Monitoring
Emergency Planning
Control of Contractors
Change Management
Asset Management
Safe Systems
Workload Planning
Target Setting
Risk Management
Worker Involvement

Policy
Leadership
Governance
Written SMS
Organisational Structure
Allocation of Responsibilities
Management and Supervisory
Internal Communications
System Safety and Interface
Organisational Culture
Record Keeping
Competence Management

Achievement levels
- Ad hoc
- Managed
- Standardised
- Predictable
- Excellent

Key
- Dutyholder assessment 2010
- Dutyholder Target by end 2012/13
What excellence looks like:

Policies

• are forward-thinking
• are based on solid evidence of what is achievable.
• promote a consistent approach at all levels.

Leaders at all levels

• set and communicate clear direction
• reinforces a consistent approach
• reinforce the values, ethics and culture needed to meet objectives.

Governance arrangements ensure the organisation remains accountable for the health and safety of its workers and members of the public affected by their work.
What excellence looks like:

Excellent organisations:

- are structured to
  - aid implementation of the organisation’s policies into practice as efficiently as possible.
  - provide highly effective communications up, down and across the organisation.
  - the organisations activities ensure there is a clear understanding of how each person’s achieves the overall objectives.
  - provide the framework for using people, plant and processes successfully.

Achievement levels

- Ad hoc
- Managed
- Standardised
- Predictable
- Excellent

Key
- Dutyholder assessment 2010
- Dutyholder Target by end 2012/13
What excellence looks like:

Excellent organisations ensure that:

- the competencies (knowledge, skills, experience and abilities) needed to work effectively, efficiently and safely are understood by the organisation.
- employees are actively involved in developing processes and making the business successful and safe.
- recruitment, selection, training and continued development focus on meeting the organisation’s objectives.
What excellence looks like:

Excellent organisations ensure the systematic implementation of processes to make sure that the plant, people and processes are continually improving their effectiveness and efficiency to achieve the organisation’s objectives safely.
What excellence looks like:

Excellent organisations:

- Fully understand the risks of the organisation
- Monitor, audit and review the risk controls, based on the criticality and vulnerability of them
- Use appropriate monitoring at all levels
- Recruitment, selection, training and continued development focus on meeting the organisation’s objectives
- Review variations from expected outcomes
- Seek good practice from inside and outside of the organisation

Key:
- Dutyholder assessment 2010
- Dutyholder Target by end 2012/13
Industry Response

<table>
<thead>
<tr>
<th>It is about</th>
<th>It is not about</th>
</tr>
</thead>
<tbody>
<tr>
<td>trust</td>
<td>gold plating</td>
</tr>
<tr>
<td>people and behaviours</td>
<td>harming workers</td>
</tr>
<tr>
<td>legal compliance</td>
<td>having dissatisfied stakeholders</td>
</tr>
<tr>
<td>transparent reporting</td>
<td>blame</td>
</tr>
<tr>
<td>two-way communication</td>
<td>lots of paper</td>
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<tr>
<td>having a strong continuous improving learning culture</td>
<td>tick box audit</td>
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<tr>
<td>managing risks</td>
<td>inappropriate standards and procedures</td>
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<tr>
<td>doing things right the first time</td>
<td>paying less attention to contractor safety</td>
</tr>
<tr>
<td>making the most of everyone's capabilities</td>
<td>endless debate or complex processes</td>
</tr>
</tbody>
</table>
Industry Response

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Summary: Inspection and RM3

- Want industry to achieve and sustain excellence in risk control
- Need to establish a view on the capability of the management system to deliver this
- We have established evaluation criteria
- Information/evidence from a variety of sources informs our evaluation
- Not intended to label an organisation
  - Self evaluation
  - Challenging conversations between ORR & Duty-holders
  - We expect the written management arrangements to reflect what actually happens