

*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

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# Our Corporate Strategy



Safety Management System  
Inspection

- **Our Corporate Strategy**
- How we get our information
- How we evaluate what we see
- What excellence looks like
- Industry response

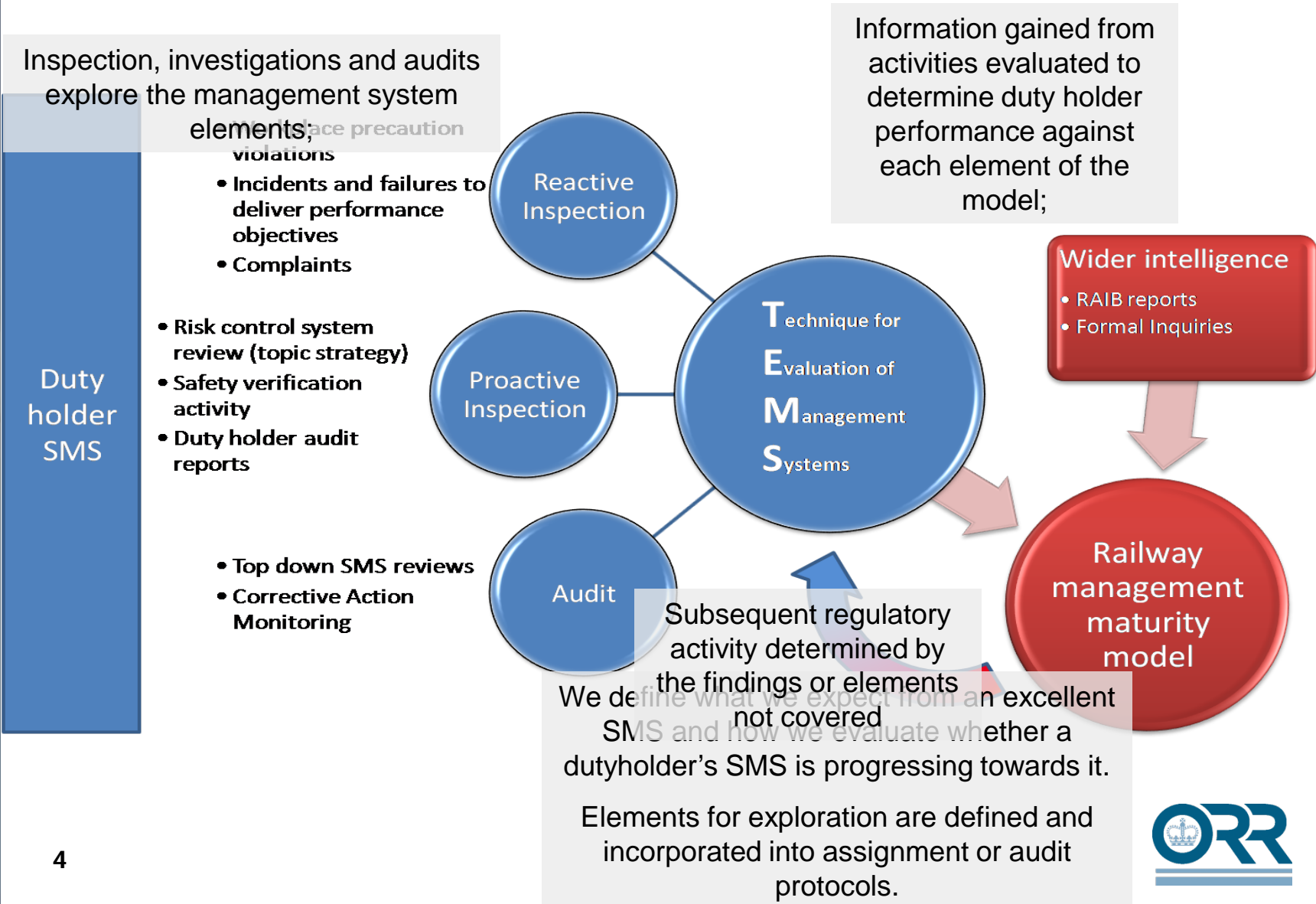
control system / workplace  
Inspections

Rate Surveys (Industry led)

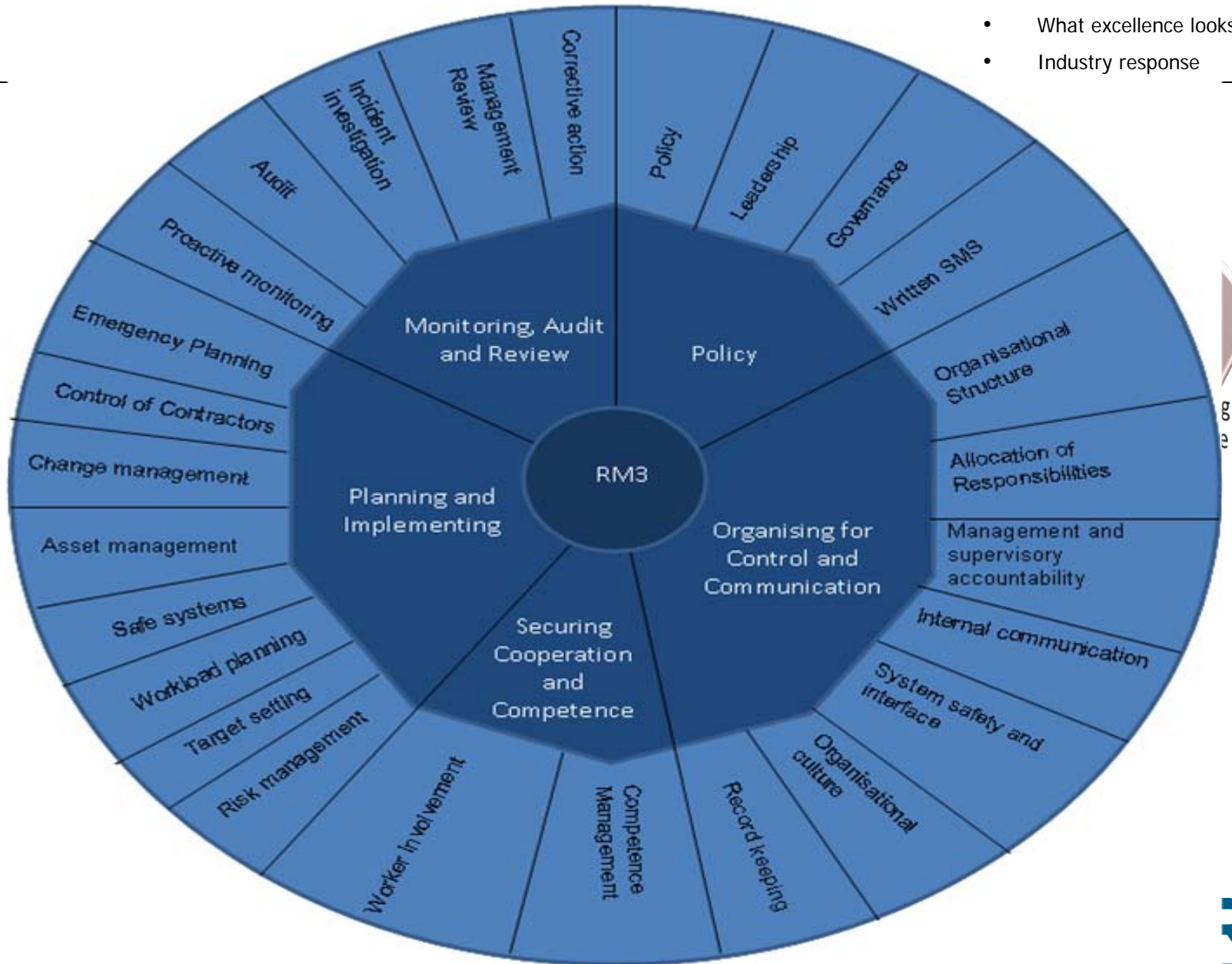


# How we get our information

- Our Corporate Strategy
- **How we get our information**
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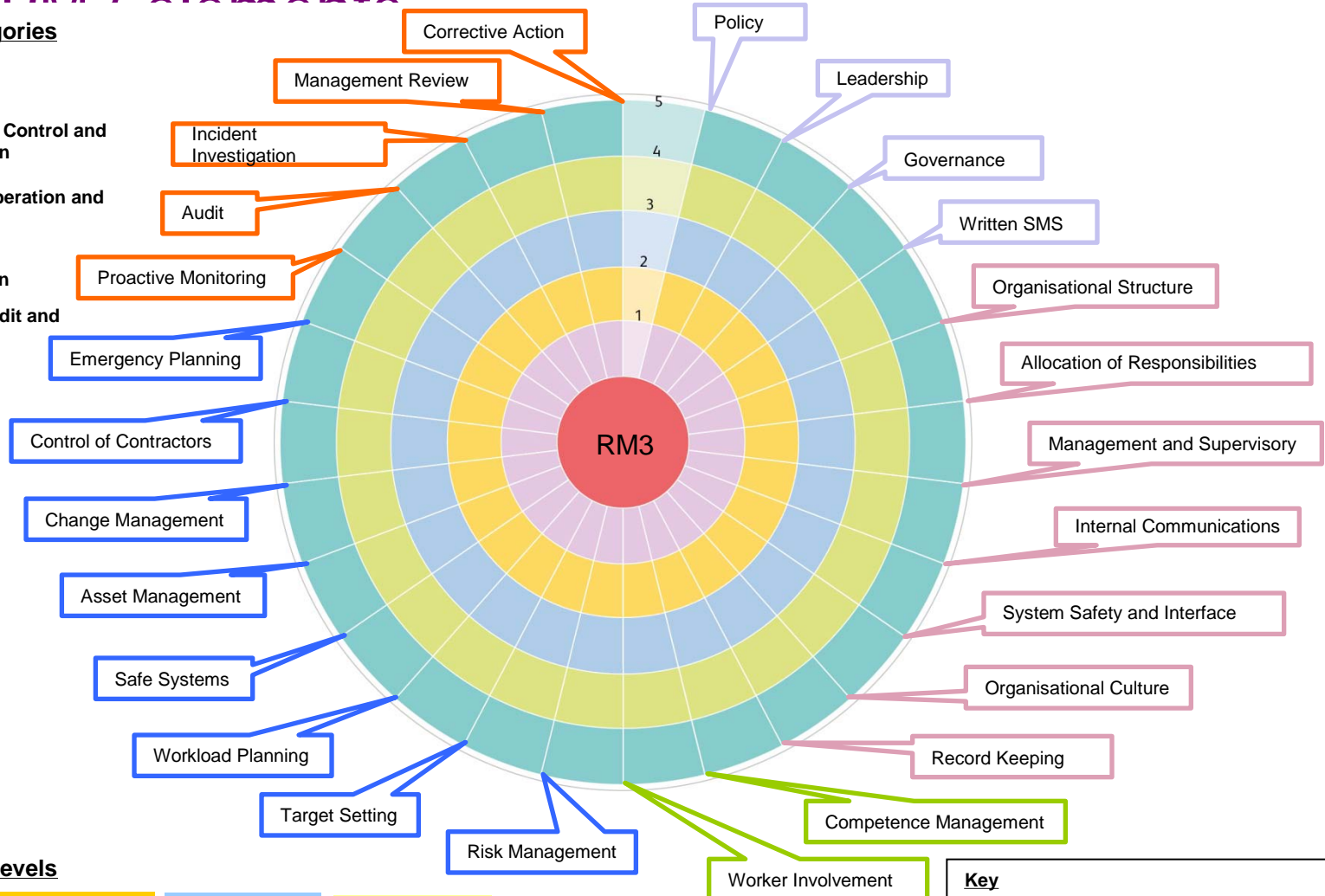
# What excellence looks like

- Our Corporate Strategy
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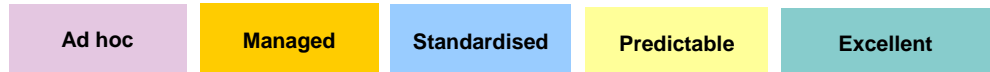
## RM3 elements

### RM<sup>3</sup> Main Categories

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



### Achievement levels



**Key**

- Dutyholder assessment 2010
- Dutyholder Target by end 2012/13

# What excellence looks like

- **Governance, Policy and Leadership;**
- Organising for delivery of control and communication;
- Cooperation, competence and development of employees at all levels;
- Planning and implementing risk controls
- Monitoring, review and audit

## 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.

### RM<sup>3</sup> Main Cat

- Policy
- Organising & Communication
- Securing Competence
- Planning and Implementation
- Monitoring, Review

### Achievement

Ad hoc

Managed

Standardised

Predictable

Excellent

— Dutyholder assessment 2010  
— Dutyholder Target by end 2012/13

# What excellence looks like

- Governance, Policy and Leadership;
- **Organising for delivery of control and communication;**
- Cooperation, competence and development of employees at all levels;
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## 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.

### RM<sup>3</sup> Main Gate

- Policy
- Organising for Communication
- Securing Core Competence
- Planning and Implementation
- Monitoring, Assessment and Review

### Achievement levels



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# What excellence looks like

- Governance, Policy and Leadership;
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- **Cooperation, competence and development of employees at all levels;**
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## Excellent organisations ensure that:

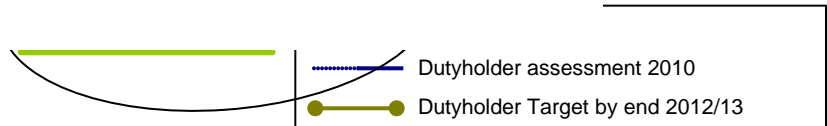
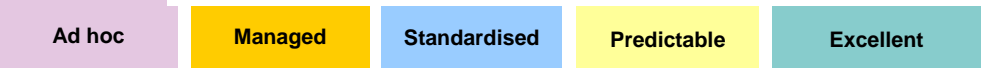
- the competencies (knowledge, skills, experience and abilities) needed to work effectively, efficiently and safely are understood by the organisation.
- employees are actively involved in developing processes and making the business successful and safe.
- recruitment, selection, training and continued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

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 supervisory  
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### RM<sup>3</sup> Main Cat

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### Achievemen



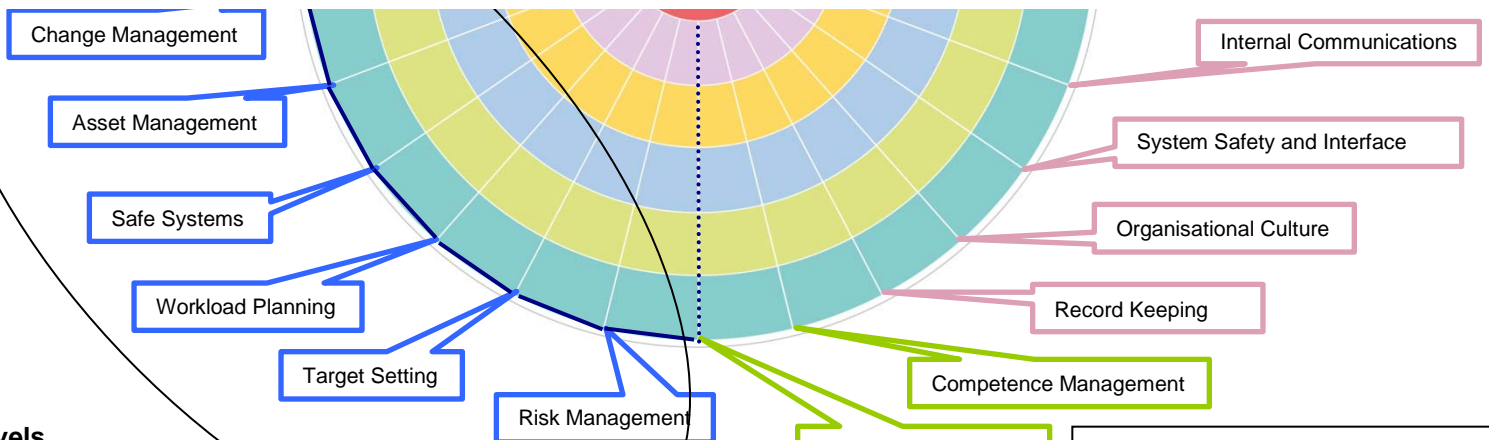
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- Governance, Policy and Leadership;
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- **Planning and implementing risk controls**
- Monitoring, review and audit

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**.

## RM<sup>3</sup> Main Categories

- Policy
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- Monitoring, Review



## Achievement levels



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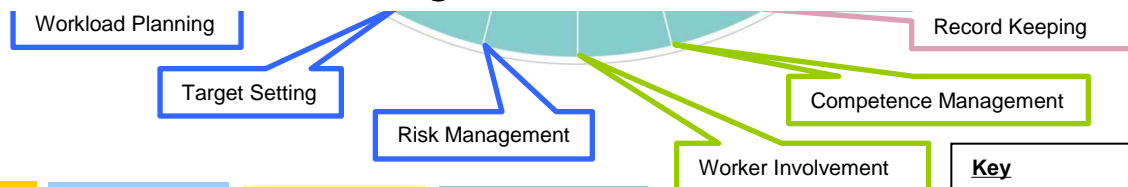
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- Planning and implementing risk controls
- **Monitoring, review and audit**

## 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

- [ ]
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### Achievement levels

Ad hoc	Managed	Standardised	Predictable	Excellent
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# Industry Response

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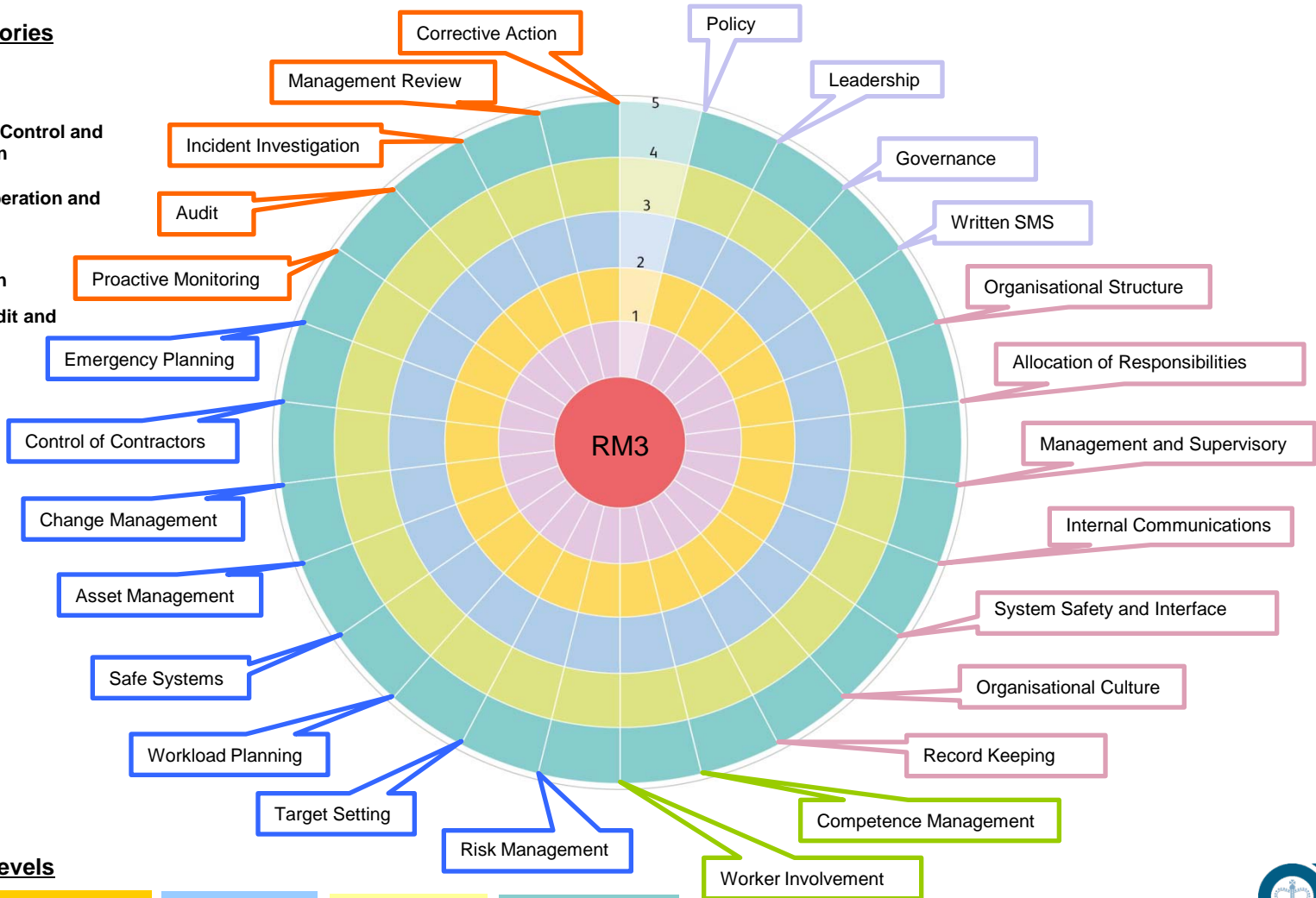
It is about	It is not about
trust	gold plating
people and behaviours	harming workers
legal compliance	having dissatisfied stakeholders
transparent reporting	blame
two-way communication	lots of paper
having a strong continuous improving learning culture	tick box audit
managing risks	inappropriate standards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

# Industry Response

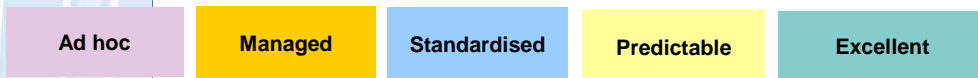
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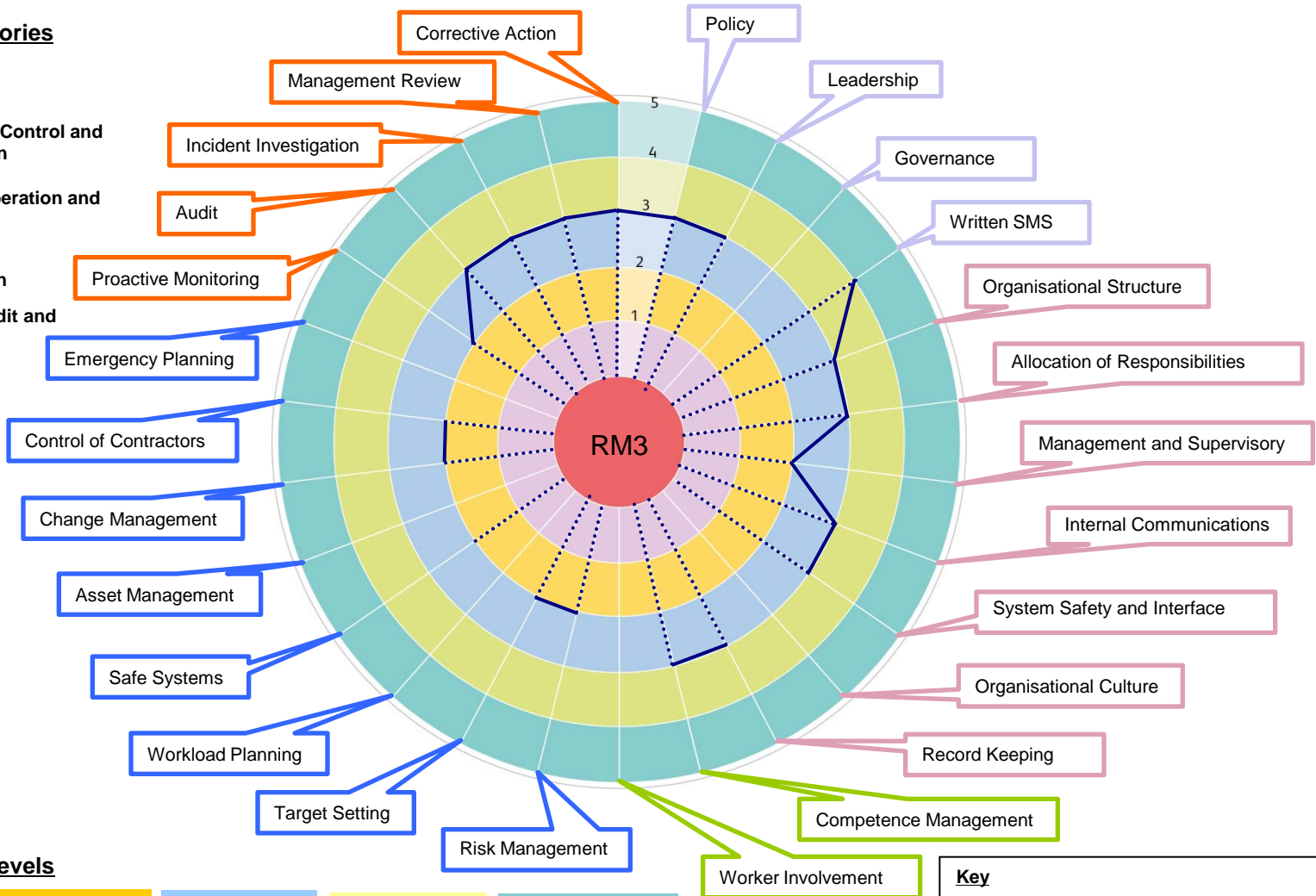


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## Achievement levels



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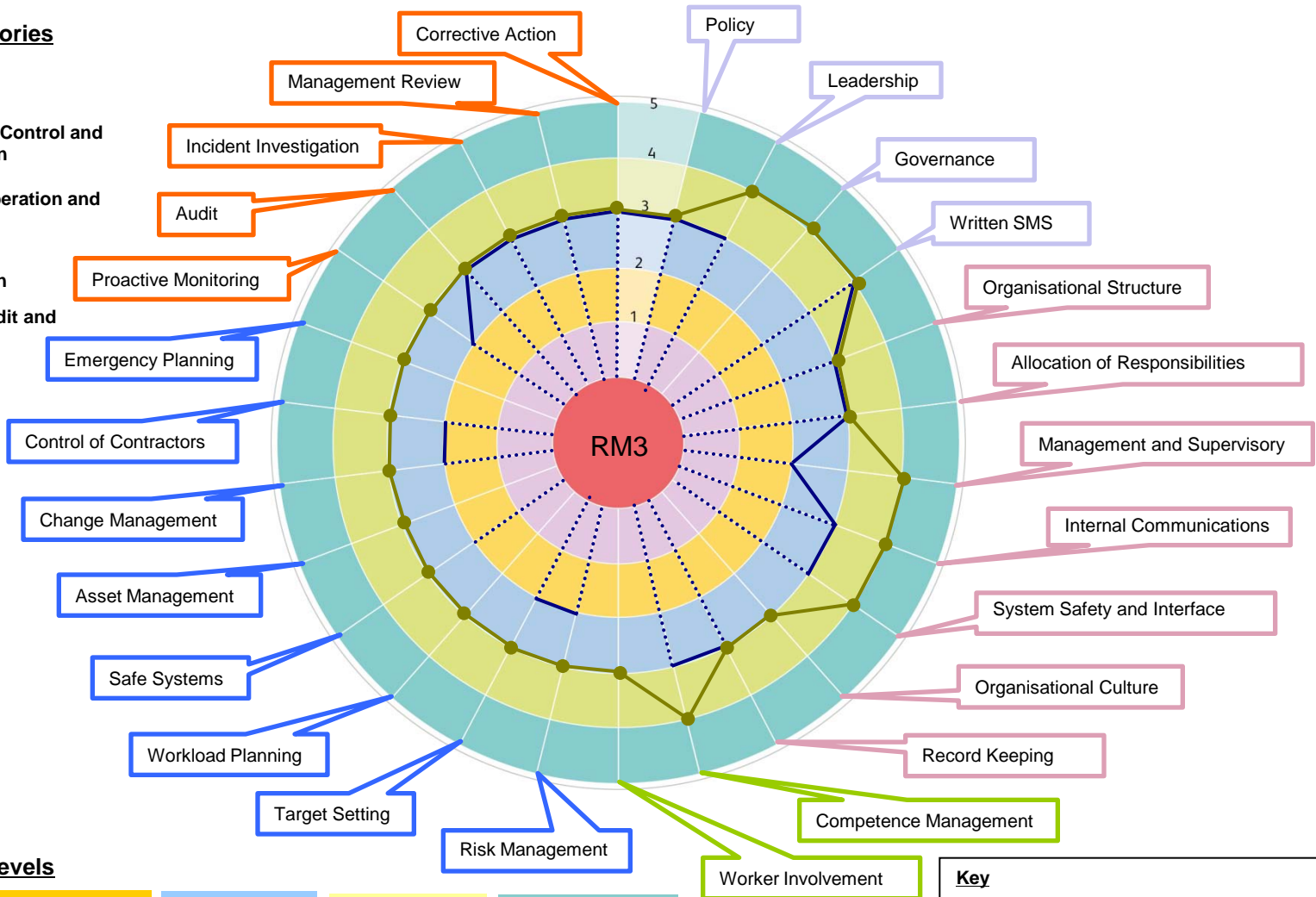


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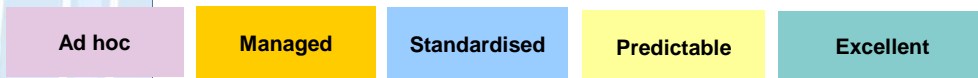
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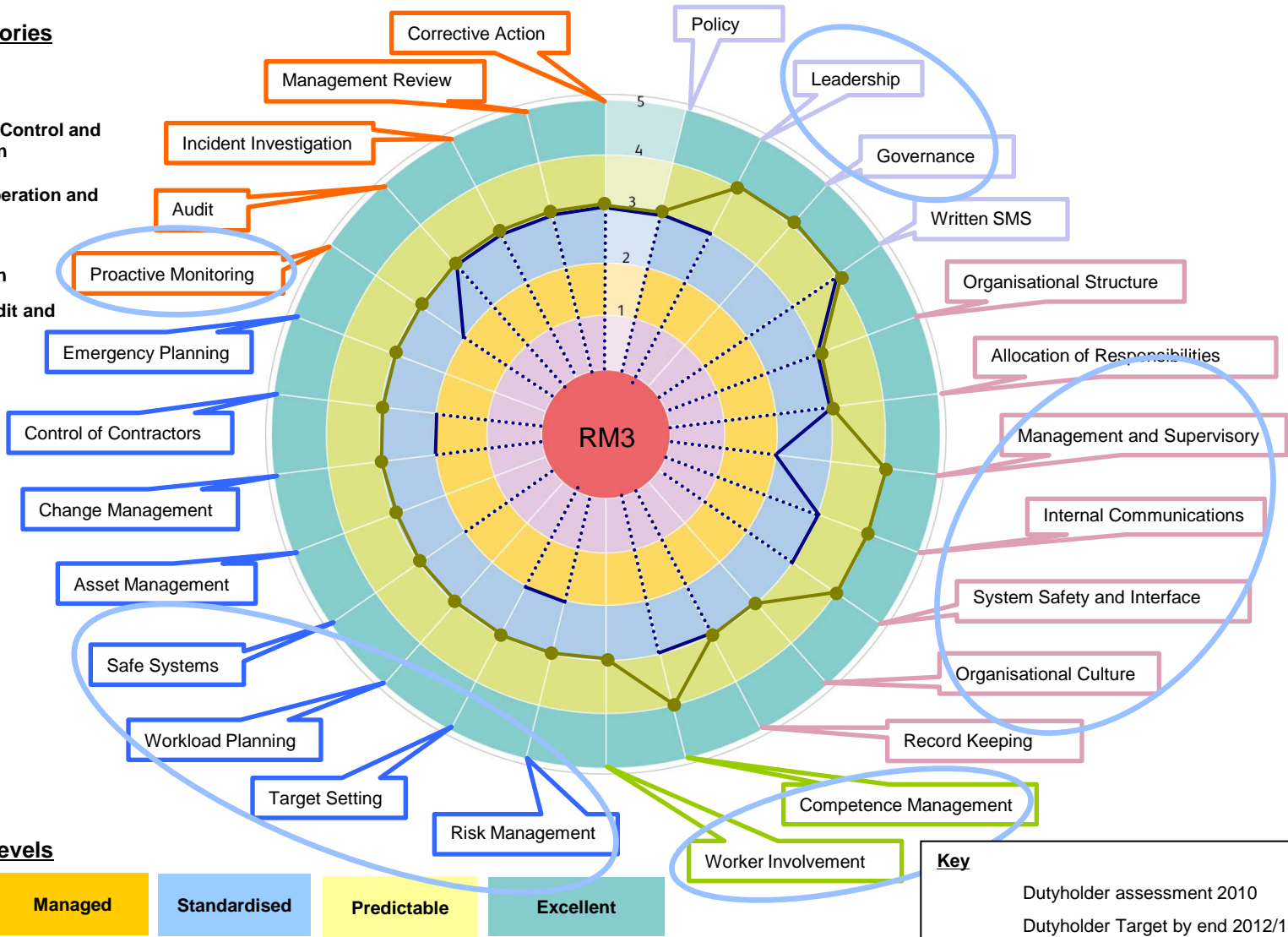
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## *Summary: Inspection and RM3*

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- 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