

ORR protects the interests of rail and road users, improving the safety, value and performance of railways and roads today and in the future



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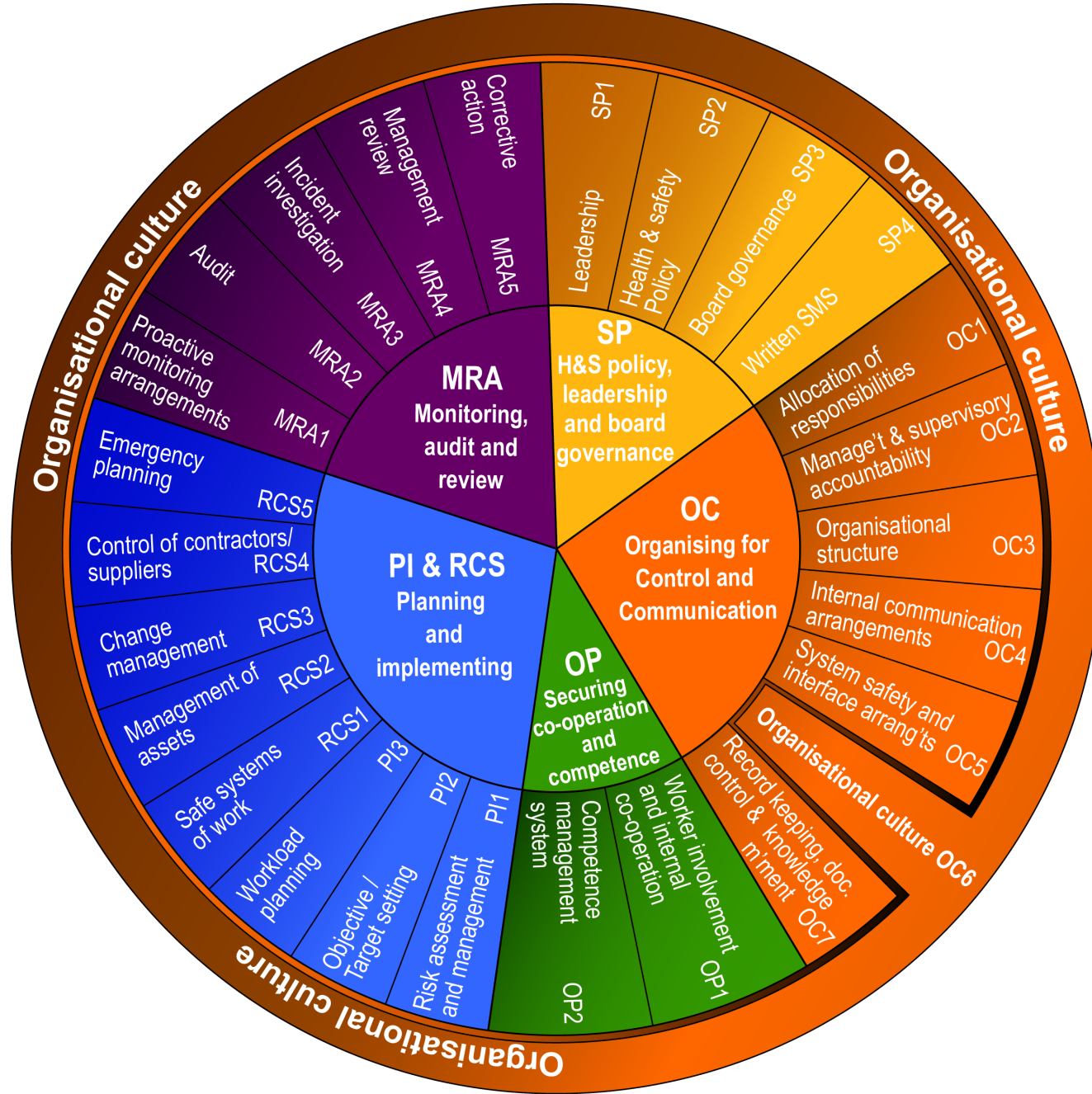
RM3 – culture, management and performance

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Background

- Safety regulatory framework based on the Safety Management System
- ORR's Risk Management Maturity Model, criteria around 26 plan, do, check, act elements:
 1. Ad hoc
 2. Managed
 3. Standardised
 4. Predictable
 5. Excellence
- First published 2011, reissued 2019
 - More examples at each level
 - Builds more coherently through the levels
 - Brings out observable indicators of positive culture, for each element, at each level



How do we use it to regulate?

- Our functions and powers provide a minimum compliance threshold
to do all that is reasonably practicable to manage safety risks
- Not easily applied to enablers like collaboration, change management, safety learning etc....
- BUT SMS criteria provide legal obligation to ensure continuous improvement *of the SMS...*
- An obligation to improve management maturity

“you can have a positive safety culture without a management system, but you cannot have an excellent management system without positive cultures around safety.”



How do we use it to regulate?

- Provides a common language and structure for assessment
- Collating a variety of evidence
- Single risk topic deep dives
- Broader assessment of management capability and enablers across topics
 - Safety culture topic
- Assessments across large organisations and delivery units
- Improvement, not compliance – beware unintended consequences

Network Rail 2017-2018



Network Rail year-on-year comparison 2016-2018



How do operators use it?

- Business support tool
- Audit and assurance
- Knowing what the regulator expects
- Sharing best practice across business units, including non-rail
- Procurement and contract management across the supply chain
- Culture call outs provide practical support for culture improvement
 - Not intended to support safety culture assessments
 - Call outs help to calibrate evidence of management

SP 1 Leadership

SP 1

Leadership from the top provides a consistent example and inspiration for leaders at all levels of the organisation. Good leadership in health and safety (H&S) management involves:

- The attitudes and decisions of senior managers aligning with the H&S policy and culture;
- Identifying and promoting the styles of leadership and management practices at all levels, which best support a positive health and safety culture;
- Promoting effective collaboration and engagement of all workers and business partners to achieve continuous improvement on health and safety;
- Aligning the leaders in operational management, organisational functions and operational and support units in pursuit of the common health and safety purpose, strategies and goals;
- Assessing health and safety leadership and management behaviour to motivate and reward success, in improving the control of risk; and
- Adjusting the performance-management and reward systems so they help the organisation achieve its goals and strategies for improving health, safety and performance.

Excellence

- Leaders at all levels of the organisation demonstrate shared values which strive towards continuous improvement.
- Leaders search within and outside the organisation for opportunities to improve risk control in their area of the organisation to ensure it is as effective and efficient as possible.
- Leaders always consider how they influence others, recognising that good leadership is compelling not coercive.
- They pro-actively promote a positive culture and encourage safety improvements in all areas of the business.
- Health and safety leaders recognise that better results are achieved through exercising power with, rather than control over, staff.

Culture

Leaders recognise they have an obligation to foster the kind of organisational climate where people find it easy to speak up and share when they have made mistakes rather than covering up errors.

- Leaders encourage people and enable them to join forces and to participate as responsible individuals in a collaborative institutional enterprise.
- Non-technical management skills development is recognised as world class.
- Leadership demonstrates and reinforces the values and culture of the organisation and ensure these lead to engagement and empowerment across all layers.

Predictable

- Leadership activities are consistent with and reinforce the organisation's health and safety policies.
- Leaders at all levels of the organisation are credible and open to ideas for improvement.
- Leaders take responsibility to ensure that the health and safe management system achieves its intended outcome.
- Leaders inspire others within the organisation to work to deliver against the H&S vision of the organisation.

Culture

Leaders take responsibility for developing, leading and promoting a positive culture in the organisation that supports effective H&S risk management.

- Non-technical management skills are recognised and developed within the organisation.



Standardised

- The organisation is built around a command and control structure with some feedback.
- There is a rule book-based approach to health and safety management, this can result in unwavering adherence to standards with little innovation or flexibility.
- Collaboration occurs as specified in 'the rules'.

Culture

Leadership is still largely viewed as a senior management role.

- Non-technical skills are specified and staff receive appropriate training.

Managed

- There may be managers with health and safety leadership skills, but these are not proactively developed by the organisation.
- Managers demonstrate leadership skills but these are not recognised by everyone or used consistently within the organisation.
- The organisation's goals and priorities are not understood by all leaders in the organisation.
- Some collaboration occurs but often by chance rather than planned, and depends on the individuals involved rather than being systematic.

Culture

Leadership is viewed solely as a senior management role.

- There is no consistency over how non-technical management skills are developed in the organisation.

Ad-hoc

- There is no evidence of positive health and safety leadership at any level in the organisation.
- Health and safety leadership is not considered to be important in staff development.
- No effective application of health and safety leadership standards in the organisation.
- Leaders do not collaborate internally or externally.

Culture

Staff consider there is little effective leadership in health and safety at any level of the organisation.

- Health and safety leadership skills and other non-technical management skills are not recognised or developed within the organisation.

Guidance and further reading:

- INDG 277 'Leadership in the Major Hazard Industries': Health and Safety Executive (HSE)
- INDG 417 'Leading Health and Safety at Work': HSE

SP 1

What next?

- Consistent regulatory decisions: constructive unease and recognising and rewarding strength and improvement
- Organisational hierarchies – where best to engage and gather evidence:
 - Depot floor?
 - Train manager's office?
 - Chief Technical officer?
 - Non-executive Board?
 - Shareholders?
- To benchmark, or not to benchmark....
- Should our assessment of management maturity inform decisions about compliance and enforcement? If so, how to reflect in enforcement criteria? And how to protect open use of the tool?

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Answers, please....

**(and some
questions...!)**