



**HMRI's cross cutting Risk Profile Topic Strategy: Health Safety Management  
Systems (HSMS) and Risk Management 2006-07 to 2009-10**

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## **1 INTRODUCTION**

This document sets out HMRI's strategic aims and objectives for ensuring that effective and robust health and safety management systems are embedded into the GB railways industry risk management systems. This includes work with dutyholders, European projects, work with stakeholders such as RSSB and support for the HMRI operational inspectors.

Management system failures often underlie the immediate causes of accidents and ill health in the workplace.

In the railway industry a number of formal and Public Inquiries (Cullen) have highlighted such management system failures as well as highlighting problems associated with the health and safety culture of organisations.

There is also a general recognition that if we are to maintain or reduce overall risk on the railway system there is limited scope for improvement on technical issues and that more focus should be placed on management systems, risk management and human factors.

HMRI considers that in order to secure sustained improvements in health and safety performance, its interventions must be focussed at a systems level or higher, influencing for example safety culture and management vision/commitment.

Under the requirements of the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (Regs 5,6,7,10) there is a clearly defined focus on inspection of Safety Management Systems. HMRI will develop procedures, which will fulfil this requirement with a five year rolling plan of SMS auditing.

Following the HMRI re-organisation in 2005, HMRI for the first time has a National Expertise Team (NET) in Human Factors, Health and Safety Management Systems and Risk Management (HORNET). It is envisaged that the NET team, in conjunction with the Topic Leader for Safety Management Systems, will be in a position to take forward and initiate much of this work. However input will be required from other parties within HMRI and ORR more widely.

## **2 HMRI's POLICY ON HEALTH AND SAFETY MANAGEMENT SYSTEMS AND RISK MANAGEMENT**

HMRI's aim is to ensure that the railway industry has in place effective health and safety management systems that are risk based, robust and effective and which encompass sound principles of risk analysis and evaluation.

## **3 STRATEGIC AIMS**

HMRI's strategic aims for 2007-2010 are:

- To focus activity on those aspects of HSMS and risk management where there is evidence of poor performance;

- To, in particular, target contractors working in the rail industry with a poor health and safety track record;
- To provide support to those leading ORR's input to European work on HSMS and risk management;
- To, ensure ORR's approach to dealing with HSMS and risk assessment issues are aligned with the regulatory leaders in the field (primarily HSE); and
- To share good practice, technical developments, and address emerging issues on HSMS and risk management with other regulators.

## **4 PROPOSED DELIVERY OF THE STRATEGIC AIMS**

### **4.1 Identification of key areas of HSMS to target for inspection/interventions**

- A forum with representation from HORNET, Topic Strategists and Operational Inspectors will be set up to identify relevant and targeted workstreams for the HMRI intervention plan and direct further development work;
- HMRI will explore the possibility of using HMRI existing databases (e.g. COIN) for information/intelligence purposes;
- Issues of concern identified by Account Holders, matters particularly relevant to the Railways and Other Guided Transport Systems (Safety) Regulations 2006 and those issues identified by the risk analysis undertaken by Topic Strategists;
- HMRI will take account of recommendations relating to the management of relevant risks from investigations of recent major incidents; from Rail Accident Investigation Branch (RAIB) investigations, as well as other HMRI and industry investigations; and
- HMRI will liaise with RSSB regarding their current research programme to identify management system failures.

### **4.2 HSMS of contractors within the rail industry.**

- The Management of Contractors workstream will be taken forward in conjunction with the Account Manager for contractors;
- The workstream will focus on the management of health and safety within the contractor organisations themselves, as well as management of the risk they pose to the safety of the operating network in all sectors of the rail and light rail industries; and
- The workstream will include investigating development of a method to prioritise HMRI interventions based on the risk posed by the contractor, and drawing up an intervention plan with relevant account holders.

### **4.3 Risk Assessment/risk Management Interventions**

- In conjunction with Health and Safety Laboratory (HSL), the HORNET Team will develop an approach to inspection of dutyholders arrangements for risk assessment and risk management using the HSG65 model, and examining specific risk control systems;

- Early developments in 2007 will be trialled at one or two duty-holders within London North East, following up on intervention plan commitments with respect to risk assessment; and
- In 2007/2008, following further development, the approach will be rolled out to other train and freight operating companies. Briefing will be provided for Area Team Inspectors by HSL/HORNET and support may be available for interventions.

#### **4.4 Competence issues**

- HMRI will ensure that the competence of Inspectors in both the Field Teams and HORNET is adequate to deliver this strategy;
- HORNET team, with the assistance of HSL, will draw up a competence framework and perform a gap analysis in relation to relevant Inspectors;
- Suitable training/mentoring will be identified to address any gaps and discussed with ORR's Technical Training Manager.

#### **4.5 Internal consultation/communication**

- HMRI will put in place effective means of internal (ORR) consultation, communication to promote discussion on issues related to HSMS and risk assessment topics such as ALARP/sfairp; and
- HMRI will set up a working group on Risk Management/ Health and Safety Management to act as a focus for discussion and consultation on a variety of risk management/HSMS issues. Effective means of communicating the work of the group with the rest of HMRI will be explored. A paper agreed by RISMT describes the proposed role and membership of the group.

#### **4.6 External communication/consultation**

- The promotion and support of effective risk management initiatives will be achieved through engagement with external stakeholders and ensuring lessons learned are communicated across industry including consultation with employee representatives;
- Account Managers are the main focus for communicating with external stakeholders. For HSMS /risk management issues across the Railway Group, RSSB will be an important contact;
- HORNET will attend RSSB meetings/forums for example to discuss the Safety Risk Model (SRM) and Precursor Indicator Model (PIM), and regular meetings such as Practitioners Working Group;
- HORNET will feed back information to the relevant parties in ORR;
- HORNET will support the RSSB Risk Management Forum by assisting in development of the programme and, where appropriate, providing speakers; and
- The Risk Management/Health and Safety Management Working Group described above may be used to co-ordinate consultation within HMRI and Rail Policy on major initiatives/documents, for example those under the RSSB's Safety Decisions Programme.

#### **4.7 European issues**

- HORNET will, where required, provide support to Rail Policy who have the lead on European matters;
- For 2007-2008 HORNET will attend the European Rail Agency working group on Common Safety Methods. This work will be supported by HSL; and
- The Risk Management/Health and Safety Management Working Group described above may be used as a vehicle within HMRI to achieve wider consultation on specific European issues, particularly those under the theme of common safety methods.

#### **4.8 Safety Risk Model/Precursor Indicator Model and other risk models within the rail industry**

- HMRI will monitor the use and technical development of the rail industry risk models, in particular the SRM, so that appropriate use can be made by HMRI of the data output, for example by topic strategists and the Information and Intelligence Team.
- HORNET and HSL will provide the technical liaison with RSSB with respect to the SRM and PIM. The purpose of this work will be to ensure HMRI has continued confidence in the models and their proposed use. This work will be co-ordinated with the Information and Intelligence Team, who act as gatekeeper for information on the PIM, and the Account Manager for Other Stakeholders; and
- HSL/HORNET will provide technical support to Information and Intelligence Team for the proposed PIM workshops.

#### **4.9 Continued links with HSE communities and adoption/development of good practice initiatives.**

- HORNET/Topic strategist will maintain links with relevant communities/teams within HSE. These will include active membership of the ALARP and HSMS Community of Practice (COPI); and
- Work on Key Performance Indicators will continue to explore the approach used by HSE's Hazardous Installations Directorate to work with industry, to encourage the adoption of a set of KPIs which give adequate assurance to the duty-holder of their continued control of major hazards.