Regulation of Railways in the Emirate of Dubai

RTA Safety Regulation Authority

Risk Management Maturity Assessment Criteria

Annex to

Dubai Railway Law Implementation Requirements

(Safety Regulation Authority Guideline in accordance with Administrative Decision 986/2018)
Introduction

Safety Regulation Authority (SRA) document *Dubai Railway Law, Implementation Requirements* describes the legal basis and the overall approach that the SRA adopts to undertake Certification and Regulation, including Accident Technical Investigation, of Railways in the Emirate of Dubai.

This document is an annex to the *Dubai Railway Law, Implementation Requirements* and sets out criteria that the SRA uses to assess Duty Holder's ability to achieve excellence when controlling health and safety risks.

The European Foundation for Quality Management (EFQM) describes truly excellent organisations as those which “strive to satisfy their stakeholders by what they achieve, how they achieve it and what they are likely to achieve”. Excellence is not a theory – it relates to the real achievements of an organisation in what it does, how it does it, the results it gets and the confidence that these results will continue into the future.

An excellent organisation also meets its legal requirements in an efficient way – it considers the benefits to the organisation as a whole and actively looks for further improvements in controlling risk.

Excellent organisations will show similar features. Safety management systems guidance such as UK Health & Safety Guidance HS(G) 65 and OHS18001 set out some of these features. Recent accident reports and academic research have identified other features. The UK Office of Rail and Road (ORR) have incorporated these features into their Railway Management Maturity Model (RM3) that assesses an organisation’s ability to achieve excellence in risk control. Each of these features have defined assessment criteria. The SRA has adopted these, subject to minor changes to reflect the laws and particular characteristics of the rail systems in Dubai, and these form the basis of this document.

The model is demonstrated in Figure 1.
The following section presents an overview of what excellence in safety management systems looks like.

![Diagram showing elements of RM3](Image)

**Figure 1: Overview of the RM3 elements**

**Excellence in safety management systems**
The SRA's aim is for organizations to achieve excellence in risk control. An organization can only achieve this through effective management. The following descriptions have been set for each of the main areas of an effective management system.

**Governance, policy and leadership**

- The organization's policies are visionary, based on solid evidence of what the organization can achieve, and promote a consistent approach to health and safety at all levels of the organization.

- Leaders of the organization set and communicate clear direction that reinforces a consistent approach to health and safety and shapes day-to-day activities.

- Leaders at all levels of the organization act in a consistent way that reinforces the values, ethics and culture needed to meet their organization’s objectives.

- The leadership style throughout the organization is transformational as opposed to transactional.

**Organizing for control and communication**

- The organization is structured to help put the organization’s policies into practice as efficiently as possible.

- There is a clear understanding of how each person's role affects the organization's ability to achieve specific goals and the overall objectives.

- The organization provides the framework for using people, plant and processes successfully.

- Communications are highly effective up, down and across the organization.

- Communications from management should be appropriate for the target audience. The right message should be received at the right time, by the right people, and through the appropriate channels.

**Securing the co-operation and competence of employees at all levels**

- The competencies (knowledge, skills, experience and abilities) needed to work effectively, efficiently and safely are understood by the organization.
• Recruitment, selection, training and continued development focus on meeting the organization's objectives.

• Employees are actively involved in developing processes and making the business successful and safe.

Planning and implementation of risk controls through co-ordinated management arrangements

• Organizations systematically implement processes to make sure that the plant, people and processes are fully used, continually improving effectiveness, efficiency and safety to achieve the organization's objectives.

Monitoring, reviewing and auditing to provide effective governance, management and supervision

• Monitoring is an important part of the organization's management arrangements at all levels.

• Performance measures and audit programs are used to continually encourage everyone to achieve the organization's objectives and reduce the risk to the business.

• Variations from expected outcomes are reviewed to understand where the organization is failing and what corrective action is necessary to restore performance.

• The organization actively seeks opportunities
<table>
<thead>
<tr>
<th>SP</th>
<th>Policy, governance &amp; leadership</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overview</strong></td>
<td></td>
</tr>
</tbody>
</table>
| • The organisation’s policies are forward-thinking and based on solid evidence of what the organisation can achieve. Together with effective leadership, the policies promote a consistent approach to health and safety at all levels of the organisation.  
| • Leaders of the organisation set and communicate a clear direction for the organisation that reinforces a consistent approach to health and safety.  
| • Leaders at all levels of the organisation act in a consistent way to reinforce the values, ethics and culture needed to meet the organisation’s objectives.  
| • The governance arrangements make sure that the organisation remains accountable for the health and safety of its workers and members of the public affected by their work. |
| **Objectives** |  
| • To make sure that the organisation is effectively governed and led.  
| • To make sure that each policy clearly expresses the top-level management expectation, accurately defining what the organisation wants to achieve, how it will achieve it (through effective leadership) and how management will know when that expectation has been met.  
| • To make sure that the organisation (specifically the board) effectively challenges whether a policy and its associated activity is correct, in place and effective. |
Failure to consider health and safety risks when the board makes decisions can have catastrophic results. Poor leadership has caused many high-profile safety failures. An organisation's approach to health and safety often reflects the attitudes of those who make business decisions, and it leads the opinions and attitudes of the staff who work within the organisation.

The overall policy and associated procedures produced by the senior management is vital to setting and maintaining the organisation's approach to health and safety. The policy should give a clear understanding of how the organisation intends to manage health and safety. The senior team and other managers should also lead by example and act in ways that reinforce the messages contained within the policy.

Executive officers within the organisation must be accountable for their actions relating to health and safety. The board's role is to ensure governance and hold the executive officers to account. This function is vital for preventing incidents such as that described in the Baker Report into the Texas City accident, and even the Walker Report into the governance of the UK banking system.
Further information

INDG 417 Leading health and safety at work  

INDG 277 Leadership for the major hazard industries: effective health and safety management  

HSE Leadership and worker involvement toolkit  

HSE Writing a health and safety policy  
http://www.hse.gov.uk/toolbox/managing/writing.htm

RR506 Defining best practice in corporate occupational health and safety governance  

HSG65 Managing for health and safety  

OHSAS Occupational Health and Safety Management  
### Leadership

**Background**

Good leadership relating to safety management involves:

- deciding and communicating the reasons for risk controls and the importance of good management, and promoting continued improvement;
- communicating and co-ordinating risk-control (including safety management) and improvement strategies across the organisation;
- making sure that all the units and managers act in line with the organisation’s goals and strategies;
- adjusting the performance-management and reward systems so they help the organisation achieve its goals and strategies for improving safety and performance; and
- monitoring the organisation’s improvement activities and results, and taking corrective action when necessary.

The attitudes and decisions of senior managers are critical in setting and delivering the organisation’s priorities.

Two guidance documents are available. These are IND 277 ‘Leadership in the Major Hazard Industries’ and INDG 417 ‘Leading Health and Safety at Work’.

**Excellence**

- Leaders at all levels of the organisation show shared values directed at continually meeting the business objectives safely.
- Leaders search for opportunities to make risk control in their area of the organisation as effective and efficient as possible.
- Leaders can inspire confidence and commitment, and safely take their teams through periods of change.
<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
</table>
| **Predictable** | • Leadership activities are consistent with and reinforce the organisation's health and safety policies. The activities aim to have the maximum positive effect on the workforce.  
• Leaders at all levels of the organisation are credible and open to ideas for improvement. Non-technical management skills are recognised and developed within the organisation. |
| **Standardised** | • Leadership is still largely viewed as a senior management role.  
• Senior management focus on improving ways to apply processes in a standardised way.  
• The organisation is built around a command-and-control structure with little feedback. |
| **Managed** | • Leadership is viewed as a senior management role.  
• Managers demonstrate leadership skills but these are not recognised or used consistently within the organisation. |
| **Ad hoc**  | • There is no evidence of positive leadership at any level in the organisation.                                                                                                                         |
**SP2**  
**Safety policy (not including written SMS)**

### Background

Effective health and safety policies set a clear direction for the organisation to follow. They contribute to all aspects of a business’s performance as part of a commitment to continuous improvement.

### Excellence
- The health and safety policy is used to challenge the organisation to achieve business performance that is in line with the best-performing organisations.
- The health and safety policy recognises that managing health and safety risks is not a separate function but an integral part of a productive, competitive and profitable organisation.
- Health and safety risks are recognised as a risk to business performance.

### Predictable
- The health and safety policy is consistent with the actions of everyone acting in the management chain.
- The health and safety policy includes a realised commitment to continually improving the efficiency and effectiveness of risk controls.
- There is evidence of extensive collaboration throughout the management chain.
- The health and safety policy and any associated policies are:
  - consistent with each other;
  - reviewed and revised to drive improvements in a predictable way; and
  - interpreted in the same way by all parts of the organisation that apply them.

### Standardised
- The health and safety policy and any other associated policies are used as a focus for managers, which results in them being interpreted in the same way by all staff.
- Employees are actively involved in reviewing and revising the health and safety policy and how it is applied.
### Managed

- The health and safety policy is up to date and is communicated within the organisation, but local managers and supervisors have inconsistent approaches or interpretations. This results in the policy being applied in different ways across the organisation.
- The policy is not seen as vital to maintaining safety.

### Ad hoc

- The policy statement is out of date or has not been communicated within the organisation.
- There is no evidence of employees being consulted.
### Board governance

This establishes executive accountability for the management and performance of the organisation's work and results.

From a health and safety perspective, business governance involves:

- defining the organisation's tolerance to risk;
- defining and communicating the organisation's goals for health and safety (see also the section on policy);
- establishing the business workflows and structure needed to meet the organisation's goals for health and safety (see also the section on organising for control and communication);
- defining measures of the organisation's business goals, and performance measures for the activities to achieve the business goals;
- developing and communicating the organisation's policies to guide actions and decide how work is performed in the organisation (this is also covered in leadership);
- making sure that the responsibilities and activities of each part of the organisation work together to control the health and safety requirements of the products, services and business needs of the organisation (this is also covered in planning and implementing); and
- monitoring the workflow of the different parts of the organisation and how those parts rely on each other (this is also covered in the monitoring and review criteria).

There is more guidance on governance in the Hutton-Cave, Turnbull and Baker reports, the combined code and the Walker Report.
<table>
<thead>
<tr>
<th>Excellence</th>
<th>Predictable</th>
<th>Standardised</th>
<th>Managed</th>
<th>Ad hoc</th>
</tr>
</thead>
</table>
| - The board shows a balanced approach to continuous improvement, looking for examples of good practice from outside the organisation that will add value to the business and challenge management to deliver improvement. | - Non-executive directors have a strong and independent role in challenging safety issues.  
- Health and safety risk is recognised as part of the overall risk to the organisation.  
- Appropriate training is provided to board members, particularly non-executive directors, so they can understand the business risk of the organisation. | - The board and executives show a clear wide-ranging understanding of the business as a system.  
- It is clear how responsibilities relating to health and safety are defined both between the board and the executive management. | - Executive management bring activities in line with the organisation's goals. They approve, measure and manage the business activities of the organisation's individual parts.  
- The board is not as thorough as possible in reviewing the effectiveness of risk controls within the organisation.  
- There is little difference between the role of the board and the role of the executive. | - The board shows little or no consideration of health and safety issues. |

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Safety, Risk, Regulation and Planning Department  
Strategy and Corporate Governance Sector  
Risk Management Maturity Assessment Criteria  
Version 1.1  
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### Written Safety Management System

#### Background

The safety management system should:

(a) describe the distribution of responsibilities, within the operation, for the safety management system;

(b) show how control of the safety management system by the management on different levels is secured;

(c) show how persons carrying out work (or voluntary work) directly in relation to the operation and their representatives on all levels, are involved with the safety management system; and

(d) show how continuous improvement of the safety management system is ensured.

The written safety management system allows the organisation to set out how risk will be controlled within the organisation and how the risk controls will be kept under review.

The written safety management system arrangements should reflect what happens in reality and be supported by more detailed procedures, standards, guidance and forms which form the day-to-day parts of the safety management system.

#### Excellence

- The written safety management system demonstrates how the organisation will identify opportunities to improve, not only against its own targets but against other organisations’ targets which have been identified as being excellent.

#### Predictable

- The written safety management system presents a clear approach to managing safety. It shows how the organisation proactively controls risk through continual improvement of its internal arrangements.
<p>| Standardised | The written safety management system presents a systematic approach to controlling risk, with appropriate checks and balances, and all aspects of health and safety are considered. |
| Managed | There is evidence of the safety management system being used properly. It is not clear how more general occupational health and safety arrangements are applied. |
| Ad hoc | There is no written safety management system, or it is incomplete. |</p>
<table>
<thead>
<tr>
<th>OP</th>
<th>Securing co-operation, competence and development of employees at all levels</th>
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</thead>
</table>

**Overview**

**Objectives**

- To find out whether the organisation has employees with the competencies (knowledge, skills, experience and abilities) needed to perform effectively, efficiently and safely.
- To see if the organisation's recruitment, selection, training and development policies focus, as far as possible, on meeting the organisation's health and safety objectives.
- To prove how much the organisation consults its employees at all levels to make sure that knowledge and experience are shared and health and safety becomes 'everybody's business'.

**Introductory notes**

Employees’ involvement supports risk control by encouraging their ‘ownership’ of health and safety policies and procedures. It makes sure the organisation as a whole, and people working in it, benefit from good health and safety performance. Sharing knowledge and experience means that health and safety becomes 'everybody's business'.

Organisations need an effective system for managing competence to help make sure that their staff have the appropriate skills. Making sure that workers, supervisors and managers have, and keep, the appropriate skills helps those members of staff to carry out their work safely, reducing risks to themselves and to other people. ORR guidance on competence management systems (‘Developing and maintaining staff competence’, Railway Safety Publication 1, second edition, published in 2007) explains the duties relating to competence management systems.
Further information

HSG263 Involving your workforce in health and safety: good practice for all workplaces.

HSE Leadership and worker involvement toolkit

RSP1 Developing and maintaining staff competence
<table>
<thead>
<tr>
<th>OP1</th>
<th>Worker involvement and internal co-operation</th>
</tr>
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</table>

**Background**

All employees should be consulted on, not just told about, health and safety issues in the workplace that affect them. Successful organisations often go further and actively encourage and support consultation in different ways. Effective organisations will actively involve the workforce to encourage them to use their knowledge and experience and build commitment to achieving shared objectives.

**Excellence**

- The organisation makes full use of its employees’ potential and actively involves them to develop shared values and a culture of trust, openness and empowerment.
- The organisation uses involvement to gather ideas for improvement and put them into practice.
- Employees show that they understand how they contribute to achieving the organisation’s goals. That understanding is consistent with the organisation’s relevant policies and vision of the senior team.
- Employees show a commitment to exceeding those goals by following existing processes and indicating where they can be improved.

**Predictable**

- The organisation has a policy of seeking to involve employees at all levels of the organisation, and there is a clear structure through which it can communicate this policy.
- The organisation regularly consults its workforce in a range of ways, such as through surveys, workshops, meetings with managers and safety tours.
- Employees are motivated to deliver the business objectives and demonstrate a consistent understanding of how this is achieved.
- Employees feel able to make decisions within a goals-setting framework.
- People in similar roles apply standards consistently.
- Employees understand the need for change and confirm that they are consulted on how changes are introduced.
<table>
<thead>
<tr>
<th>Standardised</th>
<th>Managed</th>
<th>Ad hoc</th>
</tr>
</thead>
</table>
| • The organisation has a way of making sure that employees are consulted on health and safety matters.  
  • Employees understand how they contribute to their safety and the safety of the railway.  
  • People in similar roles apply standards in the same way. |
| • Employees understand that they are responsible for their own safety and colleagues, but this is not consistent across the organisation.  
  • There is some consultation on health and safety matters, but it is not carried out in a systematic way or it does not involve all employees. |
| • There is little or no consultation.  
  • Employees do not understand how they contribute to their own safety and to the safety of the people that they work with, |
<table>
<thead>
<tr>
<th>OP2</th>
<th>Competence management system</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Background</strong></td>
<td>Workers carrying out specific work that has a major effect on safety must be competent to carry out that work. Once a competence management system is set up it can be applied more widely than safety-critical tasks, and excellent organisations will apply the same system to make sure all employees are competent in their roles.</td>
</tr>
</tbody>
</table>
| **Excellence** | • The organisation makes full use of its employees’ potential and actively involves them through shared values and a culture of trust, openness and empowerment.  
• The organisation uses employee involvement to gather ideas for improvement and put them into practice. |
| **Predictable** | • Policies on recruitment, selection and training are in line with identified objectives. They are based on thorough risk assessments of tasks, to create a clear competence management system.  
• Mentoring is used and changes of role are well planned-out. |
| **Standardised** | • The organisation has an effective competence management system in place. This covers the competencies needed to meet the objectives of the business and to manage risks.  
• The organisation has ways of making full use of the competencies of their staff.  
• Appropriate priority is given to managing competence by sharing resources. |
<table>
<thead>
<tr>
<th><strong>Managed</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Training is provided within business units, but this does not form part of a clear competence management system.</td>
</tr>
<tr>
<td>• Recruitment, selection and training policies are not in line with the business objectives.</td>
</tr>
<tr>
<td>• Training is provided by chance as and when training needs are identified locally.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Ad hoc</strong></th>
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</thead>
<tbody>
<tr>
<td>• There is no evidence of any clear approach to managing competence.</td>
</tr>
<tr>
<td>• Employees may have the competencies they need, but there are no arrangements to check this.</td>
</tr>
</tbody>
</table>
## Organising for control and communication

### Overview

**Objectives**
- To set out responsibilities for meeting the organisation's health and safety objectives.
- To make sure that important information is available to those making decisions.
- To make sure the organisation's arrangements and actions promote a culture that makes excellence in risk control possible.
- To make sure that organisations have controls in place to make sure that risks are identified and adequately controlled.

### Introductory notes

Health and safety policies set the direction for health and safety, but organisations need to create a strong framework for management activities. They also need to set out the relationships and responsibilities that will improve performance. Two important areas within this framework are control and communication.

Control is the foundation of a positive health and safety culture, and maintaining control is central to all management functions. Control of health and safety is achieved by allocating and carrying out responsibilities which relate to health and safety objectives. It is important that all levels of staff from the board down accept their allocated health and safety responsibilities. Safety representatives can also make an important contribution. Staff should be focused on developing and maintaining systems of control before events happen – not on blaming people for failures after events.

Communication is often a challenge to organisations. It is important that the messages which senior managers want people to understand are the ones the people actually hear. Effective communication about health and safety relies on accurate and clear information coming into the organisation, flowing within it, and going out from it.
Further information

HSG65  Managing for health and safety

HSE  Supervision
Website  http://www.hse.gov.uk/humanfactors/topics/supervision.htm

HSE  Communication
Website  http://www.hse.gov.uk/managing/delivering/do/organising/communication.htm

CR402/  Common safety method for risk evaluation and assessment
Guide  _safety_method_guidance.pdf

HSE  Organisational culture
Website  http://www.hse.gov.uk/humanfactors/topics/culture.htm

BN07  HSE Human Factors Briefing Note No.7: Safety Culture
http://www.hse.gov.uk/humanfactors/topics/07culture.pdf

HSL  Safety Climate Toolkit

RR365  Development and validation of the HMRI safety culture inspection toolkit
### OC1 Allocation of responsibilities

#### Background
This means giving people and teams roles, tasks and objectives which work together to meet the organisation’s health and safety objectives. This contributes to having the right people doing the right thing at the right time.

#### Excellence
- As for predictable level below, with evidence that staff at all levels take responsibility within a strong management framework.

#### Predictable
- As for standardised level below, with clear links between the organisation's objectives and individual responsibility.
- Individuals show that they understand how their activities affect the organisation.
- Safety activities and decision-making activities are given to the people who are best placed to carry them out.
- Health and safety responsibilities are allocated with the same consideration as other business responsibilities. This makes sure that the right resources are available and used.

#### Standardised
- Responsibilities are identified and given in writing to teams or individuals who accept them in order to meet health and safety objectives.

#### Managed
- Important safety roles are allocated, some in job descriptions or objectives, though not consistently.
- Most staff, but not all, know what is expected of them.
- There is no overall policy on, or evidence of, responsibility being allocated in a consistent and systematic way.
Ad hoc

- Health and safety roles, tasks and objectives are not defined, or not defined well enough.
- Responsibilities relating to safety are not allocated to individuals and teams.
<table>
<thead>
<tr>
<th>OC2</th>
<th>Organising for control and communication</th>
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</thead>
<tbody>
<tr>
<td><strong>Management and supervisor accountability</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Background</strong></td>
<td>Those given roles, tasks and objectives relating to safety should be accountable for meeting the safety objectives they are responsible for. Adequate supervision, along with providing information, instruction and training, is needed to make sure that an organisation's health and safety policy is effectively put in place and developed. Good supervision can form a powerful part of a proper system of management.</td>
</tr>
<tr>
<td><strong>Excellence</strong></td>
<td>- As predictable level below, but with evidence of the organisation actively seeking to draw in good management practice from other world-class organisations.</td>
</tr>
</tbody>
</table>
| **Predictable** | - As for standardised level below, but with competent managers and supervisors having control to make sure they consistently meet their own safety responsibilities.  
- There are effective and fair reward systems to reinforce good behaviour.  
- Supervisory processes are aligned to monitoring systems and information management to give total confidence in actual safety performance.  
- Systems are in place to tackle non-achievement. |
| **Standardised** | - Teams and individuals responsible for controlling significant risks are regularly overseen.  
- There are processes in place to allow managers to identify failings and use appraisal systems to correct problems. |
| **Managed** | - Some processes for controlling responsibilities have been given out, through procedures or performance reviews, but not for all significant risks. |
- Managers and supervisors rarely, if ever, hold their staff to account for their safety duties.
- There is inconsistency between accountability for safety and accountability for other business objectives.
OC3

Organisational structure

Background

The purpose of this sub criterion is to aid an understanding of how the organisation is structured to meet the organisation's safety policy. There may be layers of work that support this from policy and strategic perspectives.

Risk controls should fit sensibly into management structures so that responsibility for meeting the business objectives safely is clear and effectively deals with interfaces.

Excellence

- As for predictable level below, but with effective reviews of the organisation's structure, at all levels, against achievement of business objectives.

Predictable

- As for standardised level below, but with responsibilities from the top to the bottom of the organisation, not just at working levels, being in line with each other.

Standardised

- Responsibility for risk-control systems is in line with responsibility for other business objectives. This provides clarity and consistency between similar activities and business units.
- Overall policies and strategies are consistent with those of the relevant business units.

Managed

- The structure of the organisation means that most risks are managed by the people or teams carrying out the work, but some risks are split so that there is or could be conflict between safety and other objectives.
- There is little consistency between the activities of a business unit and the wider aims of a strategy or policy.
Ad hoc

- The organisation's management structures bear no relation to its safety objectives, so staff responsibilities and accountabilities are easily confused.
### OC4

#### Internal communication arrangements

**Background**

These arrangements make sure that any member of staff making a decision or performing a task has the right information, in the form of:

- corporate messages;
- procedures and standards;
- factual data and intelligence; and
- instructions and reports.

**Excellence**

- Communication arrangements are kept under regular review against identified good practice in other sectors.

**Predictable**

- Everything listed at standardised level below is in line with the main risk-control systems.
- The right information is available for making decisions.
- Effective procedures for gathering feedback make sure that communications are understood.

**Standardised**

- Most of the following applies.
  - Written business-safety objectives, standards and procedures for controlling significant risks are in formats suitable for users.
  - Factual information is used to share experiences and guide future performance and decisions.
  - Managers give instructions which reinforce procedures to help achieve safety objectives.
  - Staff report their performance and experiences because the organisation encourages them to do so.
<table>
<thead>
<tr>
<th>Managed</th>
<th>Ad hoc</th>
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</thead>
<tbody>
<tr>
<td>• Some procedures and standards relating to risk controls are available to staff.</td>
<td>• There is little attempt to find or communicate information. If procedures are in place, staff make decisions based on their own judgment.</td>
</tr>
<tr>
<td>• Some information is used to guide decisions.</td>
<td>• No intelligence collected or shared.</td>
</tr>
<tr>
<td>• Managers give instructions and receive reports relating to controlling risks, but there is a lack of consistency.</td>
<td>• Managers do not talk to staff, or talk ineffectively.</td>
</tr>
<tr>
<td>OC5</td>
<td>Organising for control and communication</td>
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<td>-----------------------------------------</td>
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<tr>
<td><strong>System safety and interface arrangements</strong></td>
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<tr>
<td><strong>Background</strong></td>
<td>Risk Management (PI1) deals with the identification of interfaces and the associated risk controls. Effective teamwork and co-operation are needed to implement these controls and make sure systems across the organisation are safe.</td>
</tr>
</tbody>
</table>
| **Excellence** | - As for predictable level below, and also looks to other sectors and countries to identify system-safety issues and developments to feed into these arrangements, where appropriate.  
- Teamwork is used to get the best possible achievement of shared objectives.  
- Where appropriate, good practice is shared with other organisations in the UK and the rest of the world. |
| **Predictable** | - All of standardised level below, relating to all system safety and interface issues.  
- Decisions and arrangements are consistent with the full range of information listed in standardised level.  
- There are arrangements for sharing information throughout the organisation in order to promote effective reviews and continual improvement. |
| **Standardised** | - Organisational interfaces are systematically identified.  
- Procedures and standards are in place to control shared risks.  
- There are written objectives for system safety.  
- There is regular discussion with other organisations to agree objectives, standards, processes and arrangements.  
- There are ways to share information at working levels.  
- Communications outside the organisation are satisfactory to make sure that anyone making a decision relating to risk controls with cross organisational boundaries is in possession of the right information (in the form of procedures and standards); factual data and intelligence; and instructions and reports. |
<table>
<thead>
<tr>
<th>Managed</th>
<th>Ad hoc</th>
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<tbody>
<tr>
<td></td>
<td>• Procedures identify interfaces between business units at a working</td>
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<td></td>
<td>level. There is liaison with the other organisations over procedures</td>
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<tr>
<td></td>
<td>and standards implemented. These are used by staff for some shared</td>
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<tr>
<td></td>
<td>risk controls.</td>
</tr>
<tr>
<td></td>
<td>• There is co-ordination of practical issues at working level between</td>
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<td></td>
<td>individuals of organisations but there is no overall organisation,</td>
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<td></td>
<td>resulting in inefficient planning and execution.</td>
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<tr>
<td></td>
<td>• The organisation makes little attempt to identify or collaborate on</td>
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<td></td>
<td>work with other organisations in respect of shared risk controls.</td>
</tr>
<tr>
<td></td>
<td>Procedures to achieve this are weak or do not exist.</td>
</tr>
<tr>
<td></td>
<td>• No information is collected or shared.</td>
</tr>
</tbody>
</table>
Organisational culture

Background

This subcriterion is about developing and maintaining a culture which brings out the best possible performance from staff. The organisation's safety culture is what emerges over time when its risk-management systems are applied.

There are three main ways of finding out about an organisation's safety culture;

1. By routinely gathering informal information about the safety culture during inspections, investigations and other dealings with employers and the workforce. For instance, workers on site during a routine preventive inspection may comment that performance pressures sometimes take priority over risk controls. In this case, as well as investigating the allegation, the background should be recorded to build up a picture of the organisation's safety culture.

2. An organisation may have recently carried out a safety culture or safety climate assessment. These assessments can provide useful information on the current safety culture, but organisations do not have to carry them out. See RGD-2009-10, ‘Guidance for inspectors on ORR’s safety culture work in 2009-2010 and beyond’, for more information.

3. If there is a particular concern about an organisation's safety culture, perhaps because of an incident or several informal reports of the type described in paragraph 1 above, an inspector may gather more formal information about the safety culture by using the HMRI Safety Culture Inspection Toolkit (www.hse.gov.uk/research/rrpdf/rr365.pdf). This would provide information and views about leadership, communications, learning culture, employee involvement and attitudes to blame.
Excellence

- The organisation shows a culture which helps to deliver excellence in risk controls, and a commitment to continuously improve risk controls.
- There is no evidence that the organisation is complacent.
- The organisation:
  - respects, anticipates and responds to risks;
  - develops a fair, learning, flexible, adaptable, prepared and informed culture; and
  - aims to be resilient.
- The organisation shows excellent leadership relating to safety.
- There is excellent two-way communication between management and employees, excellent employee involvement, an excellent culture of learning, and mutual trust, where management and employees agree on acceptable and unacceptable standards.

Predictable

- Most staff are convinced that health and safety is important, both morally and for financial reasons.
- Management recognises that a wide range of factors leads to accidents, and the root causes are likely to stem from management decisions.
- Frontline staff accept responsibility for their own and other people’s health and safety.
- The organisation recognises how important it is for all employees to feel valued and be treated fairly.
- The organisation takes measures to prevent accidents.
- Safety performance is monitored using all the information available.
- The organisation promotes a healthy lifestyle.
- The organisation tries to spot failings in the system and correct them before they cause a problem.
<table>
<thead>
<tr>
<th>Standardised</th>
<th>Managed</th>
</tr>
</thead>
<tbody>
<tr>
<td>• There is evidence that the organisation realises that employee involvement is essential for improving safety improvement, and that a wide range of factors – often coming from management decisions – lead to accidents.</td>
<td>• Safety is seen as a business risk, and management devotes time and effort to prevent accidents.</td>
</tr>
<tr>
<td>• A significant proportion of frontline employees are willing to work with management to improve health and safety.</td>
<td>• Safety measures focus on keeping to rules, procedures and engineering controls.</td>
</tr>
<tr>
<td>• Most staff accept responsibility for their own health and safety.</td>
<td>• Accidents are seen as being preventable.</td>
</tr>
<tr>
<td>• Safety performance is monitored and the findings are used to make improvements.</td>
<td>• Management feels that most accidents are due to the unsafe behaviour of frontline workers.</td>
</tr>
<tr>
<td></td>
<td>• Safety performance is measured with lagged indicators (indicators with a delayed effect, for example, injury rates).</td>
</tr>
<tr>
<td></td>
<td>• Safety incentives are based on reducing lost time.</td>
</tr>
<tr>
<td></td>
<td>• Senior managers only become involved in health and safety if accidents increase and enforcement action is likely to be taken against the organisation.</td>
</tr>
</tbody>
</table>
- Safety measures focus on technical and procedural solutions, and keeping to regulations.
- Safety is not seen as an important business risk.
- The safety department, and not individuals, is considered to be responsible for safety.
- Many accidents are seen as unavoidable.
- Most frontline workers are not interested in safety. It is only used as a lever on other issues.
- Financial targets take priority over safety.
- There is poor leadership on safety issues.
- There is poor two-way communication between management and employees.
- There is poor employee involvement.
- The organisation's learning arrangements are poor.
- There is a blame culture (where focus is placed on finding out who is to blame) or a relaxed attitude to accountability (no blame culture).
**OC7**  
**Record-keeping and document control**

<table>
<thead>
<tr>
<th><strong>Background</strong></th>
<th>Excellent organisations provide a reliable record of important decisions, and information gathered over the years, to demonstrate that they are controlling risk at all levels.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Excellence</strong></td>
<td>- As for predictable level below, but making more use of the process to drive efficiency and effectiveness of the management system.</td>
</tr>
</tbody>
</table>
| **Predictable** | - Comprehensive records of risk-related processes and standards, decisions and information are available to users and decision-makers.  
  - Records are used to inform reviews of risk controls. |
| **Standardised** | - There are records of processes and standards for main risks.  
  - Records are kept of important information and decisions that are likely to be valuable in the future. |
<p>| <strong>Managed</strong> | - There are some records of information on important risk controls, but the records are inconsistent. |
| <strong>Ad hoc</strong> | - There are few or no written records. No corporate, only individual memory. |</p>
<table>
<thead>
<tr>
<th>PI &amp; RCS</th>
<th>Planning and implementing risk controls through co-ordinated management arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overview</strong></td>
<td><strong>Objectives</strong></td>
</tr>
<tr>
<td></td>
<td>• To make sure that the organisation has risk controls that enable the business to operate safely.</td>
</tr>
<tr>
<td><strong>Introductory notes</strong></td>
<td>The risk-control systems associated with planning risk controls and putting them in place should be co-ordinated to make sure they keep to relevant laws and allow the organisation to meet its objectives efficiently and effectively.</td>
</tr>
</tbody>
</table>
| Further information | HSE | ALARP “at a glance”  
Website | http://www.hse.gov.uk/risk/theory/alarpglance.htm |
|---------------------|-----|------------------------------------------------|
| HSE Guide           | Reducing risk protecting people (tolerability of risk information)  
| HSE Maturity        | Management of risk when planning work: The right priorities (hierarchy information)  
| HSL Website         | Review of hazard identification techniques  
| CR402/Website       | Common safety method for risk evaluation and assessment  
| HSG254 Website      | Developing process safety indicators  
| HSE HF Website      | HSE Human Factors Briefing Note - Staffing Levels  
| HSE HF Website      | HSE Human Factors Briefing Note - revitalising procedures  
Website | http://www.hse.gov.uk/humanfactors/topics/procinfo.pdf |
| HSE Website         | Human Factors Briefing Note No. 11 Organisational Change  
Website | http://www.hse.gov.uk/humanfactors/topics/11orgchange.pdf |
| HK gov. Website     | OCC H&S Branch Labour dept. guide – Safe systems of work  
| ISO Website         | Asset management -- Overview, principles terminology  
Website | http://www.iso.org/iso/catalogue_detail?csnumber=55088 |
<table>
<thead>
<tr>
<th>Reference</th>
<th>Description</th>
<th>Website</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSE</td>
<td>Human Factors: Contractors Website</td>
<td><a href="http://www.hse.gov.uk/humanfactors/topics/contractors.htm">http://www.hse.gov.uk/humanfactors/topics/contractors.htm</a></td>
</tr>
<tr>
<td>RSSB Guides</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GN8644</td>
<td>Guidance on safety requirements and hazard management</td>
<td><a href="http://www.rgsonline.co.uk/Railway_Group_Standards/Control%20Command%20and%20Signalling/Guidance%20Notes/GEGN8644%20Iss%201.pdf?web=1">http://www.rgsonline.co.uk/Railway_Group_Standards/Control%20Command%20and%20Signalling/Guidance%20Notes/GEGN8644%20Iss%201.pdf?web=1</a></td>
</tr>
<tr>
<td>PI1</td>
<td>Planning and implementing risk controls through co-ordinated management arrangements</td>
<td></td>
</tr>
<tr>
<td>-----</td>
<td>----------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Risk assessment and management</td>
<td>This is concerned with the means by which a hazard is identified, the risks assessed, and controls created.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Excellence</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Risk assessment is used to drive continual improvement in the risk profile of the organisation.</td>
</tr>
<tr>
<td>- The approach to risk management is embedded and applied consistently throughout the organisation.</td>
</tr>
<tr>
<td>- Removing risk at its source is part of a consistent approach and is reflected in the organisation's policies.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Predictable</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Risk assessments are built into other aspects of the business to make sure there is a systematic approach to risk control.</td>
</tr>
<tr>
<td>- All levels of the workforce, and outside organisations, can contribute to risk assessments.</td>
</tr>
<tr>
<td>- Risk assessments, including removing risk at its source, are part of the culture of the organisation.</td>
</tr>
<tr>
<td>- Reviews form part of the risk-assessment process.</td>
</tr>
<tr>
<td>- Risk-management principles are intelligently applied at all levels.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Standardised</th>
</tr>
</thead>
<tbody>
<tr>
<td>- The organisation has clear policies on using risk assessments and what risks will be tolerated.</td>
</tr>
<tr>
<td>- Risk management is used in a consistent way in different parts of the organisation.</td>
</tr>
<tr>
<td>- There is effective use of the risk-control hierarchy and removal of risk at source.</td>
</tr>
<tr>
<td>Managed</td>
</tr>
<tr>
<td>---------</td>
</tr>
</tbody>
</table>
| - Risk assessments are completed, but overall co-ordination is poor.  
- Control measures within an activity do not always include the measures identified by the risk assessment.  
- Risk assessment is often only used to demonstrate that the risk controls already in place are adequate.  
- Risk assessments are used to identify where risk controls are needed, but controls are not adequately put in place by management.  
- Training has been provided on risk assessment.  
- There is some evidence of the use of the risk control hierarchy. | - Risk assessments are not completed or reviewed for all relevant activities of the business.  
- Risk assessments are inappropriate for their intended use.  
- The hierarchy of risk control is poorly used. |
<table>
<thead>
<tr>
<th>PI2</th>
<th>Objective/ target setting</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Background</strong></td>
<td>Planning and implementing risk controls through co-ordinated management arrangements</td>
</tr>
</tbody>
</table>

Health and safety objectives need to be *specific, measurable, agreed with those who deliver them, realistic and to a suitable timescale* (SMART). Both short- and long-term objectives should be set and prioritised alongside wider business objectives. Objectives at different levels or parts of an organisation should be aligned so they support the overall objectives of the organisation's policies. Personal targets can also be agreed with individuals to make sure the objectives are met.

An objective is defined as the desired end point.

A target is a measurable step taken towards achievement of an objective.

<p>| <strong>Excellence</strong> | As for level 4 below, but the organisation compares its performance against that of others, within and outside the rail industry, to make sure that objectives represent excellence. |
| <strong>Predictable</strong> | Objectives are SMART, prioritised and in line with each other to support the overall policy. |
| | The safety management system makes sure that targets are set and achievement is measured. |
| | Achievement or non-achievement is recorded and used to help with continual improvement. |
| | Systems are in place to follow up on non-achievement. |
| <strong>Standardised</strong> | Health and safety targets and objectives are set. |
| | Attempts are made to achieve SMART objectives and to prioritise objectives and targets and bring them in line with each other. |
| | Systems are in place to follow up on achievement. |
| | Achievement of objectives is not well aligned to the review process. |</p>
<table>
<thead>
<tr>
<th>Managed</th>
<th>Ad hoc</th>
</tr>
</thead>
<tbody>
<tr>
<td>- There are objectives. Some may be SMART and prioritised, but objectives within different parts of the organisation are not aligned and do not always support the objectives of the organisation's overall policies.</td>
<td>- There are few or no health and safety objectives.</td>
</tr>
<tr>
<td>- Personal targets are not related to the objectives of the organisation's overall policies.</td>
<td>- Any targets that exist are not SMART or prioritised.</td>
</tr>
<tr>
<td>- Failure to meet targets or objectives is tolerated.</td>
<td></td>
</tr>
</tbody>
</table>
### Workload planning

#### Background
Good planning will significantly improve the way an organisation manages health and safety by making sure there are the right resources to carry out tasks. This will lead to effective risk control and efficient working.

#### Excellence
- As for predictable level below but with more focus on identifying good practice in other organisations, where appropriate.

#### Predictable
- The planning system includes regular reviews of workload at different levels of management.
- Major projects and other known tasks are planned and given out at the beginning of the work year.
- Extra work is planned and care is taken to make sure that nobody is overloaded with work.
- The organisation’s culture is perceived as just.

#### Standardised
- A planning system is in place to make sure that tasks are given to the correct person and can be completed on time.
- There is some monitoring of workloads but people still become overloaded, leading to failures in risk control.
- The culture within the organisation is for people to accept extra work and become overloaded.

#### Managed
- Workloads vary, but some thought has been given to allocating tasks in a way that aims to even the load.
- Tasks which are critical to safety are prioritised.
- Workloads are not reviewed to monitor areas of overloading.
Ad hoc

- There is little or no control of workloads.
- Some people are overloaded while others are lightly loaded.
- There is evidence that poor performance in carrying out tasks is due to not enough time being given and tasks which are critical to safety not being prioritised properly.
### RCS1

**Safe systems of work (including safety critical work)**

**Background**

The focus of this subcriterion is to evaluate an organisation’s ability to identify risks relating to specific tasks and put appropriate controls in place to protect the health and safety of those carrying out and affected by those tasks.

**Excellence**

- As for predictable level below, plus a commitment to continually improve the systems by, for example, benchmarking within and outside the rail industry.
- The systems have the best possible blend of processes, plant and people to achieve excellent results, delivered efficiently and safely.

**Predictable**

- The systems of work are used to both implement risk controls and get feedback on how adequate they are.
- Changes to the systems of work are checked carefully and are well-managed. They produce the result that was predicted before the change was made.
- Extensive consultation is carried out with those affected by the systems.

**Standardised**

- There is a clear, consistent approach to developing and putting in place systems of work that use effective risk management.
- The tasks, including ones critical to safety, are clearly understood and can be repeated across sites and shifts.
- Arrangements for selecting and recruiting staff make sure those using the systems of work have the competence to deliver them.

**Managed**

- Systems of work are in place but there are clear differences in how they are applied across the organisation.
- The systems are sometimes less than adequate because the procedures cause mistakes or are not effective in achieving the intended result.
- Work that is critical to safety is recognised but is not managed consistently.
Ad hoc

- The systems of work actually used are not the same as the written procedures.
- The systems of work do not take account of risk, and tasks that are critical to safety are not always identified and prioritised.
### RCS2: Management of assets

#### Background
Successful management of assets involves identifying the assets the organisation owns and manages. It also includes having systems in place to make sure that assets remain in a good condition so the organisation can meet its business objectives safely, effectively and efficiently.

#### Excellence
- As for predictable level below, but reviews of inspection frequencies and schedules include information from outside the organisation or the rail industry.

#### Predictable
- As for standardised level below, but the frequency of inspections is reviewed systematically and the system allows flexibility to adapt to changes in the condition of assets.

#### Standardised
- The asset register is up to date, and inspection and maintenance schedules are based on risk and are followed.
- There may be some backlog of inspections, but this is recognised and managed.
- There is some reviewing of the frequency of inspections, and some ability to adapt to changes to the condition of assets.

#### Managed
- There are schedules for inspecting and maintaining most, but not all, assets.
- Frequencies of inspections are specified but not always on a risk basis.
- Failure to meet frequencies of inspection is accepted and so there are backlogs.
- The overall policy on managing assets does not aim to improve safety.
Ad hoc

- Active and reactive maintenance is carried out to schedules but there is no comprehensive asset register, so the organisation cannot be sure that all assets are maintained in a safe condition.
- There are few or no criteria for the design of plant.
<table>
<thead>
<tr>
<th>RCS3</th>
<th>Planning and implementing risk controls through co-ordinated management arrangements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Change management</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Background</strong></td>
<td>The purpose of change management is to make sure that changes within an organisation are adequately planned, made and checked to help the organisation achieve its business objectives. Effective change management will control the risks presented by the change.</td>
</tr>
<tr>
<td><strong>Level of achievement according to evidence</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Excellence</strong></td>
<td>- As for predictable level below, but there is also an understanding that change affects other aspects of business. It leads to business risk being linked with health and safety risk during and as a result of any change.</td>
</tr>
</tbody>
</table>
| **Predictable** | - As for standardised level below, but the review is carried out after a change is structured to also consider the effect the change has had on the culture of the organisation.  
- The importance of involving employees in the change process is recognised to bring benefits. |
| **Standardised** | - There is an efficient approach to managing any process, organisational and engineering changes.  
- There may be a structured approach to change, involving a number of steps in the change-management system.  
- There is a consistent approach to risk assessment and risk control after a change is made.  
- The effect a change has on the organisation's culture is considered. |
### Managed

- The importance of change management is understood and there is some degree of control over all types of change.
- Changes are planned but are not always adequate.
- There is no system for making changes, which leads to risks not being identified or controlled following a change.
- There is little consideration of the effects a change has on the organisation's culture.

### Ad hoc

- Some types of change are recognised and aspects of it are managed.
- Not all risks associated with a change are identified and so are not controlled.
- The effect the change has on the organisation's culture is not considered.
### Background

Organisations need to effectively manage the health and safety of their contractors and those affected by their activities, wherever those activities are carried out. The main elements of contractor control include:

- giving a clear specification of the job;
- choosing the contractor;
- making the contractor familiar with the site (if appropriate);
- control of product safety and quality;
- permit to work (if appropriate);
- handover at the end of the job; and
- monitoring and reviewing performance.

### Excellence

- The contractor supply chain seamlessly delivers all of the organisation's objectives.
- The contractor's main health and safety activities are in line with the organisation's.

### Predictable

- There is a systematic approach to contractor control.
- Effective prequalification arrangements take a balanced approach, including considering their safety performance.
- There is a clear understanding of responsibility at all stages of the contract work. Good working relationships between client and all contractors are delivered through effective interface arrangements.
- Performance measures and post-contract reviews guide decisions on choice of contractors for further work.

### Standardised

- The importance of contractor control is recognised and this is reflected in the organisation's relevant policy.
- Contractors are chosen on their ability to complete work safely and to a satisfactory standard.
- The contractor's performance is monitored during the contract, and appropriate performance measures are used effectively to track achievement.
<table>
<thead>
<tr>
<th>Managed</th>
<th>• Some elements of a risk control system are in place for contractor control, but there is no systematic process from selection through to post contract review.</th>
</tr>
</thead>
</table>
| Ad hoc  | • Contractors are appointed when needed, but when contractors are chosen there are few considerations other than cost.  
• There is little planning for the work.  
• There is little consideration of the responsibilities for risk control when deciding how to do the work.  
• There is no monitoring of the contractors, or review of the completed contract. |
**RCS5**

**Emergency planning**

<table>
<thead>
<tr>
<th>Background</th>
</tr>
</thead>
<tbody>
<tr>
<td>The overall aim of emergency planning is to make sure that appropriate measures will be used when and where necessary to prevent or reduce the harmful effects of major accidents.</td>
</tr>
<tr>
<td>• Elements of emergency planning include:</td>
</tr>
<tr>
<td>• identifying foreseeable emergencies that could arise;</td>
</tr>
<tr>
<td>• developing arrangements to respond to those emergencies;</td>
</tr>
<tr>
<td>• providing adequate training and making sure that the necessary resources are available; and</td>
</tr>
<tr>
<td>• testing of plans, with other people and organisations where necessary.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Excellence</th>
</tr>
</thead>
<tbody>
<tr>
<td>• As for predictable level below, but with good practice, both within and outside the rail industry, being recognised.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Predictable</th>
</tr>
</thead>
<tbody>
<tr>
<td>• As for standardized level below, but with feedback from exercise wash-ups being taken into account when procedures are reviewed to make sure emergency responses remain up to date and effective.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Standardised</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Potential emergencies arising from tasks are identified as part of risk assessments.</td>
</tr>
<tr>
<td>• Control measures, including training and resources, are in place to deal with emergencies.</td>
</tr>
<tr>
<td>• Joint emergency-response exercises take place with other organisations involved in a task.</td>
</tr>
<tr>
<td>Managed</td>
</tr>
<tr>
<td>---------</td>
</tr>
</tbody>
</table>
| • The organisation realises that emergency responses are an important part of a risk-control system.  
• Major emergencies that could arise are identified and there are some plans in place to deal with them.  
• Staff are trained in basic emergency responses. | • There is no organised identification of possible emergencies and how to respond if they arise.  
• The organisation relies on the emergency services to deal with all aspects of an emergency. |
## MRA Monitoring, audit and review

### Overview

**Objective**
- To make sure that risk controls are in place, working correctly and achieving the organisation's objectives.

### Introductory notes

Organisations need to measure the effectiveness of risk controls to make sure that risk controls are identified and work in practice. Safe systems of work must be monitored to make sure they are appropriate and are actually being followed. Systems for monitoring, auditing and reviewing performance should be in place to make sure that the safety management system is working correctly.

An audit checks that the organisation is doing what it says it will do. It should be supported by regular reviews to make sure that the organisation's business objectives are correct. The review should also check that the arrangements put in place to meet the business objectives are working as intended.

Monitoring, audit and review form a feedback loop within the overall safety management system, and are an essential part of programmes for continual.
<table>
<thead>
<tr>
<th>Further information</th>
</tr>
</thead>
</table>
| **HSG65** | Managing for health and safety  
| **HSG254** | Developing process safety indicators  
| **RSP1** | Developing and maintaining staff competence  
| **ERA** | Implementing the Common Safety Method for monitoring  
| **HAS** | Auditing a Safety and Health Management System  
(Note written for the healthcare industry but the model is based on original HSG65 POPMAR model – now consolidated into a plan, do, check, act model) |
| **Reg.** | Regulation No (5) for the year 2009 On the regulation of Railways in the Emirate of Dubai  
| **HSE** | Investigating accidents and incidents  
| **HSE** | Investigating accidents and incidents: A workbook for employers, unions, safety representatives and safety professionals  
| **HSE** | Reviewing performance effectively  
<table>
<thead>
<tr>
<th>Reference</th>
<th>Description</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSE</td>
<td>Human Factors Briefing Note No. 11 Organisational Change</td>
<td><a href="http://www.hse.gov.uk/humanfactors/topics/11orgchange.pdf">HSE HFBN11</a></td>
</tr>
</tbody>
</table>
### Proactive monitoring arrangements

<table>
<thead>
<tr>
<th>MRA1</th>
<th>Monitoring, audit and review</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Background</strong></td>
<td>Activities and equipment that are critical to risk control must constantly be monitored.</td>
</tr>
</tbody>
</table>
| **Excellence** | - The monitoring activities chosen are for critical and vulnerable systems. The results of this monitoring are effectively co-ordinated throughout the organisation to support reviews and effective control of improvement.  
- Monitoring procedures are reviewed to make sure they remain relevant to the organisation's risk profile. |
| **Predictable** | - As for standardised level below, but with an understanding of the monitoring of essential and vulnerable systems.  
- Managers and supervisors are well-trained and have the necessary resources, and there is evidence of challenge of systems of work.  
- Middle and senior managers monitor outcomes on a risk basis. |
| **Standardised** | - Monitoring flows from the risk assessment, and all risk controls are monitored in a logical way.  
- There is consistency across the organisation.  
- Monitoring is process driven so critical or vulnerable systems are not prioritised over monitoring of less critical or vulnerable systems (measuring for the sake of it). |
| **Managed** | - Some processes are supervised and some equipment is inspected.  
- Records are isolated.  
- There is evidence of inconsistencies between different areas of the business.  
- There is evidence that some people in the organisation do not understand the need to monitor risk controls. |
Ad hoc

- There is little or no understanding of whether risk controls are in place or are working effectively.
<table>
<thead>
<tr>
<th>MRA2</th>
<th>Monitor, audit and review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit</td>
<td></td>
</tr>
<tr>
<td><strong>Background</strong></td>
<td>An audit is an independent, systematic check of risk-control systems and management arrangements to make sure that business objectives are being met.</td>
</tr>
<tr>
<td><strong>Excellence</strong></td>
<td></td>
</tr>
<tr>
<td>• As for predictable level below, but with more challenging business objectives and comparison against best practice.</td>
<td></td>
</tr>
<tr>
<td>• Peer to peer auditing activities could be included.</td>
<td></td>
</tr>
<tr>
<td><strong>Predictable</strong></td>
<td></td>
</tr>
<tr>
<td>• Audit activities are planned and prioritised.</td>
<td></td>
</tr>
<tr>
<td>• An appropriate combination of audit techniques is used to provide information on performance against business objectives.</td>
<td></td>
</tr>
<tr>
<td>• The organisation can show that audits are completed by competent auditors.</td>
<td></td>
</tr>
<tr>
<td><strong>Standardised</strong></td>
<td></td>
</tr>
<tr>
<td>• There is evidence of a co-ordinated, effective and planned approach to audits. Audit activity is focused on achieving compliance with legislation.</td>
<td></td>
</tr>
<tr>
<td><strong>Managed</strong></td>
<td></td>
</tr>
<tr>
<td>• There is some auditing, but the techniques used and areas covered do not take account of the nature or importance of the particular risk-control system.</td>
<td></td>
</tr>
<tr>
<td>• There are no co-ordinated plans for audits.</td>
<td></td>
</tr>
<tr>
<td><strong>Ad hoc</strong></td>
<td></td>
</tr>
<tr>
<td>• There is little or no evidence of audits being carried out.</td>
<td></td>
</tr>
<tr>
<td>• Audits that are carried out are not planned or prioritised, and the findings are not acted upon.</td>
<td></td>
</tr>
</tbody>
</table>
# Incident Investigation

## Background

This is concerned with reviewing the performance of the management system and risk controls after an incident.

## Excellence

- As for predictable level below, with an understanding of the implications of the findings from other organisations' investigations. There is evidence that the organisation’s culture is seen as being just.

## Predictable

- As for standardised level below, but the quality of investigation produces recommendations that can be applied both within and outside the organisation.
- The range of incidents investigated includes, where appropriate, disruptions to work and where expected outcomes are not achieved.

## Standardised

- There are standard arrangements for when and how investigations are carried out.
- The root cause of an incident is investigated, and investigations are also carried out after a near miss or near hit.

## Managed

- Incidents are investigated but there is little guidance on how or what to investigate.
- Immediate causes are investigated.
- The range of incidents investigated is limited to accidents, and recommendations arising from investigations are limited to preventing the same thing happening again. They do not identify areas for wider improvement.

## Ad hoc

- There is no evidence of effective investigations, and the culture of the organisation is to find someone to blame.
<table>
<thead>
<tr>
<th>MRA4</th>
<th>Management review</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Background</strong></td>
<td>Monitoring, audit and review</td>
</tr>
<tr>
<td>This subcriterion relates to checking that the organisation’s business objectives are likely to continually improve and deliver excellence.</td>
<td></td>
</tr>
<tr>
<td><strong>Excellence</strong></td>
<td></td>
</tr>
<tr>
<td>- As for predictable level below.</td>
<td></td>
</tr>
<tr>
<td><strong>Predictable</strong></td>
<td></td>
</tr>
<tr>
<td>- As for standardized level below, but learning lessons from incidents in other organisations and other industries.</td>
<td></td>
</tr>
<tr>
<td><strong>Standardised</strong></td>
<td></td>
</tr>
<tr>
<td>- Management automatically uses findings from monitoring and audits to review the organisation's performance and make changes where necessary.</td>
<td></td>
</tr>
<tr>
<td>- Recommendations from reviews are clearly allocated, tracked and show that the wider implications are considered.</td>
<td></td>
</tr>
<tr>
<td><strong>Managed</strong></td>
<td></td>
</tr>
<tr>
<td>- The reviews carried out are not part of an ordered approach to improvement. They are often reactive and not planned as part of the management cycle.</td>
<td></td>
</tr>
<tr>
<td><strong>Ad hoc</strong></td>
<td></td>
</tr>
<tr>
<td>- There is no analysis of the findings of monitoring and audits.</td>
<td></td>
</tr>
<tr>
<td>- Business objectives are not reviewed.</td>
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</tr>
<tr>
<td>MRA5</td>
<td>Corrective action</td>
</tr>
<tr>
<td>------</td>
<td>-------------------</td>
</tr>
<tr>
<td><strong>Background</strong></td>
<td>Organisations should have arrangements in place for defining, allocating and completing actions arising from monitoring, investigation, audit and review.</td>
</tr>
<tr>
<td><strong>Excellence</strong></td>
<td>- As for predictable level below, and with corrective action put in place by sources within and outside the rail industry.</td>
</tr>
</tbody>
</table>
| **Predictable** | - As for standardized level below, but with closure criteria and mechanisms for tracking progress.  
- Corrective actions are linked to objectives set out in the safety management system to get the most benefit possible. |
| **Standardised** | - A process is in place to make sure the necessary actions identified by monitoring, audits and reviews are implemented and identify who is responsible for the actions and the timescales for carrying them out.  
- Corrective action will be at any level of the safety management system. |
| **Managed** | - Simple findings from monitoring, audit and review give rise to simple actions and changes to low levels of the safety management system.  
- No systematic process. |
| **Ad hoc** | - Monitoring, audits and reviews result in little or no change, because either none are carried out or they are not followed up. |