The Geography & Geology of the Rail Industry

Claire Dickinson

17th October 2014
Train Operating Companies (TOCS) & Entities In Charge of Maintenance
Infrastructure – Stations and Track
Electrification - South-West and North West
Metro’s, Transport for London/LU, trams, heritage
Organisations

TRADE UNIONS – Aslef, RMT, TSSA, Unite

ROSCO Train Leasing Companies
ORR is the combined independent regulator for the rail industry

**Economic regulator** for railway infrastructure (Network Rail and HS 1)

**Health and safety regulator** for the rail industry as a whole – including main line, metro, tramways and heritage railways across Britain

**The industry’s consumer and competition authority** – including complaints handling policies, disabled people’s protection policies and ticketing and fares codes of practice

ORR also has a role in providing independent advice to the government and to the industry about the future of the railways, and we work with regulatory authorities in other sectors in the UK and rail authorities across the world to develop best-practice standards in railway regulation.
Our purpose

- As the health and safety regulator for Britain’s railways, the law requires us to make sure railways companies have arrangements in place to protect the health, safety and welfare of workers, and protect others (including passengers) against health or safety risks created by the railways

- Make sure the legal framework for railway safety is developed and maintained

How we do this

- We have inspectors and other employees in ORR dedicated to this purpose (currently about 110 people)

- The law gives us enforcement powers

- We can recommend legislation
How we do it

- Examine duty holders’ risk management arrangements and grant permission to operate;
- Audit and inspect, aspects of their safety-management systems;
- Investigate incidents and complaints (to identify failures and ensure lessons are learnt);
- Assess the effectiveness of duty holders’ safety-management system and management abilities and attitude [excellence in health and safety and Railway Management Maturity Model (RM3) http://www.rail-reg.gov.uk/server/show/nav.1098];
- Use our powers to bring about improvement; and
- Prioritise and target our resources efficiently, particularly at train accident (catastrophic) and serious risks to individual workers and passengers, but we don’t examine all risks.
ORR : Policy and technical link to HSE

- Health & Safety at Work, etc Act, 1974
- Management of Health & Safety at Work Regulations, 2003
- Railway and Other Guided Transport Systems (Safety) Regulations, 2011 (amended)
- Reg 22 Transport operators to co-operate with one another
- Part 4 on safety critical work : Reg 24 Competence & Fitness, Reg 25 Fatigue
Further Legal Instruments

- The Rail Vehicle Accessibility (Non-Interoperable Rail System) Regulations 2010 (RVAR 2010) set out the accessibility standards to which new non-mainline (and older rail vehicles as and when they are refurbished) must comply.

- The Railways (Interoperability) Regulations 2011 (RIR) came into force on 16 January 2012 and implement the EC Directive 2008/57/EC on the interoperability of the UK rail system. They apply to new, major, upgraded or renewed infrastructure and rolling stock. Applicants have to follow a framework and seek an authorisation from ORR, to place the infrastructure or rolling stock into service.

- Transport and Works Act 1992 – exercise due diligence to ensure that their employees do not carry out safety critical work whilst under the influence of drugs or alcohol
Train Driver Licenses & Certificates Regulations, 2010

- Reg 8 – Doctors to be on the published register
- Applications are made to: ORR, Railway Safety Directorate
  Administration Team
  Office of Rail Regulation
  One Kemble Street
  London
  WC2B 4AN
To be published shortly

- Inspectors guidance:
  - DEEE
  - Silica

Strategic position papers on:
- Stress management
- HAVS
- Musculoskeletal disorders
- Asbestos
Chapter 11: headcount, absence and absence costs

Key messages in this chapter (continued)

- We are looking for Network Rail to improve its occupational health management and in doing so achieve £20m in cost savings in the final year of CP5, with a total saving of £55m in CP5.

- We expect Network Rail to improve its health and safety performance in CP5 and we will monitor its implementation of the strategies on safety and wellbeing and health and wellness.
<table>
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<th>Office of Rail Regulation (ORR)</th>
<th>Railway industry duty holders</th>
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| • enforces compliance with Health and Safety at Work Act and subordinate regulations for Britain’s railways by:  
  ➢ setting railway-specific policy;  
  ➢ producing guidance;  
  ➢ inspection, audit and investigation or risk controls;  
  ➢ driving improvement through advice and formal enforcement;  
  ➢ ensuring research is carried out.  
• assures that duty holders comply with processes which deliver system safety for the mainline railway; and  
• acts as Britain’s National Safety Authority in Europe. | • duty to eliminate risk by:  
  ➢ conducting risk assessments;  
  ➢ implementing control measures within a Safety Management System (SMS) through setting safe systems of work, instruction, training, supervision, monitoring and review of the effectiveness of their controls; and  
  ➢ co-operating with other operators and parties.  
• licence condition requires railway group members (but only on the mainline) to join RSSB. Others, such as suppliers, can join voluntarily. |

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<th>Rail Safety and Standards Board (RSSB)</th>
<th>Rail Accident Investigation Branch (RAIB)</th>
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| • scope is the mainline railway;  
  • manages railway group standards for interfaces (operational/performance benefits as well as safety);  
  • supports the industry in securing health and safety by:  
    ➢ data-gathering, analysis and risk modelling;  
    ➢ running the cross-industry research, development and innovation programme; and  
    ➢ encouraging and facilitating cooperation; and providing technical expertise. | • independent investigation body for railway accidents/incidents;  
• has no enforcement powers;  
• produces reports with recommendations about preventing a reoccurrence;  
• can produce urgent safety advice; and  
• does not apportion blame or liability. |
Set up in 1993, ATOC brings together all train companies to preserve and enhance the benefits for passengers of Britain’s national rail network, which jointly we do by providing these services:

- a central clearing house for the train operators, allowing passengers to buy tickets to travel on any part of the rail network, from any station, through the Rail Settlement Plan

- a customer service operation, National Rail Enquiries, giving passengers up-to-the-minute information on train times, fares, reservations and service disruption across the country

- developing commercial activities, such as a range of discounted and promotional railcards,

- an operations, engineering and major projects team, that supports Scheme members in delivering a safe, punctual and economic railway

From 2011, the Rail Delivery Group has been responsible for leadership, policy formulation and communications on behalf of the whole rail industry
RAIB – railway investigation body

- RAIB – Norwich Station incident due to micro-sleep or lack of concentration
  - Short term lack of sleep
  - Prescribed medication
  - Information provided to the railway doctor
- RAIB the independent railway accident investigation organisation.
  - Industry learning on safety, not establishing liability or blame, no enforcement role
  - Signatory to Work Related Deaths Protocol with BTP, ORR, HSE etc
  - Established by the Railway Safety Directive 2004/49/EC
RSSB Industry Roadmap

**Railway Health and Wellbeing Roadmap**

**Our Vision**
GB railway is an industry where everyone takes responsibility for Health and Wellbeing and benefits from it.

**Principles of Working**
- A collaborative approach
- Share best practice
- Keep it simple
- Evidence based decision making
- One size does not fit all
- Cost effective

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**Strategic Theme**

**Industry Leadership**
- Set up policy group
- Develop a cross industry health and wellbeing charter
- Influence policy
- Ongoing communication and engagement agenda

**Clinical Knowledge**
- Review and agree a set of voluntary medical stets
- Risk based guidance for rail organisations
- Stimulate and reduce costs of health market
- Develop wellbeing strategy
- Rehabilitation strategy and business case

**Reporting and Monitoring**
- Cross industry health data system specification
- Short term data solution
- Analysis and intelligence
- Act on Findings
- Support employee engagement

**Employee Engagement**
- Evaluate effects of absenteeism and presentism within rail system
- Increase employee say in health management
- Research better job design (kid, stress)
- Use specialists to review health in common rail environments
- Increase provision of health training via supply of links to training materials
- Promote employees role in personal health and wellbeing management
- Undertake initiatives to support health in the supply chain

**Behavioural Change**
- Shift focus from reactive to proactive health management
- Alongside societal crime we contribute to the healthier lives of people
RSSB Railway Group Standards

Issue Industry Standards – 3451 issue 4 & 3452 issue 1
RSSB : CIRAS Risks Catastrophic, Health & Safety mantra “health like safety”
Implementation of NR Health & Wellbeing Strategy

Employee Health and Wellbeing
Our Vision and Strategy: Everyone Fit for the Future 2013 - 2024

Reaching our Vision
- A 6 Point Plan for Employee Health and Wellbeing

Everyone home safe every day
Health and Wellbeing: 6 Point Plan Summary

**Objective**

The objectives of the 6 Point Plan are a) to support the delivery of our Health and Wellbeing Strategy, b) to contribute towards our target of eliminating all new and worsening occupational related health disorders, (c) to improve the health and wellbeing of our people, and (d) to underpin our Vision of ‘everyone fit for the future’. The Plan provides a number of targeted interventions which, when implemented with sufficient pace and rigour, will provide a sustainable step-change in the health and wellbeing of our organisation.

**Scope**


**Impact**

Network Rail will achieve the processes required to prove legal compliance, will be able to identify trends and impact related to health and will have the building blocks in place to support our people’s wellbeing

This plan will touch all elements of our cultural aims and will support our move towards a fair, inclusive, innovative and risk-aware culture

**Culture**

![Culture](image)

- Fair
- Open
- Learning
- Inclusive
- Innovative
- Risk-Aware

**Team**

Given the breadth and complexity of the challenges, a number of cross functional teams will deliver each part of the plan. Members of teams will be used as required, with some having regular involvement and others acting as points of contact or giving input as required

**Target**

Increased participation in health surveillance across Network Rail
Robust and accurate health and wellbeing data collected and assessed
Mental wellbeing and musculoskeletal health trials completed in selected strategic business units

**Risks**

1. Executive level support drops off
2. Lack of resources to deliver the programme
3. Big incident changes priorities
4. Routes/IP deviate from programme
5. TUs/Employees do not support our programme

**Links**

1. Safety and Wellbeing Strategy
2. Sustainability Strategy
3. HR
4. Diversity and Inclusion
5. ORR Occupational Health Strategy
Transport for London & TOC strategies
Thank you

Any questions?

Claire.dickinson@orr.gsi.gov.uk
Tel: 0207 282 3742