Tram safety conference – ORR expectations
22 January 2018
Ian Prosser, HM Chief Inspector of Railways, ORR
Why are we here?
RAIB recommendations

R10: Risk assessment methods
R11: Fatigue risk management
R12: Reporting and learning culture
R13: Complaints handling
R14: CCTV
R15: Maintenance documentation

 Likely to have wider relevance

Eventually owns

Informs ORR decisions

R2: Common system risk analysis

R1: Standards and co-operation body

Collaboration

Controls = highest priority

R3: Overspeed protection systems
R4: Driver vigilance
R5: Signage and visual cues
R6: Containment in vehicles (doors and windows)
R7: Emergency lighting
R8: Evacuation

Mitigations = lower priority

Recommendations on ORR

Recommendations on the tramway sector

Recommendations on Croydon tram operator / owner

Likely to be specific to Croydon
ORR’s objectives

To ensure the tram industry takes the right actions in response, in the right order and with suitable pace.

In particular:

- Reasonably practicable safety improvements are made, with a focus on improving control of risk and preventing (rather than simply mitigating) further accidents;

- Decisions are made based on sound evidence of the level of risk and the costs of intervention;

- Collaboration occurs to support consistent adoption of good practice and consensual decision-making around safety data, risk profiling and standards;

- Tram duty holders take collective ownership of the recommendations, but we hold them to account to demonstrate satisfactory progress.
Proposed approach

Rec 1
- Owns when set up

Rec 2
- Produce a risk analysis of sector or model that can be adapted for each network.
  - Use external expertise.

Recs 3/6/8
- Determine reasonably practicable implementation

Recs 4/5/7
- Continue implementation work already in progress; analyse risk reduction benefits of systems already implemented

Rec 9
- Embed RM3 and our supervision regime in tram sector
- Use RM3 assessment and industry risk analysis to determine any change to regulatory approach

- Respond to RAIB on Recs 2, 3, 6, 8
- Respond to RAIB on Recs 4, 5, 7
- Write up and consult on a strategic risk chapter on LR/heritage
- Publish and respond to RAIB on Rec 9
Aspiration for today

- Shared understanding of priorities
- Commitment to act
- Governance proposals
- Agreement on next steps
Safety body for trams – ORR view

Martin Jones, Head of Railway Safety Policy, ORR
Rec 1: Standards and co-operation

■ RAIB’s Recommendation 1: “ORR should work with the UK tram industry to develop a body to enable more effective UK-wide cooperation on matters related to safety, and the development of common standards and good practice guidance.”

■ Initial options identified:
  - Enhance the role of UK Tram
  - Extend the remit of RSSB into the tram sector
  - Establish a new body
  - Do nothing

■ Challenges:
  - No explicit licence / regulatory requirement exists to support a tram standards body
  - Funding of a new body or to expand remit of an existing one
ORR’s role is to ensure the intent of the recommendation is met…

…not ORR’s role to determine identity, remit, composition

ORR has no fixed view or “favoured option”
Key principles

Ownership
• Proposals should be sought by or emanate from the end implementers of the recommendation

Consensus
• Outcome must be broadly supported by tram owners and operators

Participation
• Active participation by all tram operators and owners is essential to sustained success

Funding
• Should be funded at least in part by the industry

Expertise
• Should not drain expertise from the sector, must learn from relevant other sectors (e.g. mainline rail) and countries

Legal change
• Only necessary if the above cannot be achieved voluntarily
Regulatory approach - options
Implementing recommendation 9

Martin Jones, Head of Safety Policy, ORR
Rec 9: Regulation and supervision

RAIB Recommendation 9: “The Office of Rail and Road should carry out a review of the regulatory framework for tramways and its long-term strategy for supervision of the sector.”

Initial options considered:

- Allocating additional resources for proactive inspection of tram operators’ safety management systems
- Engagement activity to promote management maturity model in the sector
- Enhancing visibility of tram operators’ own safety management audits
- Extending safety certification to tramways (voluntary / mandatory)
- Do nothing

Challenges:

- Retaining balance and proportion between trams and higher-risk areas
- Constraints around making legislative changes
- Need for a new assessment of risk (Recommendation 2)
Next steps

1. Embed management maturity model and supervision approach in the sector
2. Consider findings alongside industry’s systematic risk analysis
3. Develop and publish strategic approach to tram sector risk
4. Further action if evidence supports it
Thank you.