

Ref:	NR/L2/CTM/201
Issue:	2
Date:	03/03/2012
Compliance date:	02/06/2012

Level 2

Competence Management

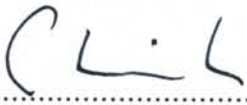
Endorsement and Authorisation

Endorsed by:



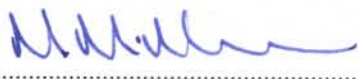
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Authorised by:



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Accepted for issue by:



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User information

This Network Rail standard contains colour-coding according to the following Red–Amber–Green classification.

Red requirements – *No deviations, could stop the railway*

- **Red requirements shall** always be complied with and achieved.
- Red requirements shall be presented in a red box **with the word “shall” or expressed as a direct instruction**.
- Accountability for the efficacy of red requirements lies with the Professional Head/Standard Owner.
- Red requirements are monitored for compliance.
- Corrective actions shall be enforced if deviations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

Amber requirements – *Controlled deviations, approved risk analysis and mitigation*

- **Amber requirements shall** be complied with unless deviation has been approved in advance.
- Amber requirements shall be presented with an amber sidebar **and with the word “shall” or expressed as a direct instruction**.
- Accountability for the efficacy of these requirements lies with the Professional Head/Standard Owner, or their nominated Delegated Authority.
- Amber requirements are monitored for compliance.
- Deviations **may** be permitted. Deviations are approved by the Standard Owner or through existing Delegated Authority arrangements.
- Corrective actions shall be enforced if **non-approved** deviations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

Green – *Guidance*

- Guidance is based on good practice. Guidance represents supporting information to help achieve **Red** and **Amber** requirements.
- Guidance shall be presented with a dotted green sidebar **and with the word “should” (usually in notes) or as a direct instruction**.
- Guidance is **not mandatory** and is not monitored for compliance.
- Alternative solutions may be used. Alternative solutions do not need to be formally approved.
- Decisions made by a competent person to use alternative solutions should be backed up by appropriate evidence or documentation.

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Issue record

Issue	Date	Comments
1	December 2010	Revised and updated following review, replaces NR/L2/CTM/001
2	March 2012	Revised and updated to incorporate changed assessment requirements

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 2nd June 2012.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

Reference documentation

NR/L1/CTM/001	Competence Management
NR/L2/CTM/202	Quality Assurance in Training and Assessment

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1 Purpose

This standard sets out the requirements for managing the competence of Network Rail employees involved in work that can affect the operational safety and/or performance of Network Rail managed infrastructure. It defines the processes that Network Rail implements and maintains as part of its Competence Management System.

2 Scope

The Competence Management System applies to all work undertaken by Network Rail employees, on Network Rail managed infrastructure that can affect operational safety, personal safety and/or performance of Network Rail managed infrastructure.

3 Definitions

Assessment

A systematic process of gathering and judging evidence to 'prove' or 'determine' an individual's competence as defined in a competence standard. Assessment includes the re-assessment of individual's competence.

A measurement process of the learning that has either taken place or can take place – usually measured against stated learning outcomes.

Assessor

An individual who has been trained in assessment techniques and methods. Who has occupational experience and current knowledge of Railway Group/Network Rail standards applicable to the activity and competence standard. See also Supported Assessor.

Authority to Work

A document that details the work activities that a person is authorised to undertake. It includes the details of a person's competence and details of any restrictions that may apply to the way the person works e.g. requirement for supervision.

Candidate

An individual whose competence is being assessed.

Competence

The ability to undertake responsibilities and to perform activities to a recognised standard on a regular basis. A combination of practical thinking skills, experience and knowledge and includes a willingness to undertake activities in accordance with agreed standards, rules and procedures.

In the context of this standard it also includes the consistent achievement of an identified standard of performance under defined normal, abnormal, and emergency situations; the ability to undertake activities to arrange for suitable measures to be put in place aimed at achieving the safety of any individual who might be affected by the work and an appropriate level of fitness.

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Competence Management System (CMS)

A suitably resourced, logical and integrated cycle of activities within an organisation used to assure competence of those who, through lack of competence, has an adverse impact on the;

1. safe operation and maintenance of Network Rail managed infrastructure;
2. occupational health and safety of workers on or about the Network Rail managed infrastructure;
3. safety of other persons affected by their actions or inactions;
4. performance of Network Rail's business.

Competence profile

A description of the range of competence requirements that apply to a specific job role or post. The Competence Profile is used to determine the training and assessment requirements for the person occupying the post.

Initial competence assessment

Process to determine an employee's competence after initial training.

Leadership behaviours

Behaviours successful leaders display that are proven to contribute to high performing teams and organisations. These include acting to raise the performance and results of an organisation beyond the level that would have been achieved without them.

Line manager

An individual who has immediate managerial responsibility for others.

Oracle E-Business Suite

Corporate Competence Management Records System.

Safety critical work

As defined in the Railways and Other Guided Transport Systems (Safety) Regulations 2006 [ROGS] Regulation 23.

Safety related work

Work activities carried out in the railway industry that can affect the health and safety of persons on the transport system but that do not have a real time impact on the operational railway.

Supported assessor

An assessor who has been trained in assessment techniques and methods but does not have the technical knowledge of Railway Group standards and Network Rail standards applicable to the activity and competence standard and therefore uses the expertise of another individual who has the required technical knowledge to support competence assessments

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Trainer

An individual who gives knowledge or information to learners in a systematic manner by presenting information, directing structured learning experiences, and managing/facilitating group discussions and activities.

An individual who is approved by Network Rail to deliver one or more named training events and is involved in the activity of delivering targeted learning to an audience.

NOTE: The identified role within Network Rail Professional Development & Training currently responsible for this activity is that of the "Workforce Development Specialist" (WDS).

Verification

A process by which the quality of assessment decisions and the supporting process are independently assured.

Verifier

An individual who is competent and authorised to review the assessment process and confirm assessment decisions.

4 Competence management objectives.

The Head of Professional Development and Training shall develop specific measures in the form of objectives and key performance indicators to enable the overall performance of the Competence Management System to be judged.

5 Management responsibilities.

The Director, Human Resources is accountable for:

- the development and maintenance of the Competence Management System;
- implementing and maintaining the arrangements so that people are medically and physically fit for the work they do.

The Head of Professional Development and Training is accountable for:

- defining the procedures to manage competence and training;
- developing and implementing a training strategy;
- provision of adequate resources to enable the effective delivery of training;
- implementation of competence and training assurance processes;
- implementation of an audit and review programme of the Competence Management Systems at Network Rail and its contractors and suppliers;
- maintaining the competence management records system;

The National Training Manager (Materials and Systems) shall support the development of the competence standards, training frameworks and training modules and assessment and monitoring arrangements.

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The relevant professional head or nominated technical lead are accountable for:

- establishing Network Rail's competence and training requirements in relation to that discipline, including identification of activities and associated risk assessment and the approval of competence standards;
- the accuracy and currency of the technical content of all approved training and assessment solutions.

Each Route Managing Director/Functional Director or nominated technical lead is accountable for:

- identifying and planning for the training and assessment needs of all their staff;
- confirming that all staff within their route/function are trained prior to undertaking Safety Critical and/or Safety Related Work or, if not, are subject to supervision by a competent person;
- confirming that all staff within their route/function who undertake Safety Critical Work or Safety Related Work are competent for that work or are subject to supervision by a competent person;
- agreeing the overall training plan for their route/function;
- maintaining accurate records of competence for the people who work within the route/function;
- enabling the competence review process within their route/function.

Each Line Manager is accountable for:

- defining the appropriate competence mix required within their teams;
- agreeing the competence review and/or training plan for their direct reports and arranging the release of people to meet the agreed plan;
- determining the level of competence for each direct report;
- developing and actioning any training/development plans;
- maintaining and reviewing records of work experience;
- maintaining records of training and development for each direct report;
- maintaining records of competence assessment for each direct report.

National Training Managers are responsible for:

- developing and implementing a training delivery plan based on business needs;
- evaluating internal training delivery;
- maintaining training records;
- sourcing suitable training suppliers;