

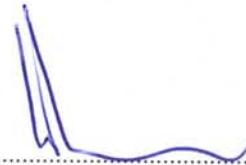
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Level 2

Quality Assurance in Training and Assessment

Endorsement and Authorisation

Endorsed by:



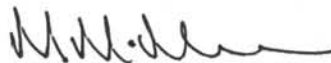
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User information

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	June 2010	New .Incorporating Quality Assurance in Training Delivery (NR/SP/CTM/005) and Quality Assurance in Competence Assessment (NR/SP/CTM/006)
2	December 2011	Updated to reflect business changes and Red Amber Green classified

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 3 March 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/L2/OHS/050	Sentinel Scheme Rules
NR/L2/CTM/021	Competence and Training in Track Safety
ROGS	Railways and Other Guided Transport Systems (Safety) Regulations 2006 [ROGS] Regulation 23

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1 Purpose

This standard is required as part of the Network Rail Competence Management System to confirm that training organisations use approved trainers, training materials and have sufficient resources and appropriate processes in place to deliver specific Network Rail approved training and that assessment organisations use approved Assessors, techniques and have appropriate processes in place to undertake competence assessment of people who undertake work on Network Rail managed infrastructure.

2 Scope

This standard applies to all organisations and individuals that deliver Network Rail approved training and who use competence standards issued by Network Rail to undertake competence assessment of people who undertake work on Network Rail managed infrastructure.

3 Definitions

For the purpose of this standard, the following terms and definitions apply.

Approved trainer

A trainer who has demonstrated that they meet the trainer criteria described in this standard and who is approved by Network Rail and/or its approving organisation to deliver one or more named training events.

NOTE 1 For the purposes of a Sentinel competence the definition of an 'Approved trainer' is more widely known as an 'accredited trainer' in the rail industry.

Approved training organisation

An organisation that has demonstrated that it:

1. meets the training organisation approval criteria described within this standard;
2. has all the tools, equipment and suitable access necessary to deliver specified training events;
3. is approved by Network Rail and/or its approving organisation to deliver specified training event(s).

NOTE 2 For the purposes of a Sentinel competence the definition of an 'Approved training organisation' is more widely known as an 'accredited training provider' in the rail industry.

Approved assessor

An individual approved by Network Rail or its approving organisation who uses Network Rail competence standards and/or assessment materials to provide assessment services to third parties and/or complete assessments that are recorded on the Sentinel scheme database.

NOTE 3 For the purposes of a Sentinel competence the definition of an 'Approved assessor' is more widely known as an 'accredited assessor' in the rail industry.

Approved assessment organisation

An organisation that uses Network Rail competence standards and assessment materials to provide assessment services to third parties and/or complete assessments that are recorded on the Sentinel scheme database and approved by Network Rail and/or its approving organisation.

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NOTE 4 For the purposes of a Sentinel competence the definition of an 'Approved assessment organisation' is more widely known as an 'accredited assessment provider' in the rail industry.

Approving organisation

A company or individual authorised by Network Rail to review and approve applications for:

1. training organisations;
2. trainers to deliver specific training events;
3. assessment organisations;
4. assessors to assess specific competences.

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.

Candidate

An individual whose competence is being assessed.

Certificate

A document that confirms that specific competence has been demonstrated by an individual against the requirements of a competence standard.

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.

Competence 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.

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;

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3. safety of other persons affected by their actions or inactions;
4. performance of Network Rail's business.

Competence standard

A statement of;

1. what an individual is able to do and how well, in order to achieve the intended outcome of work;
2. the range of circumstances in which the ability is to be demonstrated;
3. the knowledge needed to complete the work;
4. the types of evidence required to confirm that performance is consistent and can be sustained;
5. how this would be assessed;
6. the behavioural elements required to perform those competences where specified.

Continual Professional Development (CPD)

Is the means by which an individual maintains and develops their knowledge and skills related to their professional roles (documented, reviewed and validated, measured by its relevancy and currency)

Delegate

An individual who is undergoing a period of training.

Exceptional circumstances

A description of a situation where an individual has been unable to complete their training and development action plan due to long term sickness or another unforeseeable/unplanned event that has prevented the individual from delivering training and/or assessment.

Monitoring

The process of observing a training or assessment event to confirm effective delivery of the training or assessment, adherence to training and assessment materials. It includes the use of a training evaluation process that enables delegates to comment on the quality of training delivery and verification of assessment results.

Non conformance

A breakdown of the management system.

Minor NCR

Limited lapses of non-conformance in areas that do not give rise to a potentially significant risk.

Major NCR

A significant breakdown of management processes in critical areas.

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Network Rail approved training and assessment

Training and assessment interventions (a combination of material and delivery methodology) developed, approved and issued by Network Rail.

Provisionally approved trainer

A trainer that has been provisionally approved in accordance with **6.1.3** and **6.3**.

Provisionally approved assessor

An assessor that has been provisionally approved in accordance with **6.2**, **6.3** and **9.2**.

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.

Sentinel

The Network Rail specified scheme that provides:

- the provision and management of the secure, computerised records of the identity, training and competences of individuals including the production, distribution and control of competency cards;
- the accreditation of training and/or assessment organisations, trainers and/or assessors.

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.

Training and/or assessment approved by Network Rail

Training and/or assessment interventions approved for use by Network Rail.

Question analysis

The analysis of the number and possible causes of incorrect answers to questions.

Verifier

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

Verification

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