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Level 2

Competence and Training in Planning

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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	03/09/2011	Introduction of Isolation Planning competence standard.
2	02/06/2012	Professional planning capabilities are being added to this standard previously for Isolation Planning activity only.

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 1st June 2013.

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

CFS/207	Planning Competence Framework Summary
NR/L2/CTM/202	Quality Assurance in Training and Assessment
NR/L2/OHS/019	Safety of People Working on or Near the Line
GE/RT8000	The Rule Book
NR/SP/ELP/29987	Working on or about 25 kV A.C. Electrified lines
NR/WI/ELP/3091	DC Electrified lines working instructions
NR/WI/ELP/27051	Work instruction for D.C Electrified Lines in the Liverpool area
NR/WI/ELP/27052	Work instructions for DC Electrified Lines on the Northern City Lines
NR/WI/ELP/27140	Application of short circuiting straps for conductor rail isolations.
NR/L3/ELP/27115	Application of short circuiting straps for conductor rail isolations
NR/L2/NDS/202	Principles, Timescales and Functional Responsibilities For Engineering Work, Access and Heavy Resource Planning
NDS/PLN/LP/070	Planning Of Engineering Access
NR/L2/OPS/110	Requirements for the Weekly Operating Notice, Periodical Operating Notice and Local Operating Instructions (inc Sectional Appendix
NDS/PLN/LP/070	Planning Of Heavy Resource, Seasonal & Infrastructure Monitoring Services
NR/L2/INI/CP0047	Application of the Construction (Design and Management) Regulations to Network Rail Construction Works
NR/L3/INI/CP0064	Delivering Work Within Possessions
NR/L3/MTC/MG0210	Management of possession overrun within Infrastructure Maintenance

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NR/L3/MTC/PL0211	Planning of Engineering Access and NDS-Supplied Resource for Infrastructure Maintenance Delivery Units
NR/L3/MTC/PL0151	Works planning using PossMan
NR/L3/MTC/PL0159	Short-term works planning in Infrastructure Maintenance
NR/L3/MTC/PL0160	Medium-term works planning in Infrastructure Maintenance
NR/L3/MTC/PL0067	Highways interface planning in Infrastructure Maintenance
NR/L3/MTC/PL0175	Maintenance Planning Handbook

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1 Purpose

The purpose of this standard is to set out the minimum requirements for the training and review/assessment of individuals who undertake the planning of work activities that takes place on, or that affects the Network Rail managed infrastructure. It defines processes that are to be implemented and the standards that are to be achieved to confirm that people who are required to undertake these activities are competent.

2 Scope

This standard applies to any person who undertakes the planning of work activities that takes place on, or that affects, the 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.

Behavioural Indicator

A statement detailing a type of behavioural activity by which candidates are assessed for professional competence.

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 may include a willingness to undertake work activities in accordance with agreed standards, rules and procedures.

Competence Framework Summary (CFS)

This is the document used in conjunction with this standard that details the behavioural indicators that are required against each level of capability. This is the document by which employees are assessed in determining competence relevant to the activity.

Competence Management System (CMS)

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

- safe operation and maintenance of Network Rail managed infrastructure;
- occupational health and safety of workers on or about the Network;
- safety of others affected by their actions or inactions;
- performance of Network Rail's business.

Competence standard

A statement of:

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- what a person has to be able to do and how well, in order to achieve the intended outcome of work;
- the range of circumstances in which the ability would have to be demonstrated;
- the knowledge required to complete the work;
- the types of evidence needed to confirm that performance is consistent and can be sustained;
- how this would be assessed.

Competence review

A process used to confirm that people remain competent.

Competence statement

A statement that generically describes the activity to be undertaken and at what level of proficiency the competence is to be demonstrated.

Delegate

An individual who is undergoing a period of training.

Mentoring period

A period of time between the satisfactory completion of training where an individual undertakes the work under supervision of a mentor. This period is used to enable the individual to practice the activity, acquire the associated knowledge and collate the relevant evidence ready for assessment.

Record of competence

The employee's competence profile on the CMS which is updated upon achieving the required level of competence as determined within this competence standard.

Verification

In the context of this standard verification is a process by which the quality of assessment decisions and the supporting process are independently assured.

Work experience evidence

Product evidence of work completed, associated with a specific competence. Demonstrates what, where and when the individual performed the work activity.

4 General requirements

4.1 Deployment

Employers shall have systems in place to support persons who undertake the planning of work activities that takes place on, or that affects, the Network Rail managed infrastructure. Until competence is confirmed, individuals undertaking these activities shall be subject to appropriate levels of supervision. Unassisted planning is only permitted once competence is confirmed.

4.2 Suitability

Before an individual is appointed to a planning role employers shall undertake a suitability assessment. In making this assessment consideration shall be given to the following behavioural capabilities:

- attention to detail;

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- teamwork;
- problem solving;
- organisational skills.

The behavioural framework contained in **Appendix C** can be used to support the assessment of capabilities.

NOTE 2 The behavioural framework contains indicators which can be incorporated into existing recruitment arrangements; for example an interview or specific assessments can be developed to evaluate these capabilities.

4.3 Mentoring

Employers shall appoint a competent and experienced person as a mentor who shall provide supervision to employees requiring mentorship. This person shall hold the relevant planning competence they are to supervise.

The period of mentoring shall not normally exceed three months. Where the candidate is not yet competent, the period of mentoring can be extended. Where competence under mentorship has not been met within 12 months the candidate's suitability to the role shall be re-evaluated.

People with leading or expert level capabilities, as defined in **Appendix B**, shall be considered as suitable to mentor others. Where this is not possible within an immediate team/location, arrangements shall be made for a suitable mentor to be identified and made available to supervise employees subject to mentorship requirements. These arrangements shall be documented.

These arrangements can take the form of:

- regular email and/or telephone contact;
- remote checking of day to day work products;
- periodic progress meetings as agreed within day to day activity constraints;
- checks with responsible managers.

Each employer shall be able to provide work experience evidence for every candidate from the period of workplace mentoring.

4.4 Review of competence

Following successful completion of relevant training and/or development delegates capabilities shall be reviewed against the relevant behavioural indicators contained in CFS/207 Planning Competence Framework Summary by a responsible manager with the relevant skills and knowledge, where this is not possible, that manager shall be supported by a competent person.

4.5 Maintaining competence

Employers shall have systems in place to demonstrate the continued competence of individuals who are required to undertake the planning of work activities that takes place on, or that affects, the Network Rail managed infrastructure.

Refer to work experience evidence when reviewing relevant planning competence.

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5 Record of competence requirements

5.1 Initial record of competence

Full competence shall only be awarded once the candidate is reviewed as competent by a responsible manager with the relevant skills and knowledge or responsible manager supported by a competent person.

If not competent the candidate shall undertake relevant training and/or development followed by a period of mentorship in the workplace. At the end of this period there shall be a further review of competence and record of competence updated as applicable.

It is recommended that reviewer and mentor are different people. Document any circumstances where they are the same person.

Planning competence, excluding Isolation Planning, shall be reviewed every 24 months and arrangements made to update the candidate's record of competence.

5.2 Transferability of competence

Where an already competent individual transfers into a role that requires planning competence, the employer shall confirm the competence of the individual. Where applicable, proof of prior experience shall be provided by the individual.

The responsible manager shall make or arrange a review of the individual's competency. The learning and development needs of the individual shall be identified and arrangements put in place to address any competence development needs.

6 Training and Assessment requirements

6.1 Delivery of training

Trainers delivering formalised planning training events associated with this standard shall comply with NR/L2/CTM/202 Quality Assurance in Training and Assessment.

Trainers shall only use Network Rail approved training materials and assessments to deliver training.

Assessors undertaking end of training assessments associated with this standard shall comply with NR/L2/CTM/202 Quality Assurance in Training and Assessment.

Assessors shall only use Network Rail approved assessment materials to complete competence assessments.

6.2 Verification

Employers shall have systems in place to demonstrate that verification takes place.

7 Application requirements

7.1 Competence statements

Competence statements have been developed which, when used together with CFS/207 Planning Competence Framework Summary, shall be suitable to control the risks associated with sub-standard performance of individuals who are undertaking the planning of work activities that takes place on, or that affects, the Network Rail managed infrastructure. These competence statements are detailed in **Appendix B**.

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7.2 Competence profiles

The competence statements are only applicable to the job roles associated with individuals undertaking the planning of work activities that takes place on, or that affects, the Network Rail managed infrastructure. Specific competence profiles using CFS/207 shall be developed for each role. Competence statements, their linked behavioural indicators and level of capability shall be selected on the basis of the job role and responsibility.

7.3 Training needs

Employers shall have systems in place to identify specific training or development requirements for each individual in scope.

7.4 Competence review strategy

7.4.1 General

The strategy to be applied to competence review takes account of a number of factors:

- whether or not the individual is new to the job role;
- level of training and experience the individual has had;
- the practicality of gathering observed evidence;
- the risks from incompetent performance.

7.4.2 Initial competence review

The following approach shall be used:

Case 1

Where the activity is new to the candidate's area of responsibility they shall;

- be reviewed against the requirements laid down in the relevant competence framework summary;
- undertake the relevant training and/or development activities and where applicable complete associated assessments.

If the candidate is competent, the person completing the review shall make arrangements to update the candidate's record of competence.

If the candidate is not yet competent:

- the responsible manager shall agree and implement a development action plan;
- the candidate is able to continue workplace experience under supervision;
- on completion of the agreed development action plan, the candidate's capability shall be reviewed again for the specific competence.

Case 2

Where the candidate has been previously trained/developed and/or has been completing the work for more than 12 months they shall be reviewed for the specific competence using the following as the primary source of evidence:

- detailed questioning;

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- product/work experience evidence produced by the candidate;
- performance reports/observation records/written statements from the responsible manager to confirm satisfactory performance across the range of work detailed in the competence framework summary.

If the candidate is competent the person completing the review shall make arrangements to update the candidate's record of competence.

If the candidate is not yet or no longer competent they shall be dealt with as described in **Case 1**.

7.4.3 Maintaining competence

Employers shall have systems in place to assure the continued competence of individuals undertaking the planning of work activities that takes place on, or that affects, the Network Rail managed infrastructure.

These systems can consist of:

- detailed questioning;
- product/work experience evidence produced by candidates
- performance reports/observation records/written statements from the responsible manager to confirm satisfactory performance across the range of work detailed in this competence standard and associated competence framework summary.

This may be in the form of the following:

- copies of work products;
- check sheets;
- work experience evidence;
- formal communications relating to the candidate in context of the requirements contained in this competence standard and associated competence framework summary.

The implementation of a review/re-assessment regime shall confirm that:

- the work completed by the candidate meets the requirements of the behavioural indicators contained within CFS/207 Planning Competence Framework Summary;
- the candidate has the knowledge defined in CFS/207 Planning Competence Framework Summary;
- there have been no adverse consequences of completing the relevant activity.

Where continued competence cannot be confirmed through the review, arrangements shall be made for the competence to be withdrawn.

The responsible manager shall develop a plan to restore the candidate's competence, dependent upon business needs, which may include retraining and/or further development and review/re-assessment.

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Appendix A Planning training framework summary

A.1 General

Training shall be a mix of, formalised training events, development activities, professional discussions and feedback and knowledge enhancement exercises, where necessary to meet the criteria of each competence.

Employers shall have systems in place to provide sufficient training and/or development to individuals who are required to undertake the activities as described in **Appendix B**.

Training shall be made available and individuals reviewed/assessed against the criteria detailed in CFS/207 Planning Competence Framework Summary.

NOTE 4 This may not necessarily be a formal training event but may be a method of observation, mentoring and post period review.

A.2 Training events

Where an individual requires training to develop their planning competence they shall attend and successfully complete the Network Rail approved planning training applicable to the competence.