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Rail Industry Standard for Train Driver Selection
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Rail Industry Standard

Rail Industry Standard for Train Driver Selection

Issue record

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Three	07 March 2015	Clarification of the risks the psychometric assessment process helps mitigate, clarification of guidance for candidates with previous driving competence on non-GB mainline networks, incorporation of ATOC ACOP006 following ATOC ceasing to oversee the Rail Assessment Centre Forum (RACF) and numerous editorial changes.

Superseded or replaced documents

The following Railway Group documents are superseded or replaced, either in whole or in part as indicated:

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Supply

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Part 1 Introduction

1.1 Purpose of this document

- 1.1.1 This Rail Industry Standard (RIS) provides requirements and guidance on the selection process for train driver candidates who will drive on the GB mainline network. It has been developed for any member of RSSB to adopt if they wish to do so.
- 1.1.2 It includes requirements and guidance for the standardised psychometric assessment of train driver candidates. This is part of the overall selection process of train drivers.
- 1.1.3 In addition it contains requirements and guidance that relate to the transfer of information about train drivers when they change employment between railway undertakings.
- 1.1.4 The document is set out in the form of requirements followed by guidance. Railway undertakings may wish to use the guidance during the development and management of their train driver selection process.

1.2 Application of this document

- 1.2.1 A member of RSSB may choose to adopt all or part of this document through company procedures or contract conditions. Where this is the case the member of RSSB will specify the nature and extent of application.
- 1.2.2 This standard outlines an agreed industry method for the psychometric assessment process for candidates for employment as train drivers who will drive on the GB mainline network. Railway undertakings may wish to conduct psychometric assessments as part of the selection of train drivers according to this standard.
- 1.2.3 The psychometric assessment process outlined in this standard has been designed and evaluated as part of the RSSB research programme (T340, T628 and T948) by qualified occupational psychologists and provides a robust assessment against a minimum standard of the key aptitudes required for safe train driving.
- 1.2.4 Railway undertakings that use an alternative psychometric assessment process to that defined in this standard may wish to appoint an occupational psychologist chartered by the British Psychological Society (BPS) or a holder of an equivalent qualification to provide advice on the content of the alternative process.
- 1.2.5 The psychometric assessment process can be administered within a railway undertaking or an external assessment centre or an assessor can be appointed to administer the process.
- 1.2.6 Railway undertakings that appoint an external assessment centre to administer the psychometric assessment may wish to check that the assessments will be carried out according to this standard.
- 1.2.7 The Rail Assessment Centre Forum (RACF) is a group of assessment centre representatives who have undertaken to follow this standard and share good practice. Membership of this forum provides assurance that an assessment centre conducts the psychometric assessment process according to this standard.
- 1.2.8 For railway undertakings that use the services of an external assessment centre further information on procedures and methods of assessment is provided in BS ISO 10667-1:2011 Assessment service delivery — Procedures and methods to assess people in work and organizational settings. Part 1: Requirements for the client.

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- 1.2.9 The Train Driving Licences and Certificates Regulations (TDLCR, 2010) and accompanying Office of Rail Regulation (ORR) position statements¹ also contain requirements that are relevant to the selection of train drivers. This includes exceptions from the regulations, requirements relating to what criteria must be assessed during selection, the requirement for assessors to be registered with the ORR and for certain documentation to be produced when train drivers change employer.

1.3 Health and safety responsibilities

- 1.3.1 Users of documents published by Rail Safety and Standards Board Limited (RSSB) are reminded of the need to consider their own responsibilities to ensure health and safety at work and their own duties under health and safety legislation. RSSB does not warrant that compliance with all or any documents published by RSSB is sufficient in itself to ensure safe systems of work or operation or to satisfy such responsibilities or duties.

1.4 The structure of this document

- 1.4.1 This document is set out as a series of requirements, followed by guidance. The guidance is indicated by prefixing the paragraph number with the letter 'G'.

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1.6 Approval and authorisation of this document

- 1.6.1 The content of this document was approved by Traffic Operation and Management Standards Committee on 03 February 2015.
- 1.6.2 This document was authorised by RSSB on 05 February 2015.

¹ ORR (2014) Guide to the Train Driving Licences and Certificates Regulations

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Part 2 Requirements for railway undertakings

2.1 Selection criteria

2.1.1 Railway undertakings shall apply valid selection criteria to select suitable persons for train driving work.

2.1.2 Railway undertakings shall derive the selection criteria from:

- a) The physical demands of the operation on train drivers.
- b) The aptitudes and mental abilities identified as necessary to ensure competent train driving, after the appropriate training and development has taken place.

2.1.3 Railway undertakings shall include the selection criteria as defined in Table 1 of Appendix A of this document.

G 2.1.3.1 Railway undertakings are required to include the selection criteria defined in Table 1 of Appendix A because they represent the core set of cognitive, psychomotor and behavioural aptitudes required to have the potential to become a safe train driver and were developed and validated by occupational psychologists at RSSB with considerable input from operations subject matter experts.

G 2.1.3.2 The selection criteria defined in Table 1 of Appendix A do not include the physical capabilities that are required for train driving.

G 2.1.3.3 The physical capabilities required to be assessed during the selection process are to be defined by the railway undertaking with reference to GO/RT3451 Train Drivers – Suitability and Medical Fitness Requirements.

G 2.1.3.4 The selection criteria and assessment methods defined in Table 1 of Appendix A may also be used as part of the selection process for other railway roles that have tasks or characteristics in common with train driving, for example, shunters. Railway undertakings may wish to review the particular role in question to determine what cognitive, psychomotor and behavioural aptitudes are required for that role and what levels of aptitude or skill are required. Based on this, the railway undertaking can choose which of the criteria and methods in Table 1 of Appendix A to apply and how they should be applied.

Physical demands

G 2.1.3.5 To help meet the requirement set out in 2.1.2, a railway undertaking may wish to assess the physical demands placed on train drivers by their operations, identifying the factors which influence the physical requirements for train driving.

G 2.1.3.6 The key factors influencing physical requirements include:

- a) Position of steps, door handles or handrails on rail vehicles in relation to the railway infrastructure.
- b) Operational requirements to access and operate equipment inside or outside trains or on the railway infrastructure.
- c) Design of driving cabs, including sight lines.

G 2.1.3.7 The selection criteria based on these factors represents the minimum physical requirements necessary for performance of train driving tasks without increased risk to the safety of train drivers or to train operations.

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- G 2.1.3.8 The railway undertaking may wish to inform the occupational physicians who conduct or supervise medical assessments of train drivers of these physical requirements.
- G 2.1.3.9 In addition the railway undertakings may wish to obtain advice from occupational physicians and ergonomists on defining and applying physical requirements and on compliance with disability discrimination legislation.

Cognitive, psychomotor and behavioural aptitudes

- G 2.1.3.10 In addition to the selection criteria detailed in Appendix A, a railway undertaking can assess candidates against any additional selection criteria that are relevant to their own organisation and operation.
- G 2.1.3.11 The selection criteria detailed in Appendix A are consistent with the criteria required to be assessed to obtain a train driver licence under the Train Driving Licences and Certificates Regulations (TDLCR 2010).
- G 2.1.3.12 In addition to the selection criteria in Appendix A, candidates for employment as cross-border drivers are to be assessed for language skills to the standard required in TDLCR 2010.

2.2 Overview of the selection process

2.2.1 Railway undertakings shall use a selection process which includes:

- a) A psychometric assessment process as defined in Table 1 of Appendix A of this document for all candidates who have no previous experience as a train driver.
 - b) Any evidence from the candidate which might affect a conclusion on the likelihood of future safe performance.
- G 2.2.1.1 The railway undertaking is required to include the psychometric assessment process in Table 1 of Appendix A because it was designed to cover all of the key aptitudes required for safe train driving and help mitigate the risk of a railway undertaking selecting candidates who do not possess, to the standard required, the core set of cognitive, psychomotor and behavioural aptitudes required to have the potential to become a safe train driver.
- G 2.2.1.2 The Multi-Modal Interview (MMI) assesses oral communication and not written communication, because written communication is considered to be important in train driving but not safety-critical so it is not included in the core psychometric assessment process. If the railway undertaking wishes to assess written communication, the Written Communication Test (WCT) provides a structured way to do this.

2.3 Qualifications of people appointed to administer and design psychometric assessment processes for train drivers

2.3.1 Railway undertakings shall appoint persons qualified to administer and interpret the psychometric assessment methods used.

- G 2.3.1.1 Rail undertakings may wish to appoint persons to manage the psychometric process who have the necessary qualifications, expertise and experience in the:
- a) Administration of the psychometric assessment methods.
 - b) Conduct of interviews.
 - c) Interpretation of results.
 - d) Feeding back of results to candidates and to recruiting railway undertakings.

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- G 2.3.1.2 People appointed to administer the psychometric assessment process are to hold the 'Test User: Occupational, Ability' British Psychological Society (BPS) qualification. This qualification was formerly known as the British Psychological Society Accredited Level A qualification.
- G 2.3.1.3 The qualifications to administer and interpret psychometric assessments may vary according to the requirements of each individual assessment publisher.
- G 2.3.1.4 RSSB is the test publisher of the Situational Judgement Exercise, Multi-Modal Interview and Written Communication Test and as such persons who use these methods are to be appropriately trained and certificated by RSSB, or by an individual or organisation that RSSB has authorised, to provide training and certification.
- G 2.3.1.5 Railway undertakings that use any additional selection criteria and psychometric assessment methods other than those outlined in Appendix A may wish to appoint a person with the BPS 'Test User: Occupational, Ability' qualification to select appropriate psychometric assessment methods.

2.4 Assessment of candidates with previous driving competence

- 2.4.1 There are no requirements associated with this section, rather guidance is provided for the railway undertaking to consider.
 - G 2.4.1.1 A selection process including the psychometric assessment process does not have to be used for candidates with previous competence as a train driver on the GB mainline network.
 - G 2.4.1.2 The extent to which the selection process is modified for such candidates, and the use of psychometric assessment methods in each individual case, depends on the information available to the recruiting railway undertaking. The recruiting railway undertaking may wish to consider information on the following factors when deciding on the selection process to be applied:
 - a) The amount of time spent as a driver after initial training and certification.
 - b) The candidate's safety record, confirmed by the current and previous employer (see Appendix B of this document).
 - c) Recent competence assessment and monitoring records confirmed by the current and previous employer (see Appendix B of this document).
 - d) Differences between previous driving experience and the railway undertaking's own operations. This might be relevant to the choice of psychometric assessment methods (for example, suburban operations compared with long-distance high-speed passenger, freight working compared with passenger, etc).
 - e) The period of time since the candidate last worked as a train driver and the reason for ceasing train driving work.
 - f) Any evidence of major life events which might affect safe performance in future, for examples see Appendix C of this document.
 - G 2.4.1.3 The recruiting railway undertaking may wish to document the psychometric assessment process adopted for a candidate with train driving experience, together with reasons for differences between it and that used for other candidates.

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- G 2.4.1.4 A railway undertaking may wish to use a selection process including the psychometric assessment process for candidates with previous competence as a train driver on non-GB mainline networks, unless they have previously been assessed to the standard specified in this document.

2.5 Delivery of the assessment processes

- 2.5.1 There are no requirements associated with this section, rather guidance is provided for the railway undertaking to consider.

- G 2.5.1.1 Assessors may wish to consider what preparation materials are appropriate for each assessment method and consider providing candidates, at least seven days in advance of the assessment, with the following:

- a) A description of the assessment methods and interview that will be used.
- b) Practice materials with correct responses.
- c) Advice on personal preparation for the process.

- G 2.5.1.2 Further guidance on the delivery of psychometric assessment processes is provided in BS ISO 10667-2:2011 Assessment service delivery — Procedures and methods to assess people in work and organizational settings. Part 2: Requirements for service providers.

- G 2.5.1.3 The Train Driver Assessment Procedures Manual provides detailed instructions on how to administer the psychometric assessment process. It is maintained jointly by the Rail Assessment Centre Forum and RSSB and is currently available to Rail Assessment Centre Forum members on request from the Forum.

2.6 Results of the psychometric assessment process

- 2.6.1 Railway undertakings shall make a judgement about whether a candidate passes or fails the psychometric assessment process based on the agreed industry scoring criteria that are published in the Train Driver Assessment Procedures Manual.

- 2.6.2 Railway undertakings shall record each assessment score and the outcome from the assessment of each selection criterion for each candidate.

- G 2.6.2.1 To facilitate the final selection decision the railway undertaking may wish to provide the recruiting manager with guidance on the scores achieved.

- G 2.6.2.2 Railway undertakings may wish to provide feedback to each candidate regarding their performance on the psychometric assessment process.

- G 2.6.2.3 The results of a psychometric assessment that was conducted according to this rail industry standard are to be regarded as valid for a period of five years from the date of assessment, unless the candidate has had a major life event (for examples see Appendix C of this document) that may have caused a decrease in cognitive ability or a change in behavioural tendencies.

- G 2.6.2.4 Railway undertakings may wish to put appropriate processes in place to detect the occurrence of a major life event in the time between assessment and recruitment. If the incidence of such an event is suspected, the railway undertaking may wish to re-assess the candidate prior to employment, with the assessment delayed until a time when the candidate feels they have regained their performance.

- G 2.6.2.5 A copy of the candidate's scores and the outcome of the assessment are to be given to the railway undertaking which commissioned the assessment and retained on the candidate's personal file for future reference.

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- G 2.6.2.6 For candidates who have passed the psychometric assessment process, the final selection decision is a managerial one, for which the results of the psychometric assessment process provide evidence.

2.7 Re-assessments for failed candidates

- 2.7.1 Railway undertakings shall not re-assess a candidate who has failed the psychometric assessment process within six months.
- 2.7.2 Railway undertakings shall not re-assess a candidate who has failed the psychometric assessment process more than once unless there are mitigating circumstances that have been considered and documented by the railway undertaking.
- G 2.7.2.1 When a candidate is re-assessed, the process needs to cover only the elements which the candidate failed at the first assessment, if:
- a) It is carried out within five years of the first assessment.
 - b) There is no evidence of a major life event having occurred since the first assessment, for examples see Appendix C of this document.
- G 2.7.2.2 Any candidate who failed a previous version of the psychometric assessment process is considered by the industry Driver Selection Governance Group to be eligible to be assessed up to twice using the process outlined in Appendix A.

2.8 Review of the psychometric assessment process

- 2.8.1 Railway undertakings shall review the psychometric assessment process periodically to evaluate the suitability and effectiveness of the selection criteria and associated assessment methods for their organisation.
- 2.8.2 Railway undertakings shall consider the following elements within the psychometric assessment process review:
- a) The impact of any changes to train driving work and the skills required of train drivers on the selection criteria.
 - b) Developments in psychometric assessment methodology.
 - c) The reliability, validity and fairness of the psychometric assessment methods used.
- G 2.8.2.1 The suitability and effectiveness of psychometric assessment processes can be affected by changes in the role being selected for and changes in the candidate population. Railway undertakings are therefore required to periodically review their psychometric assessment processes to check that they are working effectively and remain fit for the purpose they are intended.
- G 2.8.2.2 Examples of changes to train driving work which could trigger a review of the psychometric assessment process include:
- a) The introduction of different working practices such as driver only operation or operations across international borders.
 - b) Technical changes, such as high-speed operation or new signalling systems affecting the interface between the train driver and the signalling system.
- G 2.8.2.3 The psychometric assessment process outlined in Appendix A is subject to an evaluation performed by RSSB every five years on a national basis. This evaluation covers the suitability of the selection criteria and the reliability, validity and fairness of the assessment methods.

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- G 2.8.2.4 Railway undertakings who are following the psychometric assessment process in this standard can use the RSSB evaluation to inform their review. This would cover requirements b) and c) of 2.8.2. However, railway undertakings may also wish to take into consideration the characteristics of their own organisation and operation.

2.9 Audit of the psychometric assessment process

- 2.9.1 Railway undertakings shall arrange for the audit of their psychometric assessment process to check the reliability and consistency of the process and compliance with the procedures at the assessment centre.
- 2.9.2 Railway undertakings shall appoint persons qualified to judge the reliability and consistency of the psychometric assessment process to carry out audits.
- 2.9.3 Railway undertakings shall involve persons who are independent of the provider of the psychometric assessment process in their audit arrangements.
- G 2.9.3.1 In addition to the involvement of an independent person in the audit of the railway undertaking's psychometric assessment process, the assessment provider (usually an assessment centre) may wish to carry out internal audits of its assessment practice and compliance with its procedures.
- G 2.9.3.2 An external audit involves an independent evaluation of the railway undertaking's psychometric assessment process and is in direct contrast with an internal audit performed by someone from within the assessment provider (usually an assessment centre). An independent auditor is to have the required audit competence and not be a stakeholder in, nor have a dependency on, the outcome of the audit.
- G 2.9.3.3 The same audit protocol can be applied to external and internal audits, with the external audit undertaken in more detail. The railway undertaking may wish to use the audit protocol outlined in Appendix D, for external and internal audits, as it has been designed to provide checks that the psychometric assessment process is effective in meeting the requirements of this document and contributes to the railway undertaking's safety management system.
- G 2.9.3.4 Where an external assessment centre supplies psychometric assessment services to a railway undertaking, the railway undertaking may wish to check that the contract provides for internal and external audit and for audit results to be made available to the railway undertaking.
- G 2.9.3.5 To provide satisfactory checks that the psychometric assessment process is effective in meeting the requirements of this document, and contributes to the railway undertaking's safety management system, internal and external audits can be undertaken every two years, alternating so that the frequency of audits is every year.
- G 2.9.3.6 Railway undertakings may wish the scope of the audit, such as that outlined in Appendix D, to include:
- a) Use of industry standard selection tools.
 - b) Candidate and assessor preparation.
 - c) Training and certification of assessors.
 - d) Administration of assessment methods (including adequacy of the premises where they are conducted), scoring and recording of results and processes for making and recording decisions based on the results of the assessment methods used.
 - e) Confidentiality and security of selection materials and records.

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- f) Storing and recording of results.
- G 2.9.3.7 So far as is reasonably practicable, the railway undertaking may wish for more than one method of auditing to be used, including:
 - a) Observation of test administration and scoring.
 - b) Review of documentation.
 - c) Interviews with assessors to ensure compliance with the relevant competence requirements and conditions of certification (where applicable).
- G 2.9.3.8 Railway undertakings may wish their psychometric assessment process to be audited against criteria, such as those outlined in Appendix D, with ratings provided for each criteria.
- G 2.9.3.9 To judge the reliability and consistency of the psychometric assessment process, a railway undertaking may wish to appoint internal and external auditors who have the necessary qualifications, competences and experience, such as those outlined in Appendix E to undertake their tasks competently and who:
 - a) Understand the selection requirements for train driving.
 - b) Understand the risks that those requirements are intended to control.
 - c) Possess knowledge of the psychometric assessment process being audited and of the audit procedure itself.
- G 2.9.3.10 Railway undertakings may wish to comprehensively document and communicate to relevant parties audit findings and ensure corrective actions are undertaken.

2.10 Transfer of information

- 2.10.1 Railway undertakings shall, if a candidate discloses previous experience as a train driver, request information relevant to competent train driving performance from a railway undertaking named as a previous employer.
- 2.10.2 Railway undertakings shall co-operate with another railway undertaking which requests information to facilitate its compliance with section 2.10.1.

Previous train driving competence

- G 2.10.2.1 The recruiting railway undertaking may wish to obtain the information to meet this requirement before the candidate is permitted to drive trains by the recruiting railway undertaking.

Information from the candidate

- G 2.10.2.2 When a candidate indicates that they are, or have been, employed in a train driving role in the rail industry, the railway undertaking is to request information, in as much detail as possible, which can be passed to the current or former employer for verification.
- G 2.10.2.3 A recommended format for recording this information ready for verification can be found in Appendix B of this document.
- G 2.10.2.4 When requesting information from the candidate, the railway undertaking may wish to consider:
 - a) The results of any assessment methods used for selection as a train driver.

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- b) The most recent competency records that demonstrate the candidate's competency.
- c) Incidents and accidents for which the candidate was found to be wholly or partly responsible.
- d) Records of any special monitoring arrangements in place at the time the candidate left that railway undertaking.
- e) Route and traction competence current at the time the candidate left that railway undertaking.
- f) Temporary or permanent restrictions or exclusions placed upon the candidate's work as a train driver because of a safety of the line incident, medical reasons or other cause.

G 2.10.2.5 Railway undertakings may wish to check whether the candidate has worked previously in any other safety-critical role within the rail industry. The requirements in this document for co-operation in the confirmation and transfer of information are limited to train driving. However, specific information about the safety record of candidates who have worked in other safety-critical roles could be requested as part of the normal referencing process.

G 2.10.2.6 The information provided by a current and / or previous employer is to be, so far as is reasonably practicable, sufficient for the recruiting railway undertaking to confirm the accuracy of information provided by the candidate and to fill in any gaps.

G 2.10.2.7 The accuracy and value of competence information reduces over time, and it is advisable to treat cautiously any information more than two years old that relates to performance. It is inappropriate to use out-of-date competence records as a justification for curtailing selection procedures.

Retention of records

G 2.10.2.8 Railway undertakings may wish to retain records (or retain access to records if held elsewhere, for example by an external assessment centre) for such period as is necessary to assist them in responding to requests from other railway undertakings.

G 2.10.2.9 The type of information a railway undertaking may wish to retain includes:

- a) Results of psychometric assessments.
- b) Competence assessment records; the most recent competency records that demonstrate the train driver's competence.
- c) Route and traction knowledge; current at the time the candidate left the company.
- d) Training records; details of training received, dates and trainee performance.
- e) Safety records; details of any accidents, incidents or near misses for which the candidate was found to be wholly or partly responsible.
- f) Occupational medical records of conditions that have affected a candidate's ability to undertake their duties as a train driver.

Data protection

G 2.10.2.10 Railway undertakings may wish to obtain expert advice on data protection, liabilities arising from the provision of references or any aspect of employment law, as these matters are not within the scope of this document.

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Appendix A Standardised train driver psychometric assessment process

A.1 Driver selection criteria and psychometric assessment methods

Selection criteria	Sub-criteria and definitions	Psychometric assessments
Attention	Selective attention - The ability to differentiate between different sources of information and attend selectively to them, for example distinguishing and attending to alarms (selective attention). Divided attention - The ability to switch attention between sources of information, for example lineside information and in-cab information and perform different tasks in parallel, for example making train announcements while on the move.	Paper Group Bourdon and Test of Everyday Attention-Occupational (TEA-Occ)
Vigilance	The ability to attend and respond to stimuli which occur relatively infrequently and over extended periods of time.	WAFV Vigilance test
Memory	The ability to learn, recall and apply job related information in appropriate time limits, for example learn new information in training; remembering instructions from signallers; applying specific rules and procedures.	TRP1 Trainability for Rules and Procedures Test (part 1)
Reasoning	The ability to solve problems and make decisions, for example fault diagnosis; understanding and interpreting information from instrumentation.	TRP2 Trainability for Rules and Procedures test (part 2)
Perception	The ability to anticipate elements in a traffic environment and make a correct decision about how to respond given the speed and distances involved, for example identifying a landmark cue before a station and starting to decelerate.	ATAVT Adaptive Tachistoscopic Traffic Test
Reaction time	A quick and adequate response to simple and complex visual and acoustic stimuli and the associated quality of performance.	WAFV ATAVT
Hand coordination	The ability to make appropriate and controlled movements in response to decisions about complex stimuli.	2HAND Two hand coordination test
Communication	The ability to read, listen, understand and respond appropriately, and effectively convey information orally and in writing. Foreign language skills (only applicable to cross-border drivers operating in Europe) - The ability to communicate in the language indicated by the infrastructure manager concerned on critical safety issues. Their language skills must be such that they: can communicate actively and effectively in routine, adverse and emergency situations; can cope with practical situations involving an unforeseen element; can describe; can keep a simple conversation going.	Multi-Modal Interview (MMI) Optional: Written Communication Test

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Selection criteria	Sub-criteria and definitions	Psychometric assessments
Behavioural aptitudes	No established occupational psychological deficiencies, particularly in operational aptitudes or any relevant personality factor.	Situational Judgement Exercise (SJE) and MMI

Table 1 Driver selection criteria and psychometric assessment methods

- A.1.1 The computerised Group Bourdon is not equivalent to the paper Group Bourdon and is not recommended for use as part of the train driver psychometric assessment process.
- A.1.2 Where more than one assessment method is specified for a selection criterion both assessment methods are to be used in combination, for example both the paper Group Bourdon and the TEA-Occ tests are to be used to assess attention. The use of multiple methods to assess a selection criterion provides a more reliable assessment than using one method alone.
- A.1.3 Sub-criteria and detailed definitions of the behavioural aptitudes criteria have been developed but are not included in this Rail Industry Standard due to the risk that candidates could use this information to get an unfair advantage during the psychometric assessment process. This information is available to railway undertakings and assessment centres in the Train Driver Assessment Procedures Manual.

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Appendix B Transfer of safety information – candidate with previous experience as a train driver

B.1 Form for transfer of safety information – candidate with previous experience as a train driver

Instructions for the use of this form

1. *The relevant parts of sections 1 - 5 should be completed by the candidate. Any information that needs to be provided but does not fit on the form should be entered in the additional information section on the final page of the form.*
2. *The employer to which the candidate is applying (prospective employer) should make a copy of the form for each current and former employer identified by the candidate in section 2. The prospective employer should forward the form to each current or former employer.*
3. *The current or former employer(s) should check and confirm the details provided by the candidate and provide additional details or corrections as required. If the current or former employer cannot confirm some of the details then they should indicate this by using the 'unable to confirm' option. Any information that needs to be provided but does not fit on the form should be entered in the additional information section on the final page of the form. The current or former employer should sign the declaration in section 6 and return the completed form to the prospective employer at the specified address.*

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Section 1. Transfer of safety information – Request for confirmation from current or former employer

1.1 Candidate's name			
1.2 Please declare employment status (circle appropriate box) <i>Section 2 covers employment history, including names and location(s) of employment</i>	Currently employed	Previously employed	Self-employed
1.3 Do you hold a European Train Driving Licencing Directive License? (circle appropriate box)	Yes <i>If Yes, please also complete either 1.4a or 1.4b depending on your circumstance</i>	No <i>If No, go to 1.5</i>	
1.4a If you hold a European Train Driving Licencing Directive License and are currently employed please provide the license number and category of certificate held. <i>Please attach a copy of your license and certificate to this form.</i>	European Train Driving Licencing Directive License number:	Category of European Train Driving Licencing Directive Certificate held:	
1.4b If you hold a European Train Driving Licencing Directive License and are NOT currently employed please provide the license number. <i>Please attach a copy of your license and a certified copy of the European Train Driving Certificate as per Office of Rail Regulation (ORR) Guide to the Train Driving Licences and Certificates Regulations Annex B5. This will have been issued by your previous employer</i>	European Train Driving Licencing Directive License number:		
1.5 Name of prospective employer			
1.6 Address for the form to be returned to			
1.7 Date of form completion			

The person named above has applied for a train driver's position with our company.

This person has provided written consent for your company to disclose information regarding their competence and previous safety performance. A copy of the signed consent and the information provided by the candidate is attached.

Please confirm within five working days whether the information supplied by the candidate is accurate. If the information is incorrect, or you are aware of omissions, please provide corrected information as far as you are aware of it. Please indicate if you cannot confirm any of the information provided by the candidate.

Should the candidate be selected for employment as a train driver with this company, a request will be made for the transfer to this company of available records relevant to the individual's employment as a train driver. Relevant records covered by such a request are provided in Table 2.

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Records relevant to the individual's employment as a train driver
Results of tests used in selecting the applicant as a train driver
Results of competence assessment records: the most recent competency records that demonstrate the train driver's competence
Route and traction competence current at the time the applicant left your company
Training records
Incidents, accidents and near misses for which the applicant was found to be wholly or partly responsible
Occupational medical records that have affected the person's ability to undertake their duties as a train driver
Restrictions or exclusions placed upon the applicant's work as a train driver because of a safety of the line incident, medical reasons or other cause
A current certified copy of the European Train Driving Certificate issued in accordance with Article 17 of Directive 2007/59/EC, by current employer or a certified copy of the European Train Driving Certificate as per Office of Rail Regulation (ORR) Guide to the Train Driving Licences and Certificates Regulations Annex B5, issued by previous employer

Table 2 Records covered by a transfer request of available records relevant to an individual's employment as a train driver

Section 2. Employment details

Please provide details of current and/or former employers where you have undertaken the role of train driver.

2.1 Name of employer	2.2 Job title and location	2.3 Start date of employment	2.4 End date of employment

Section 3. Declaration to contact current and/or previous employers

The information requested in sections 4 and 5 inclusive of this document is required to establish your competence and safety record as a train driver and will assist in the formation of future assessment and training plans if you join this company. The information is necessary for us to consider your suitability for employment as a train driver.

An employer is not entitled to disclose information about an employee unless the employer is under a legal obligation to do so or the employee concerned has given his/her consent. Subject to your consent, your current or a former employer will be requested to confirm the accuracy of the information you have provided. Please sign below to indicate that you agree for this information to be sent to your current or former employer for confirmation. If you fail to provide details, or the accuracy of the information is incorrect, your application will not be progressed. If it is later found that you have provided inaccurate information, you will be liable to summary dismissal.

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Declaration	Candidate's signature	Date of signature
3.1 I hereby give my permission for my current and/or former employer(s) to: a) Confirm the information I have given using records they may hold b) Provide my prospective employer with a copy of my records (as detailed in Table 2) in the event of my appointment 3.2 I understand that these records will then be transferred and form part of my employment history with my new employer		

Section 4. Competence

This section requires you to provide details of your competence and recent competence assessments as a train driver.

You do not need to complete this section if you provide one of the following:

- 1. A current certified copy of your European Train Driving Certificate issued in accordance with Article 17 of Directive 2007/59/EC.*
- 2. A certified copy of the European Train Driving Certificate as per Office of Rail Regulation (ORR) Guide to the Train Driving Licences and Certificates Regulations Annex B5. Your previous employer will provide this.*

If you cannot provide one of the above please complete items 4.1 to 4.8.

Candidate should complete 'Details provided by the candidate'. Current or former employer should complete 'Details provided by the former employer'. Details provided by candidate		Details provided by the former employer	
		Details are correct and complete <i>Delete as appropriate</i>	Additional information (If applicable)
4.1 Date initially certified competent as a train driver		Yes/No/ Unable to confirm	
4.2 Date and details of any additional support or development in place currently or at the time of leaving your last employer		Yes/No/ Unable to confirm	

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4.3 Traction/ Rolling stock on which you are competent (or were competent at the time you left your last employer) <i>Use one row per traction or rolling stock type</i>	4.4 Date of completion of last reassessment of competence	4.5 Results of last reassessment of competence	Details are correct and complete <i>Delete as appropriate</i>	Additional information (If applicable)
			Yes/No/ Unable to confirm	
			Yes/No/ Unable to confirm	
			Yes/No/ Unable to confirm	
			Yes/No/ Unable to confirm	

Details provided by candidate			Details provided by the former employer	
4.6 Infrastructure/ routes on which you are competent (or were competent at the time you left your last employer) <i>Use one row per infrastructure/route</i>	4.7 Date of completion of last reassessment of competence	4.8 Results of last reassessment of competence	Details are correct and complete <i>Delete as appropriate</i>	Additional information (If applicable)
			Yes/No/ Unable to confirm	
			Yes/No/ Unable to confirm	
			Yes/No/ Unable to confirm	
			Yes/No/ Unable to confirm	

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Section 5. Safety Record

In this section provide details of safety and operational incidents that you have been involved in during your railway employment as a train driver, or in other safety-critical railway operations work, and which was recorded on your personal record by your employer, whether or not formal disciplinary action was taken.

Candidate should complete 'Details provided by the candidate'. Current or former employer should complete 'Details provided by the former employer'.

5.1 Signals passed at danger (SPADs)

This section refers only to Category A1 SPAD event types as defined in GO/RT3119 Accident and Incident Investigation.

Details provided by candidate		Details provided by the former employer	
		Details are correct and complete <i>Delete as appropriate</i>	Additional information (If applicable)
5.1.1 Have you previously been involved in any SPAD incidents (including incidents where you were subsequently exonerated)? <i>Delete as appropriate</i>	Yes/No <i>If yes, complete 5.1.2 and 5.1.3 on a separate row for each SPAD incident</i>	Yes/No/ Unable to confirm	
5.1.2 Date of SPAD	5.1.3 Severity	Details are correct and complete <i>Delete as appropriate</i>	Additional information (If applicable)
		Yes/No/ Unable to confirm	
		Yes/No/ Unable to confirm	
		Yes/No/ Unable to confirm	