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# GOOD PRACTICE GUIDE FOR DRIVER ASSESSMENT

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GOOD PRACTICE GUIDE RS/702

## Preface /

### Issue Record

This document will be updated when necessary by distribution of a complete replacement.

Issue	Date	Comments
One	August 2008	Original Document

This Good Practice Guide has been developed at the request of the industry. This guide has been produced to accompany GO/RT3451, Train Movement - Staff Suitability and Fitness Requirements.

### Content

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### Introduction

Railway undertakings and infrastructure managers are required to make provision within their Safety Management System (SMS) to ensure, so far as is reasonably practicable, that all safety critical staff under their control are competent and that competence is maintained.

To assist railway undertakings in the development of competence management arrangements, the Office of Rail Regulation (ORR) has recently published 'Railway Safety Publication 1 - *Developing and maintaining staff competence 2007*'.

The ORR guidance supersedes the Health and Safety Executives (HSE) guidance published in 2002 as part of the Railway Safety Principles and Guidance suite of documents.

### Application

This Good Practice Guide (GPG) has been developed at the request of RSSB members and contains specific guidance relating to the monitoring of competence standards amongst train drivers. The guidance is non-mandatory, but offers practical advice designed to assist railway undertakings in the development of their competence management arrangements. The document provides guidance for:

- driver assessors
- driver managers

and forms part of a suite of Good Practice Guides associated with training, simulation and verification.

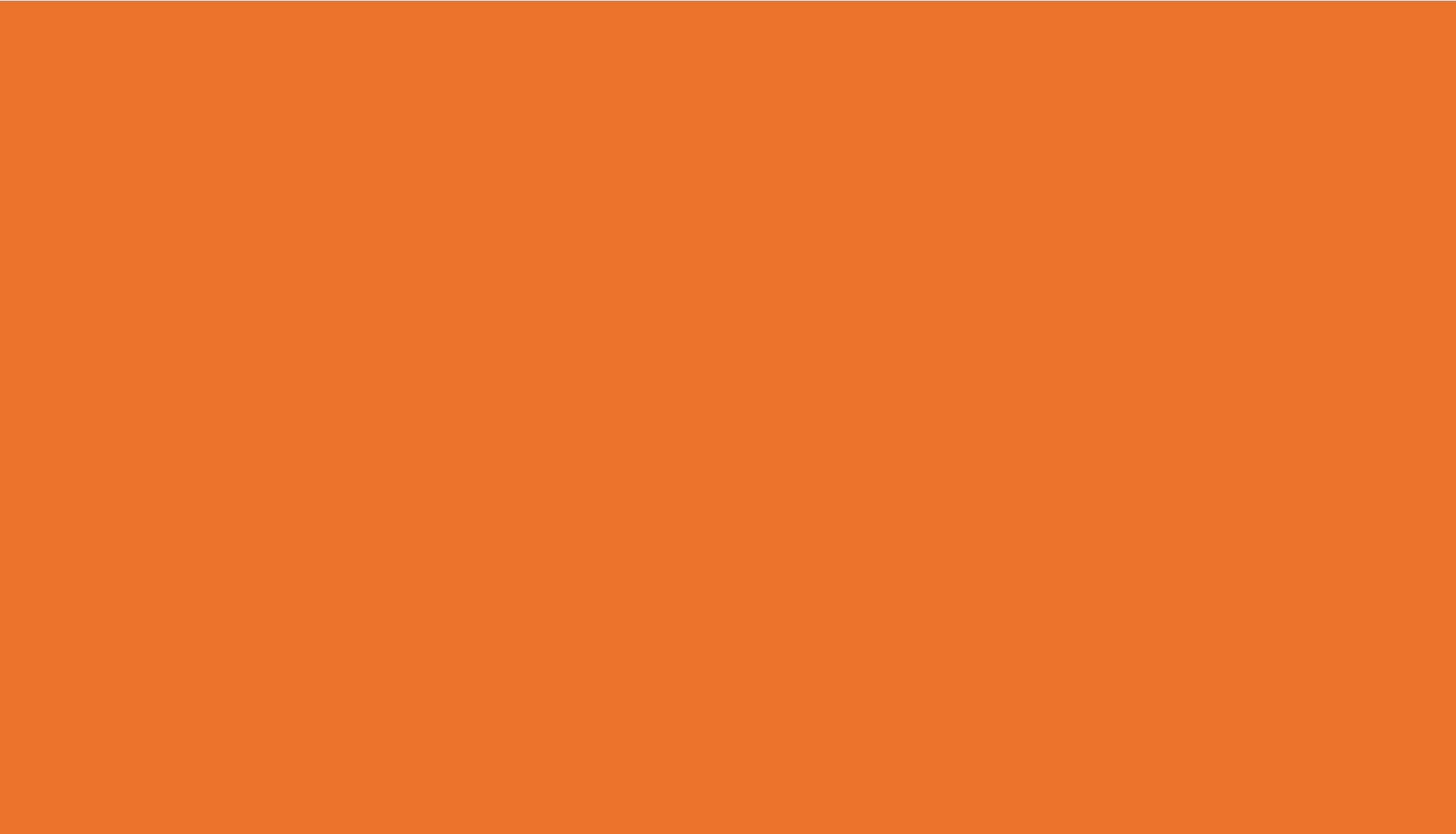
### Health and safety responsibilities

In issuing this document, the Rail Safety and Standards Board (RSSB) makes no warranties, express or implied, that compliance with all or any document published by the RSSB is sufficient on its own to ensure safe system of work or operation. Each railway undertaking is reminded of its own responsibilities to ensure health and safety at work and its individual duties under health and safety legislation.

### Supply

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## ASSESSING DRIVER PERFORMANCE

### 1. ASSESSING DRIVER PERFORMANCE /

#### 1.1 Purpose

Periodic reassessment should be implemented to provide an assurance of consistent performance against competence standards. It is good practice to use the evidence gathered from the processes for the assessment of driver performance to show that standards are being consistently maintained.

Assessments will provide evidence of a driver's commitment and willingness to maintain the required standards even when unsupervised and will enable testing of both practical skills as well as supporting knowledge.

Assessments normally include:

- a) monitoring of driver performance by planned practical assessments
- b) reassessment of knowledge
- c) unannounced monitoring.

#### 1.2 Assessment plans

The assessment plan will normally include:

- a) details of the company performance standards to be achieved
- b) additional evidence required in order to achieve a National Vocational Qualification
- c) the range of activities to be assessed

- d) operating conditions to be included (normal, abnormal, degraded and emergency)
- e) recommended methods by which evidence can be gathered
- f) specific activities (for example, additional planned assessments for inexperienced drivers during the leaf fall period)
- g) any constraints due to special circumstances (for example, where an individual's activities are restricted). It will be necessary to record the amendments to scope and the reason why.

The assessment plan may need to be reviewed to reflect any changes to:

- a) infrastructure
- b) rolling stock (including the introduction of new vehicles)
- c) standards
- d) rules
- e) procedures
- f) training.

Further guidance published by RSSB on assessment planning can be found in RS/701, Good Practice Guide on competence review and assessment.

### 1.3 Conducting assessments

#### 1.3.1 Practical assessments / cab rides

It is usually best practice for the assessor to remain unobtrusive throughout an assessment in order to maintain the normal working environment and reduce the risk of distraction.

The communication between the assessor and driver should be limited to that which is required to ensure the assessment can be conducted in a safe and efficient manner.

If the driver requires clarification on any aspect of their performance, the assessor should make a note and provide an explanation during feedback unless an appropriate opportunity arises during the assessment (for example, train stationary and sufficient time is available).

Where the driver's performance compromises the safe operation of the train, the assessor should be prepared to terminate the assessment.

#### 1.3.2 Unannounced monitoring

Unannounced monitoring supplements the evidence obtained from practical assessments.

Information can be collected from several different sources, such as:

- a) data recorders
- b) line side speed checks

- c) remote monitoring, which may include communications between signaller and driver
- d) monitoring from within the train, but not in the driving cab
- e) observation at locations where precise control of trains is critical, such as sidings.

Information from unannounced assessments should be used to review the assessment, training and competence management systems and help consider whether the current frequency of unannounced monitoring is sufficient to demonstrate that drivers are maintaining the required standards when unsupervised.

#### 1.3.3 Data recorder downloads

It is best practice to create an 'optimum driving profile' for each principle route, using either a special test run or normal service run. This will provide a 'template' to compare a drivers performance against, when using subsequent data recorder downloads.

When using data extractions for performance monitoring, the information is compared with the 'optimum driving profile' to assess the driving technique and identify where further assessment or training may be required.

Railway undertakings might consider using pre-determined criteria when analysing data recorder information to ensure consistency of assessment standards.





## ASSESSING DRIVER PERFORMANCE cont...

It is particularly important when giving feedback that the required performance standard can be demonstrated and a comparison made to the driver's performance.

### 1.3.4 Simulation

Where abnormal or degraded conditions, emergency procedures and safety critical communications are being assessed, consideration should be given to using, where appropriate, the same simulator scenario's used for driver training as the method of assessment.

Simulators can provide evidence of:

- a) practical handling skills (including defensive driving)
- b) competence standards when dealing with abnormal, degraded and emergency situations
- c) communications skills
- d) some human factor issues eg drivers ability to respond, attend, concentrate and act under pressure.

### 1.3.5 Theory

The purpose of knowledge assessments is to ensure drivers have a full understanding of the rules and procedures that underpin train driving activities.

Emergencies may require drivers to take charge of a difficult situation, even if for a short time. The assessment of any emergency procedures should address the necessary decision making skills as well as procedural knowledge.

Railway undertakings may also consider including a method of assessing a driver's confidence levels during a knowledge assessment. This will provide additional evidence that a drivers confidence is at the required level.

### 1.4 Provision of evidence

Evidence gathered during assessments should provide clear links to the competence standards.

It is not necessary to assess, within every reassessment cycle, those aspects of driving work which are carried out daily and which are being consistently and competently performed, such as supervised booking on duty.

Information obtained from monitoring and assessment should be treated in the strictest confidence.

### 1.5 Assessment documentation

Assessment documentation includes:

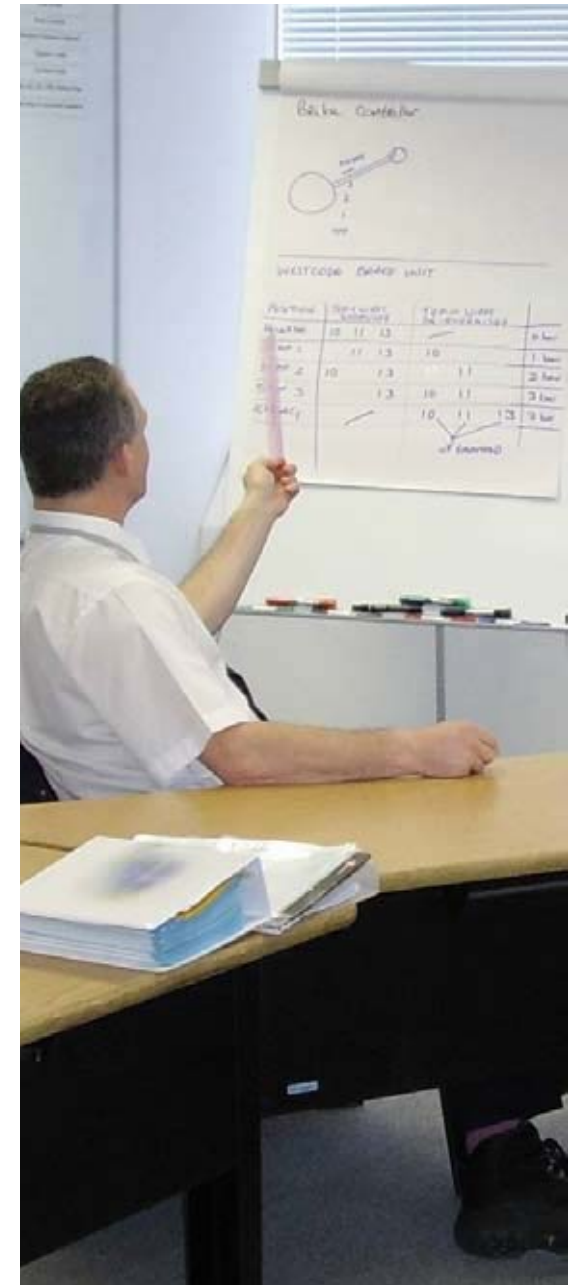
- a) details of the assessor and the individual being assessed
- b) performance and knowledge criteria covered by the assessment (for example, specific activities identified within the assessment plan)
- c) factual details about the method of assessment
- d) those areas covered by the assessment, where the assessor was reliant on questioning, rather than observation
- e) operating conditions experienced during the assessment
- f) the duration of the assessment
- g) traction type(s) operated
- h) route(s) covered over which drivers have been certified competent
- i) specific areas of concern relating to previously identified skills or knowledge gaps
- j) details of any newly identified skills or knowledge gaps
- k) action taken or required to fill any gaps in competence that import a risk to train operation, including recommendation for refresher training, referral for support and recommended period before next assessment.

The competence standards, assessment criteria and evidence requirements should form part of the railway undertakings documentation, with controlled processes of publication, distribution, review and revision.

### 1.6 Focus of assessment

The focus of assessments should always, regardless of experience, include:

- a) practical handling skills (including defensive driving)
- b) communication skills and procedures
- c) individual factors relating to performance (for example, concentration, attitude, confidence, experience and capability)
- d) operating conditions (normal, abnormal, degraded and emergency)
- e) essential knowledge underpinning competent performance
- f) route knowledge, including route specific knowledge, diversionary routes and unusual moves
- g) application of the rules to practical situations, including all abnormal driving situations permitted by the rules
- h) any unique knowledge or skills to the traction or routes being assessed





## ASSESSING DRIVER PERFORMANCE cont...

- i) differences in handling characteristics between traction types that might impact on safety and performance
- j) positioning of indications or controls that differ between traction types that might impact on safety and performance
- k) fault diagnosis and rectification.

The requirements for ensuring defensive driving is being consistently maintained should be identified using the railway undertakings specific driving policy. Criteria (for example, to reduce speed to a specified limit, or stop a defined distance before the red signal) should be identified with particular assessment criteria within the railway undertakings competence standards. This process should assist in gathering evidence of the effectiveness of the defensive driving policy.

Particular attention should be paid to ensuring competence in the application of procedures for abnormal, degraded or emergency situations, which may occur infrequently.

### 1.7 Frequency of assessment

Assessment plans may have different requirements, but the nature and frequency of assessments will depend on the following:

- a) subsequent changes to the assessment plan
- b) organisational or individual factors associated with sub-standard performance

- c) organisational or individual factors associated with accidents and incidents
- d) human performance associated with errors
- e) age and experience
- f) number, range and complexity of activities being assessed
- g) probability and frequency of encountering all aspects of the competencies in day to day operations.

Railway undertakings should consider scheduling assessments to cover different shift patterns.

The frequency of assessment and the methods used should, wherever possible, be made flexible to allow for changes.

Sufficient evidence needs to be provided during the assessment cycle to support the decision to pass the driver as competent.

### 1.8 Feedback to drivers following assessment

Providing feedback to the driver is an essential part of the assessment process. Consideration may be given to the following;

- a) feedback is given as soon as possible after completing each assessment
- b) feedback is given in a place that provides privacy and will allow the driver to feel comfortable

- c) distractions or interruptions should be avoided
- d) feedback is given in a supportive, positive and constructive manner and provides the driver with the opportunity to comment and raise any issues or concerns
- e) feedback is linked to the required standards
- f) feedback provides the opportunity for joint discussions about driving performance and, where necessary, agreed development plans to fill skills or knowledge gaps
- g) feedback should be clearly documented and provide a record of the overall assessment standards achieved by the driver.

Successfully communicating feedback is a key skills area that should form part of the continuous monitoring of assessor performance.

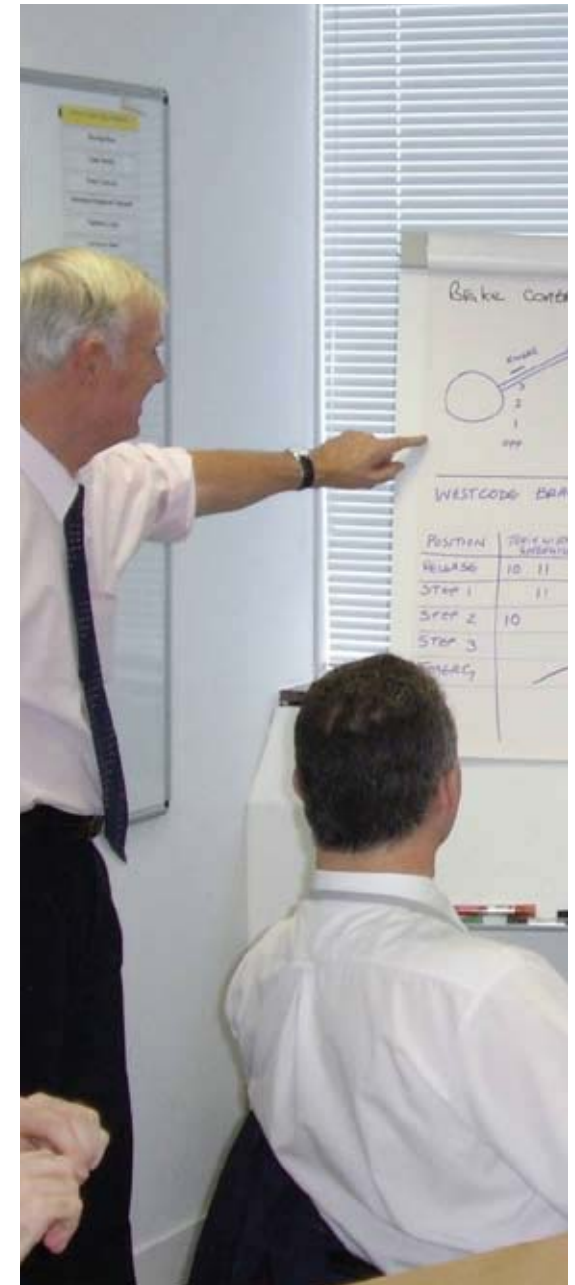
### 1.9 Confidentiality of records

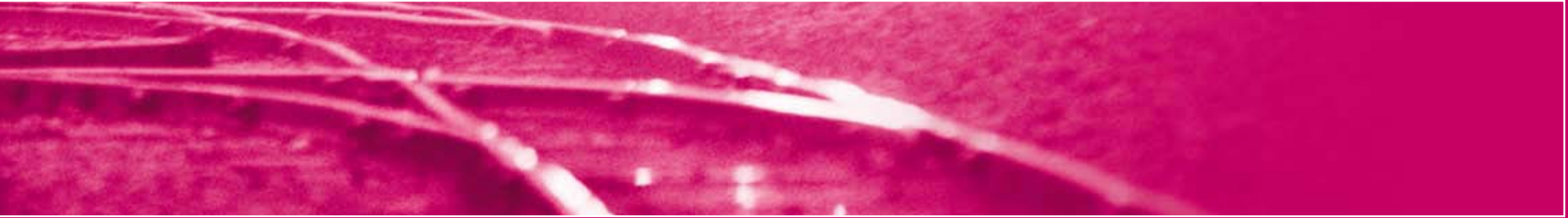
It is important when dealing with records of assessments that they are dealt with in the strictest confidence and access is limited to those with the responsibility for the management, validation or auditing of such records.

### 1.10 Review process

Unannounced monitoring provides evidence that can be used to review the effectiveness of any training provided and the competence management system.

This information can also be used to consider whether the current frequency of unannounced monitoring is providing evidence that drivers are maintaining the required standards.







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## INITIAL ASSESSMENT OF COMPETENCE

### 2. INITIAL ASSESSMENT OF COMPETENCE /

#### 2.1 Review of training records

Before carrying out the initial assessment, training records showing progress of the driver's performance should be reviewed.

Special consideration needs to be given to any gaps in skills or knowledge identified during training, the action taken to address the gaps and the performance levels demonstrated afterwards.

#### 2.2 Links to skills or knowledge gaps within the initial assessment

The initial assessment should provide clear links to any skills or knowledge gaps that may have been identified during training. Results should reflect that the required competence levels have been achieved.

#### 2.3 Assessment structure

The initial assessment of competence should have sufficient depth and breadth to enable the assessor to judge, using the defined criteria contained within the competence management system, whether the candidate has crossed the dividing line between trainee driver and competent (though not yet experienced) train driver.

The initial assessment should be directly related to the skills, knowledge and the scope being tested, the operating conditions and the importance and

frequency of the area being tested. The evidence created by the assessment should provide sufficient evidence to support the decision to pass the driver as competent.

#### 2.4 Use of training tools for initial assessment

Where abnormal or degraded conditions, emergency procedures and safety critical communications are being assessed, consideration should be given to using, where appropriate, the same simulator scenario's used for driver training as the method of assessment.

#### 2.5 Controlling the risk of inexperience

The assessor should be satisfied that the risks arising from lack of experience of the newly qualified driver will be controlled by:

- a) sufficient competence to meet initial work requirements, as shown by the assessment itself and records of progress leading up to it, including training records and any documented prior competence in train driving
- b) the system for monitoring performance of newly qualified drivers.

### 3. RECOGNISING THE RISK OF INEXPERIENCE /

#### 3.1 Purpose

Competence management systems should consider the potential risks of inexperience arising from:

- a) newly qualified drivers
- b) drivers who transfer from another railway undertaking
- c) changes to standards, procedures, equipment or infrastructure.

#### 3.2 Newly qualified drivers

Railway undertakings need to consider the process in place to assess the competence, confidence and expertise of newly qualified drivers for at least the first two years following qualification, to determine whether the driver is progressing as expected or whether further additional support or monitoring is required.

It is possible that issues specific to routes, traction or individual drivers may replace general inexperience. When designing the assessment programme consideration should be given to the likelihood for errors being increased by habitual driving practice or complacency. This will help determine the frequency of assessments that need to be carried out.

Development of expertise may be indicated by improvements in performance monitoring results, the results of competence assessments and by a review of the range of experiences the driver has encountered and his or her response to them, particularly during emergency and degraded operations.

Additional monitoring normally forms part of the competence assessment process. This may include:

- a) additional cab rides

## RECOGNISING THE RISK OF INEXPERIENCE

- b)** analysis of data recorder downloads
- c)** competence assessments, targeted at building up experience
- d)** maintenance of standards
- e)** competence in abnormal and degraded working conditions
- f)** being placed with a mentor for a period of time.

Effective support for drivers can be provided by promoting an organisational safety culture that includes:

- a)** opportunities for open dialogue outside the formal assessment process between drivers and their managers in a supportive and confidential environment
- b)** activities that target and build up the driver's experience
- c)** ongoing opportunities for drivers to practice skills infrequently experienced
- d)** encourages and gives the opportunity to resolve doubts or uncertainties quickly, for example details of routes or operating procedures.

Any support provided should be designed to help new drivers become used to driving without constant supervision, cope with shift work and the other responsibilities of a train driver.

It is recommended that an assessment is carried out during each of the first two years after qualification. These assessments should be designed to support retention of knowledge and the skills acquired during training but rarely used in normal operation, and to prevent the embedding of poor driving practices.

The frequency, method and duration of assessments need to recognise:

- a)** inexperience
- b)** individual factors relating to performance (eg attitude, confidence, experience, tolerance to shift work, lifestyle).

Railway undertakings may consider monitoring the amount of actual driving done by newly qualified drivers, as well as the passage of time since qualifying as a driver.

Although the experience of previous drivers is a guide to setting criteria for judging the development of newly qualified drivers, railway undertakings might also take into account the operational, educational and social factors which influence individual performance and which may have changed in the intervening time.

### 3.3 Additional assessments

Results from assessment and monitoring will help decide whether the frequency needs to be increased.

Additional assessments may also need to be provided where an individual has not reached, or maintained, the expected performance or confidence levels.

The impact of timetable change may need to be considered when deciding on the assessment frequency. Timetable changes may result in:

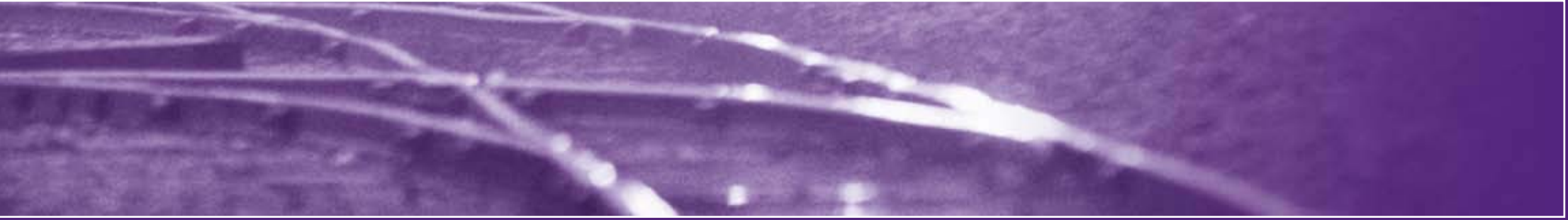
- a)** drivers using a route which, although learnt during training, may have been rarely driven over
- b)** an increase in the number of restrictive aspects encountered
- c)** requirement to stop at signals not previously stopped at
- d)** changes to stopping patterns of trains.

### 3.4 Consideration of seasonal variations

Account of seasonal factors, especially where there is a risk factor for operations is especially important where opportunities to practice driving skills in 'real life' were not provided during driver training.

### 3.5 Skills or knowledge gaps identified during training

Care needs to be taken to provide clear links within assessments to any skills or knowledge gaps that may have been identified during training until results reflect that the required competence levels are being achieved and maintained.





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## DRIVER TRANSFERRING FROM ANOTHER RAILWAY UNDERTAKING

### 4.1 Training needs analysis

It is important to identify skills and knowledge gaps of drivers who transfer from another railway undertaking. This can be achieved by use of a training needs analysis.

Guidance on determining training needs can be obtained from RSSB RS/220 Good Practice in Training.

Training and development needs are determined by comparing each individual's experience and knowledge against that required.

The nature of the training and development each individual receives needs to be structured to provide the range and depth of experience necessary to confidently and consistently operate trains to the required standards.

When deciding on the nature and duration of the training that needs to be provided, consideration may also be given to:

- a) the nature of the work previously undertaken
- b) type of trains previously worked
- c) individuals previous experience
- d) individuals learning style
- e) individuals ability for knowledge retention
- f) attitude and willingness to learn.

It may be necessary to help drivers adapt to the change in culture and the different procedures that underpin day to day operations. Support can include any, or all support methods that are described in clause 3.2.

Records should be provided that show clear links between skills or knowledge gaps, the training provided and any assessments carried out to prove competence.

### 4.2 Assessments to prove competence

Assessments should be carried out to ensure the driver can demonstrate the required standards for the following:

- a) underpinning knowledge
- b) practical handling skills, including defensive driving
- c) situational awareness
- d) fault diagnosis and rectification
- e) communications skills and procedures
- f) emergency procedures
- g) degraded operations
- h) route knowledge, including route specific knowledge, diversionary routes or unusual moves

- i) differences in handling characteristics between traction types that might impact on safety and performance
- j) positioning of indications or controls that differ between traction types that might impact on safety and performance.

Assessments should be structured to enable a decision to be made about the driver's ability to perform consistently to the required standards.

### 4.3 Structure of assessment and ongoing assessment

Railway undertakings should consider the level and duration of support or assessments they provide once the driver has been passed as competent to drive trains.

Consideration may need to be given to the risks arising from inexperience, for example:

- a) operating different types of trains
- b) different knowledge requirements
- c) different signalling systems
- d) route knowledge requirements
- e) different shift patterns.

Support (as shown in clause 3.2) may need to be provided to enable drivers to increase both their competence and confidence levels as they

gain increased experience working in a new environment.

Assessments should include, where necessary, seasonal variations, especially where handling characteristics are significantly different from those previously experienced.

It is good practice to provide opportunities for newly qualified drivers to discuss any problems so that they can be quickly resolved.

An assessment designed to support retention of skills and knowledge acquired during training but rarely used in normal train operations should be considered during the first two years after being passed as competent for driving.

## 5. Consider the impact of changes to standards, procedures equipment or infrastructure on driver competence //

### 5.1 Purpose

Changes may produce differences in methods of working or changes to the knowledge and skills requirements of drivers.

Any changes may include:

- a) new or modified rules, standards or procedures
- b) new, or modified driving techniques
- c) the location and function of new equipment
- d) new fault finding procedures

e) changes to the functionality of equipment

f) changes to the location of equipment

g) the introduction of new equipment

h) alterations to signalling or track layout

i) alterations to timetables.

Once the changes have been trained or briefed, assessments should ensure drivers have adapted to the changing circumstances and are applying the skills and knowledge confidently and consistently to the required standard.

Records of the standards achieved during assessment will indicate whether the training or briefing given has been successful.

### 5.2 Additional support

It may be considered necessary to provide additional support or increase the level of assessments where a driver is not demonstrating the expected standards or levels of confidence.

Any additional support or assessments may no longer be required where it is established that correct and consistent application of the standards or procedures are being consistently demonstrated.

### 5.3 Ongoing briefing of changes

Changes to standards or procedures may need to be incorporated into driver briefings to provide an ongoing refresher of the changes.

### 5.4 Communicating changes

Changes affecting standards, procedures, equipment or infrastructure which affect the method or frequency of assessment, should be communicated to all those responsible for competence management.

Changes should be communicated, where possible, before the planned implementation date. Where this cannot be done, communication should take place as soon as possible after implementation.

Timely communication will allow sufficient time to ensure everyone understands the changes and ensures a consistent approach to assessment and a full understanding of the intended outcomes.







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## 6. SUPPORTING A DRIVER WHO MAY BE LOW IN CONFIDENCE //

Confidence levels can differ significantly between individual drivers. Changes to procedures or equipment can lead to relative inexperience and affect confidence levels.

Individuals personal circumstances, operational pressures or changes to the management or supervisory structure may also lead to an erosion of confidence.

Additional support should be considered for drivers where assessments show confidence levels are low.

Support should provide ongoing development to ensure confidence levels are reached and maintained.

## 7. RECOGNISING THE RISK OF OVER CONFIDENCE //

Over-confidence in drivers has been identified as a significant risk factor, particularly during the first 2 years due to the thin dividing line between boredom/complacency and over confidence.

It is good practice to include methods within the competence management system to recognise over confidence and other precursor behaviours. Key signs of over-confidence may include:

- a) changes in behaviour (eg rule non-compliance, turning up late), attitude or appearance
- b) risk taking
- c) inability to accept constructive criticism.

The frequency, method and duration of assessments should also be designed to recognise the potential for inexperience being replaced by:

- a) habitual driving practices
- b) complacency
- c) issues specific to route or traction.

## 8. ASSESSMENT OF ROUTE COMPETENCE BASED ON ROUTE RISKS //

### 8.1 Route knowledge requirements

Route knowledge assessments carried out during the competence management period should include;

- a) route specific knowledge
- b) diversionary routes
- c) unusual moves
- d) knowledge of movements that can be made at locations where trains can be terminated and turned back as part of the contingency plan
- e) locations where shunting is carried out where there have been incidents such as derailments or collisions.

Route knowledge assessments should show clear links to route hazards identified by railway undertakings.

Knowledge of diversionary routes should normally be confirmed where the frequency of driving over the route is low.

Consideration needs to be given to deciding the best methods of confirming competence of the routes worked by drivers to maintain interest and enthusiasm during the assessment.

Such assessments need not necessarily cover basic route knowledge that will generally be inferred by observation of practical train handling during the competence cycle.

### 8.2 Route training review

Where previous incidents indicate a trend in route deficiency, a review of route training should be undertaken to determine whether the structure and duration of any training needs to be amended.







**9. THE MANAGEMENT OF SUB-STANDARD PERFORMANCE BY TRAIN DRIVERS /**

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## PREFACE

### 9. THE MANAGEMENT OF SUB-STANDARD PERFORMANCE BY TRAIN DRIVERS /

#### 9.1 Identifying sub-standard performance

Where performance is identified as sub-standard, a development programme may be appropriate to restore performance, followed by reassessment and a period of revised monitoring.

In some circumstances an individual who is not performing satisfactorily may need to be temporarily removed from his work. Sub-standard performance can be identified through:

- a) investigations into incidents and accidents
- b) planned reassessments
- c) planned monitoring/observation
- d) unplanned monitoring/observation.

The cause of a gap between a required standard of performance and an observed standard of performance may be associated with one or more of the following issues:

- a) lack of experience eg first experience of a 'real' infrequent event by a newly qualified member of staff
- b) changes in ability eg knowledge or skills that have been lost since the last reassessment
- c) changes in attitude
- d) distraction

e) internal factors eg changes in shift patterns

f) external factors eg changes in weather conditions

g) domestic problems

h) poor team working eg poor supervision or poor communications

i) poor relationships with work colleagues

j) changes in health eg deteriorating eyesight.

#### 9.2 Development programmes

Development programmes should be used where the normal requirements of the Railway Undertaking's train driver competence management system are judged insufficient to restore performance or insufficient to restore performance within acceptable timescales.

#### 9.3 Aims of a development programme

A development programme has two main aims:

- a) to enable the individual concerned to regain the ability/willingness to perform the task or activity to the required standard
- b) to enable the company to regain confidence in the individual's ability/willingness to perform the task or activity to the required standard.

#### 9.4 Features of a development programme

- a) A development programme which has clearly defined aims and objectives.
- b) A development programme which includes an appropriately detailed description of the development programme being afforded to the individual concerned.
- c) A development programme that has clearly defined success criteria.
- d) A development programme that takes into consideration the employment history of the individual concerned.
- e) A development programme that takes into consideration the learning style of the individual concerned.
- f) Development programmes should be designed to last for as long as is judged appropriate given the nature of the identified performance problem. Short development programmes – of less than 1 year – are generally preferable to long ones – of between 1 year and three years. Development programmes should not be designed to exceed three years in duration except in the most exceptional circumstances.
- g) Involvement of the individual in the creation of the development programme.
- h) Willingness is demonstrated by the individual to achieve the aims and objectives of the development programme. (If such a willingness is not present, no development

programme is appropriate.)

- i) The individual concerned agrees with contents of the development programme. (If such agreement is not forthcoming, no development programme is appropriate.)
- j) The individual concerned agrees with the success criteria of the development programme. (If such agreement is not forthcoming, no development programme is appropriate.)
- k) The individual concerned is involved in any reviews of the development programme.
- l) Scheduled reviews of the development programme should be undertaken at an appropriate frequency, generally not more than every three months and not less than every six months.
- m) Unscheduled reviews of the development programme should be undertaken as necessary. In particular, unscheduled reviews of the development programme should be undertaken if further performance problems are identified.

### 9.5 Reviews of development programmes

Scheduled and unscheduled reviews of development programmes consider the following:

- a) whether the development programme is still appropriate

b) how, if the development programme is no longer appropriate because of good performance by the individual concerned, it should be amended or withdrawn

c) how, if the development programme is no longer appropriate because of poor performance by the individual concerned, it should be amended or withdrawn.

Where a development programme has failed to deal with the relevant performance problem, or where it has been decided that a person is not suitable for a development programme, then that person should be regarded as no longer being suitable for carrying out the activity and redeployment or termination of employment should be considered.

### 9.6 Learning wider lessons

If it is suspected that a performance problem is likely to be widespread (possibly affecting all or a large proportion of the workforce) then consideration should be given as to how the performance problem should be addressed with all the affected staff.

In the case of performance problems that are the product of lack of competency it may be possible to fill them by simply re-briefing the affected staff as part of the railway undertaking's normal briefing cycle. However, there may be occasions when a more complex approach is justified, such as:

a) review of existing training requirements to ensure sufficient emphasis is placed on the issue(s) concerned

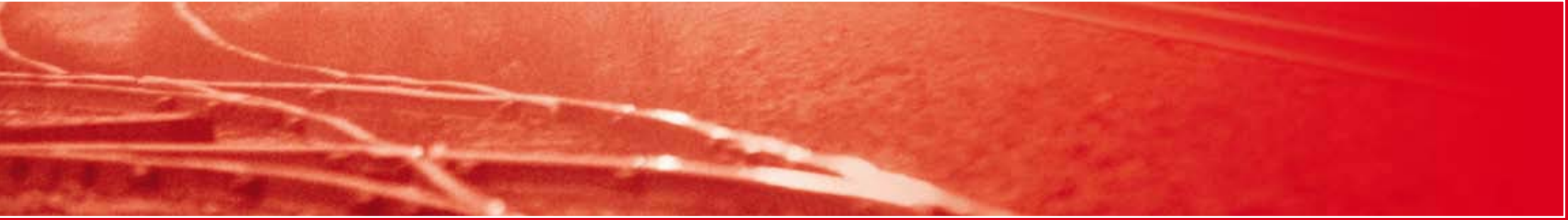
b) review of the training options to ensure the way in which training is given is appropriate to its target audience

c) review of existing training courses to ensure trainees are given adequate opportunity to gain the required knowledge and that there is sufficient opportunity to apply this newly acquired knowledge prior to being assessed

d) review existing assessment criteria to check that the skills and knowledge requirements essential to the task or activity being assessed are covered in sufficient depth to enable a decision to be made in relation to an individual's performance

e) reviewing existing monitoring arrangements to check that each performance criterion is assessed using the most efficient method(s) and so that the frequency of assessments is sufficient to demonstrate that the required standards are being maintained.

Where it is suspected that a performance problem is the product of cultural issues, whether at a particular location or throughout the company, rather than lack of competency, these cultural issues need to be identified and dealt with appropriately.





- 10. DRIVERS EXCEEDING DATES FOR ASSESSMENT OR RECERTIFICATION**
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## PREFACE

### 10. DRIVERS EXCEEDING DATES FOR ASSESSMENT OR RE-CERTIFICATION //

#### 10.1 General requirements

Drivers should not normally be permitted to continue driving if the date for re-certification is exceeded.

Where assessment dates are exceeded, drivers should not normally be permitted to continue driving duties.

Where it is permitted for drivers to exceed assessment dates, clear guidelines need to be provided to assessors which must be strictly applied.

Such guidelines should recognise any potential risks arising from a driver exceeding assessment dates.

#### 10.2 Training needs analysis

A training needs analysis should be created for drivers who have not carried out driving duties for an agreed period of time.

This should identify any training, development or assessments required before the driver is permitted to resume driving duties.

### 11. CERTIFICATE OF COMPETENCE //

#### 11.1 Requirements //

A certificate or licence should be provided to show that the driver has been assessed as competent to carry out the activities defined within the competence management system.

The certificate or licence should reflect the standards assessed along with the assessor's name and expiry date.

Certificates or licences should be made available to authorised personnel who may need to see it.

Any certificate or licence should be adequately validated, have clear expiry dates and be securely filed to prevent fraudulent use.

### 12. COMPETENCE OF DRIVER ASSESSORS //

#### 12.1 Competence standards

Competence standards for assessors are normally determined by reference to:

- a) nationally recognised standards of competence for vocational training, coaching and assessment
- b) the standards of competence for train driving applicable to their role.

National vocational standards provide the basic skills required to assess driver competence.

These skills need to be linked to the requirements of each railway undertakings competence management system and the broader regulatory framework.

Ideally, the training and development each manager receives needs to be structured to provide the range and depth of experience necessary to confidently and consistently carry out assessment activities to the required standards. Competence management systems designed for assessors should provide;

- a) continuous monitoring of assessor performance
- b) maintain up to date vocational skills and knowledge
- c) reflect any changing circumstances
- d) provide regular update training and briefing.

### 13. PROCESS MONITORING AND REVIEW //

Railway undertakings should review systems put in place to meet the requirements of this document, to evaluate the effectiveness of the systems and identify any corrective action which may be needed.

The effectiveness of the systems shall be measured against safety performance indicators, which include:

- a) category A signals passed at danger
- b) collisions
- c) derailments
- d) infringement of permissible speeds
- e) station overruns (where applicable)
- f) train dispatch errors, including during driver-only operation (where applicable)
- g) results of screening for drugs and alcohol
- h) objective indicators of driving performance, derived from analysis of data from on train data recorders and simulations
- i) collated data from driver monitoring by means other than data recorders
- j) TPWS and ATP/ERTMS interventions
- k) hours worked by drivers and working patterns of drivers.

The frequency of monitoring and review will be determined by railway undertakings, taking into account the assessed risks which the systems are intended to control.

#### 14. REFERENCES /

The Railways and Other Guided Transport Systems (Safety) Regulations 2006, Part 4 – Safety Critical Work

RS/701 Good Practice Guide on competence review and assessment

RS/232 Good Practice Guide on Cognitive and Individual Risk Factors

RS/501 Good Practice Guide to Simulation

RSSB research document T059 Working patterns of train drivers - Implications for fatigue and safety

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