KiwiRail

Competency Management Manual

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1. Introduction

This manual includes induction, certification and monitoring of competence requirements for Rail Personnel required to work in an environment with rail vehicles or associated equipment. Rail Personnel must be familiar with rules, procedures, manuals, codes and work practices.

KiwiRail, have separate requirements for Locomotive Running, Terminal and Onboard Services (Passenger) Rail Personnel. These are contained in the relevant sections of the KiwiRail Rail Operating Code.

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2. National Rail System Training Standards

Each rail participant is required to have internal procedures to cover training, which include but are not limited to the following:

- Training and certification
- Initial certification
- Rail Personnel induction
- Working in a yard environment
- Electrification awareness
- Basic life support
- Signalling duties
- Infrastructure maintenance
- Network Access Planning
- Train Controlling
- Rail Vehicle Operation
- Yard operating duties
- Onboard passenger services

Each organisation must have their own medical standards.

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3. General Certification Processes

3.1 Medical Standards

Rail Operating Companies must meet various medical standards. Managers must ensure that Rail Personnel have passed the necessary medical examination.

These are outlined in National Standard for Health Assessment of Rail Safety Workers.

3.2 Vision and Hearing Screening

Vision and hearing screening must be undertaken for all medical examinations. This is conducted by the Rail Operating Company Medical Officers before the commencement of work or when Rail Personnel work roles are changed.

After this initial screening, an Occupational Health Professional will conduct a screening program in accordance with the National Standard for Health Assessment of Rail Safety Workers.

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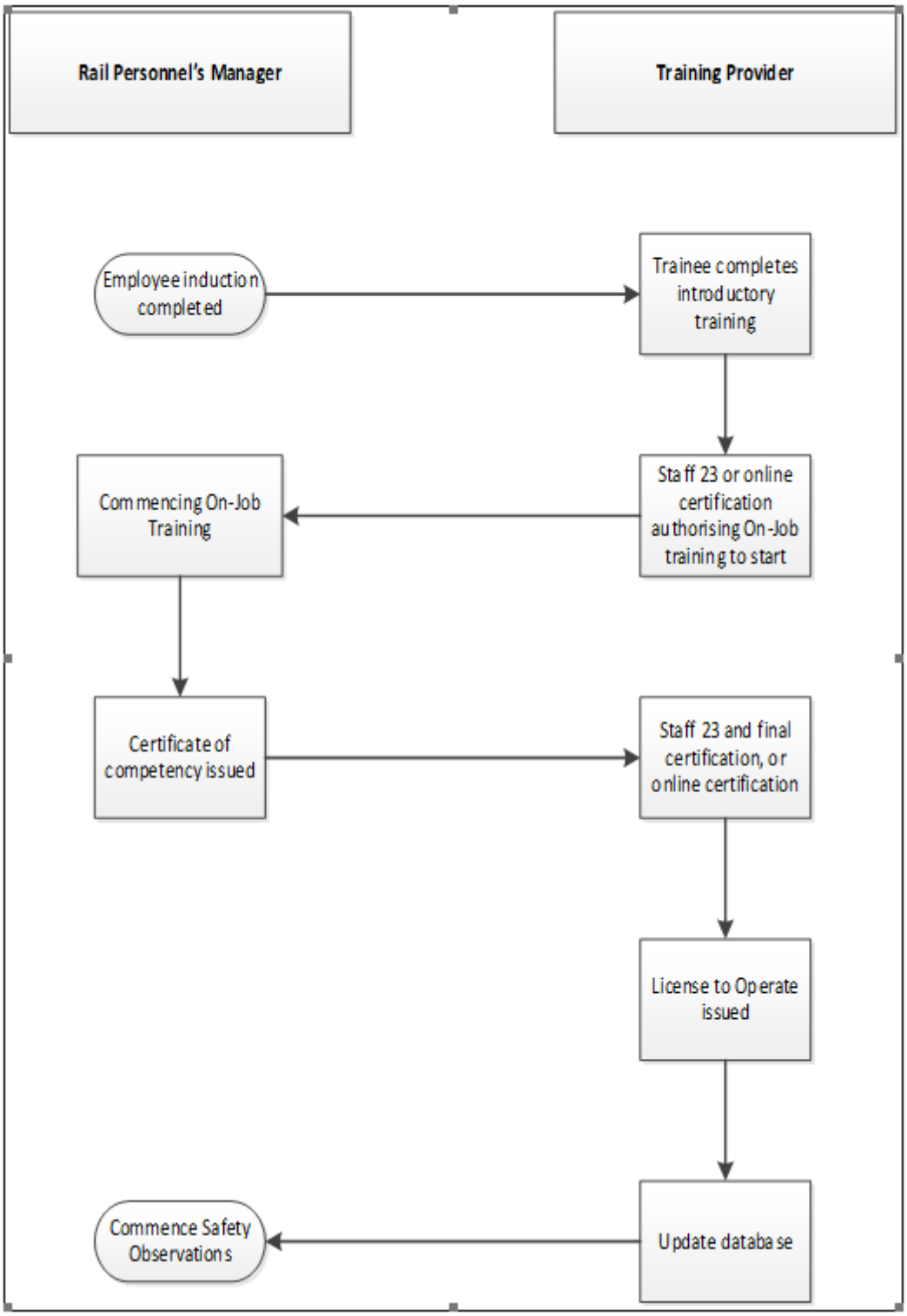
3.3 Training and Certification



Training and Certification Flowchart

The training and certification of all Rail Personnel whose duties are verified on a Staff 23 form will be conducted by an approved Training Provider. An approved Training Provider can be KiwiRail personnel or other nominated Rail Personnel and may deliver training tasks as requested.

The Training Provider will be authorised for specific training tasks by:

- the General Manager responsible for learning and development, or
- their nominee,
- or the Access Provider's manager in charge of the Rail Operating Rules

once they have completed and demonstrated proficiency in a skills development programme for "train the trainer" or another suitable external course.

For training courses with online elements, identification is verified by logging on to KLE, and an online certification will be provided.

The approved Training Provider will be observed conducting training bi-annually by General Manager responsible for learning and development or their nominee to ensure training standards are consistent.

3.4 Initial Certification

Rail Personnel are to be trained in the theory elements for the rules, codes and associated instructions for the position in which they are to be engaged before being permitted to undertake any practical work.

On completion of the initial training, the organisation conducting the training will issue a Staff 23 form for the learner. This Staff 23 form will be for endorsed rules, codes and/or introductory training only, followed by a detailed reference to the package being applied.

NOTE

Introductory training is not to be confused with Rail Personnel Induction which is the responsibility of employing managers.

The manager/supervisor will be notified either through KLE automatic notifications or by a physical copy of the Staff 23 form given to them, who will then arrange for the Rail Personnel under training to be placed with a competent, licensed practitioner holding the appropriate minder qualification. They will undergo on-the-job training (OJT) so that through these field-based exercises, the participant can be exposed to various experiences that add confidence to competence.

The manager (or nominee) directly responsible for the participant will observe them undertaking critical tasks related to the new role. These critical tasks will be measured functionally against an OJT practical assessment and mastery test.

To ensure the integrity of this training and certification process, all Rail Personnel conducting assessments must have a certification in that role.

On completion of this training and the participating Trainee having demonstrated mastery of all the critical tasks, the Rail Personnel's manager must sight and sign the completed mastery test and provide the organisation's nominated manager with a completed Certificate of Competency.

IMPORTANT

The Rail Personnel's manager must sight and sign the OJT practical assessment and mastery test and retain this document on file.

On receipt of the Certificate of Competency, the organisation's nominated manager will issue a further Staff 23 form authorising a full and final certificate of competence identifying the duties to which training and certification have been provided.

The Staff 23 form will not be revalidated during the Rail Personnel's period of employment but may be suspended where serious breaches of conduct or behaviour have been identified. The ongoing performance with respect to competence to perform safely will be measured functionally against key tasks identified in Instruction 5.1 Safety Observation Procedures.

3.5 Training Records

Organisation	Original	Copy
KiwiRail Rail Personnel	Archiving	• Employing manager / supervisor on request will be given a copy. • Learner is provided a copy of the Staff 23 form (also available in KLE).
Rail Personnel or Contractors trained by KiwiRail but not employed by KiwiRail	Employing Manager	• Learner is provided with a copy of staff 23 form (also available in KLE).
Private Siding Rail Personnel	Local Terminal Manager	• Private Siding Manager • Learner is provided a copy of the Staff 23 form (also available in KLE).
Heritage Rail Personnel	Heritage Organisation	• Learner is provided a copy of the Staff 23 form (also available in KLE).

Other operators not detailed here will have training records management documented in their internal processes and approved in accordance with their Rail License.

3.5.1 LTO Competency Checking for Infrastructure

Shield competency records or KLE must be used as evidence when checking LTO competencies. A current and valid STF23 form may be used as evidence when Shield or KLE is unavailable.

These competencies must be confirmed as valid when individuals are:

- assigned to specific roles for a job, and
- on-site at the start of each shift.

3.5.2 Checking of LTO Competencies

Checking Point	Reviewer	Evidence	Competency Checks
Planning stage (resource allocation)	Planner (or person allocating resources to the job)	• Shield Competency Records • KLE Records • Staff 23 (or copy)	• Correct for the role assigned and duties undertaken. • Expiry dates have not lapsed. • Safety Observations are current. • If a Staff 23 form is used, it is not older than 20 working days (from the date competency or observation was achieved). • Any restrictions, suspensions, or expired competencies identified in Shield are remedied prior to task allocation.
At the start of each shift	Work Supervisor (on site)	• Shield Competency Records • KLE Records • Staff 23 (or copy)	

NOTE
A written record that LTO competencies have been checked is required at both checking points.

3.5.3 Evidence of LTO Competencies

If an individual cannot show evidence of their LTO competencies to the Work Supervisor at the start of a shift by providing a valid:

- Shield record, or
- KLE record, or
- STF23 form,

they must not

- not be assigned to any task
- not perform any task
- not hold any responsibilities associated with a task

requiring that LTO.

They may be assigned other non-related activities, though care must be taken to not generate any additional risk.

By endorsing the asterisk (*) column in the TS90 Job Plan Book with the letter ‘C’ (Competent and Current), the Work Supervisor is confirming they have verified the individual’s LTO competencies in accordance with **3.5.2 Checking of LTO Competencies**.

3.5.4 Competencies to be Checked

The set of LTO Competencies that are required to be checked for are:

- EAB - Electrification Awareness Basic
- EAI - Electrification Awareness Intermediate
- EAA - Electrification Awareness Advanced
- ITD - Individual Train Detection
- RPO-B - RPO Blocking
- RPO-C - RPO CSP Boards
- RPO-F - RPO Foul Time
- RPO-H - RPO Hi-Rail Vehicle
- RPO-L - RPO Lockout Zones
- RPO-M - RPO Multiple Worksites
- RPO-T - RPO TWC Protection
- RPO-Y - RPO Yards
- RPO-60 - RPO Block of Line (Mis.60)
- TO - Tunnel Operations
- TPBM - Track Protection Basic Machines
- SP - Site Protector

3.6 License to Operate Certification Classifications

Class	Title
A	Locomotive Engineer Freight
AC	Second Person Duties
AD	Servicing Assistant
AF	Fireman Steam Locomotive
AM	Depot Locomotive Operator
AP	Locomotive Engineer Passenger
AP2	Locomotive Engineer Metro Passenger (AP2 - applies to trains with operative graduated release brake valve)
AS	Locomotive Engineer Steam Locomotives

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Class	Title
A1	Locomotive Engineer Multiple Units
B	Locomotive Remote Control
BM	Drive Remote Control Locomotives (Main line)
E	Train Inspection Duties Freight
E1	Train Inspection Duties Passenger
E1P	Train Inspection Duties Passenger Limited
E1T	Train Inspection Heritage Rolling Stock
EAB	Electrification Awareness Basic
EAI	Electrification Awareness Intermediate
EAA	Electrification Awareness Advanced
F	Shunting Duties Freight
F1	Shunting Duties Passenger
G	Core Stationary Shunting
G1	Core Stationary Shunting Locomotive Engineer Freight
H	Train Controller
H1	Network Access Planner
I1	Operate Mobile Track Maintenance Vehicles (Level A)
ITD	Individual Train Detection
L	Automatic Signalling
L1	Automatic Signalling – Local Signaller
M	Midland Line Automatic Signalling Areas
M2	Midland Line Automatic Signalling Areas – Infrastructure
M3	Train Control Operating Instructions (cross check on Midland Line)
OG	Overgauge Load Procedures
P	Track Warrant Control
P2	Track Warrant Control – Infrastructure
R	Signal Box Duties
RPO-B	RPO Blocking
RPO-BO	RPO Blocking Operations
RPO-C	RPO CSP Boards
RPO-F	RPO Foul Time
RPO-H	RPO Hi-Rail Vehicle
RPO-L	RPO Lockout Zones
RPO-LR	RPO Lockout Zones Restricted
RPO-M	RPO Multiple Worksites
RPO-T	RPO TWC Protection
RPO-Y	RPO Yards (Protection in Non-Interlocked Areas)
RPO-60	RPO Block of Line (Mis.60)
TO	Tunnel Operations
TPBM	Track Protection Basic Machines (Operate self-propelled HRVs and equipment in a protected rail environment)
U1	On Board Service – Carriage Trains
U2	On Board Service – Carriage Trains and Railcars
U3	On Board Service – Multiple Units
U4	On Board Service – Railcars
V	Drive Shunt class Locomotives/Rubber Tyred Vehicles
SP	Site Protector

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3.7 Rail Personnel Induction

New appointees or existing personnel on internal transfer, contractors temporary or permanent, or personnel affected by a change of role must, be introduced to the area of operations identified before commencing duties.

These inductions, as arranged by the new appointee's manager, must include the following:

- all hazards common to the Rail Personnel's role and any potential hazard unique to the operation of that locality
- administrative details relating to:
  - rosters
  - pay
  - timesheets
  - leave, and
  - the EAP officer's or representative's location

3.8 Electrification Awareness

All Rail Personnel required to work in electrified areas will be certified to operate under those conditions. An approved training provider will provide this initial training. The appropriate safety procedures and minimum approach distances are emphasised during a tutorial supporting the relevant safety poster material.

3.9 Basic Life Support

All basic life support instruction is undertaken by an outside agency as arranged by the Rail Personnel's manager.

3.10 Tunnel Operations

Training is based on the organisational requirements of each participant. The courses cover all aspects of travelling through and working within KiwiRail tunnels.

Tunnel Operations will be retrained every 24 months in a face-to-face practical session, with an online theory revalidation (within KLE) on the alternate year.

If the competency holder does not meet the theory assessment criteria, then they will be booked into a face-to-face practical course.

Table 1. Tunnel Training Requirements

Level	Name	Target Group
1 – TO	Tunnel Operations Locomotive Engineer (modules excluding Tunnel Work Planning)	• Operations • Locomotive Engineers
1 – TO	Tunnel Operations Passenger (modules excluding Tunnel Work Planning)	• Scenic
1 – TO	Tunnel Operations Metro Passenger (modules excluding Tunnel Work Planning)	• Wairarapa Passenger Services Onboard staff
2 – TO	Tunnel Operations Infrastructure (modules including Tunnel Work Planning)	• Infrastructure Personnel • RSAS Contractors

If either the theory or practical competency expires, the competency holder cannot travel or work within KiwiRail tunnels.

Should either competency be expired for more than 1 month, both competencies will be archived. To regain competency, personnel will need to meet assessment criteria set within the face-to-face practical course.

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3.10.1 Online Theory Revalidation Assessment Criteria

The theory assessment will be conducted online through KiwiRail's Learning Management System (LMS). Each participant will be given two opportunities at the online assessment to obtain the pass mark of 80%. If a participant does not reach the 80% pass mark following the second attempt, they will need to attend a Face-to-Face Tunnels Practical Course.

3.11 LTO Conversions

Conversions from one Licence to Operate (LTO) to another Licence to Operate may be carried out if the following applies:

- the new LTO is an upskilling of the original LTO, and
- the operator is already certified competent in the original LTO, and
- the process for the conversion must be clearly identified and approved by KiwiRail Learning and Development, and
- the new LTO is recorded by Staff 23 and entered into KLE.

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4. Specific Certification Requirements and On-the-Job Training

4.1 Signalling Duties

A training provider will apply the appropriately designated module/s extracted from the training prescription ‘Signalling Duties’.

‘R’ classification will apply at locations designated as a Signal Box.

4.2 Signal Box Locations

- Tawa**
- Addington

** Rail Personnel certified with an ‘H’ classification may operate these signal panels after the key process listed below has been followed.

Persons certified for an ‘R’ classification area must hold the relevant L1 - ASR Classification signalling subcategory or full ASR signalling category.

Key processes for the manager of the Signal Box when a Signaller is moving to another Signal Box are as follows:

- safety induction to the new location – Section 1 of the Signal Box training module
- any additional training, AC/DC Awareness, motor points, Signaller signal categories for location
- participant to work in Signal Box to learn operational business processes at the location under the guidance of a licensed operator
- full A-level safety observation conducted.

The Signaller may then work unsupervised at that location.

4.2.1 Local Control and Emergency Working Apparatus

Rail Personnel required to operate these will receive initial site-specific training for the location:

- operating classification does not apply
- once initial competence is attained, a Staff 23 form is issued by the training provider detailing the training given
- ongoing assessment of competence is undertaken in the normal course of safety observations for yard activity or onboard passenger services activity module.

4.2.2 Local Control Locations

- Kinleith
- Kawerau
- Masterton
- Picton

NOTE

Rail Personnel that operate local control facilities for signalling trains will be observed undertaking these tasks using the yard operating activity module.

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4.2.3 Emergency Control Locations

- North Junction
- South Junction
- Paekākāriki

NOTE
Users of local control panels and local emergency control panels are not required to hold an ‘R’ license to operate.

4.3 Infrastructure Rail Personnel, Contractors, and Third Parties

Managers will place trainees with licensed personnel where OJT is required to gain specified practical experiences. These supervised field exercises will be of sufficient duration to confirm competence in skills and knowledge, and these are assessed against a practical mastery test.

The completed practical mastery test and the Certificate of Competency from the manager are sent to the Operational Safety Advisor, or other suitably qualified people responsible for the infrastructure group, who will issue the Staff 23 form authorising full and final certification after a review of the documents. All information must be entered into KLE by administrators or suitably qualified persons.

NOTE
Candidates must complete all sections of the mastery test within 12 months of completing the theory course.

4.3.1 Role-Specific Induction (No Certification Category)

The No Certification Category is a manager’s role-specific induction. It allows Rail Personnel to work under the supervision of other Rail Personnel with the appropriate track License to Operate categories.

4.3.2 Minimum Training Requirement to Access the Railway Corridor

CAUTION
The railway corridor is the area within 5 metres from the centre line of the track.

Rail Personnel not directly connected with the running of trains (e.g., Locomotive Engineers, Roving Shunters) must have the following minimum qualifications:

Supervised (includes within protected work areas)

- Rail Safety Induction***.

Unsupervised (to work or move within the railway corridor)

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- Rail Safety Induction, and
- a main line Track Safety Qualification (RPO License to Operate) ***

***This may also be the minimum requirement when stipulated on the:

- permit to enter or yard permit (or both), or
- contract with KiwiRail that specifies conditions of entry, or
- when covered by other access agreements (joint operating plan, etc.)

4.4 Level A - Operate MTMVs

This prerequisite (appropriate License to Operate) would include Persons in Charge of equipment such as cranes and traction inspection wagons, which cannot off-track. Training will entail completing an 8 week theory course equivalent to Locomotive Engineer rules course.

Tuition in the following categories will occur concurrently with the level A tuition:

- I1 - MTMV to operate as a train (comprehensive knowledge of signalling, rules and interlocking at terminals/complex station limits is necessary)
- L - Automatic Signalling
- P - TWC
- M - Midland Line Automatic Signalling Areas

Supervised OJT follows these to confirm competency for each category. If the classification is for operating at a specific work area only, the Staff 23 form will be endorsed accordingly.

Familiarisation and subsequent certification with the operation of specific equipment are arranged by the Field Production Manager – Track Machines.

4.4.1 Route Certification

Operators of mobile track equipment who hold I1 certification can run these machines without route certification on all lines except for the following complex signalling areas:

- any bi-directional signalling area
- Te Rapa
- Palmerston North
- Wellington
- Christchurch

Operators must have a route certification from an Occupational Competency Manager or suitably qualified nominee for these identified areas.

a. The certification will include a thorough knowledge of the local instructions and signalling arrangements controlling the movements of trains in these areas. The certification must be re-validated every 12 months.
b. At least 2 weeks before the Operator proceeds with the machine into 1 of the above areas, the Occupational Competency Manager or suitably qualified nominee concerned must be advised so that necessary certification can be arranged. Candidates will be field tripped to each station/yard within the areas identified and must cover relevant local and ROP Local Network Instructions.

Once route knowledge has been confirmed, the Operator of track maintenance machines holding current route certification must contact the local Occupational Competency Manager or a suitably qualified nominee before travelling into these areas again. This requirement is in case there is a need to be familiarised with any changes to instructions or signalling arrangements.

A Staff 23 form must be completed to confirm route certification.

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4.4.2 Route Register and Familiarisation Requirements

A route register detailing Operators' certifications extracted from completed STF23 forms must be maintained by the Field Production Manager - Track Machines and be used for reference purposes when scheduling track gangers over various lines.

When Operators travel / work through a new area, they must be given all S&I diagrams by the Field Production Manager – Track Machines. Additionally, should the Operator be scheduled to work in complex signalling areas with which they are unfamiliar, the Field Production Manager – Track Machines must arrange for the Operator to visit the area before commencing work.

4.4.3 Route Knowledge Expired or Not Held

When current route certification is not held, the Operator of the machines must be accompanied by a pilot with current route knowledge.

The pilot must be either:

- another level A operator with current route knowledge
- a Locomotive Engineer with current route knowledge.

4.5 Train Controller

Figure 2: Train Controller Training Flowchart

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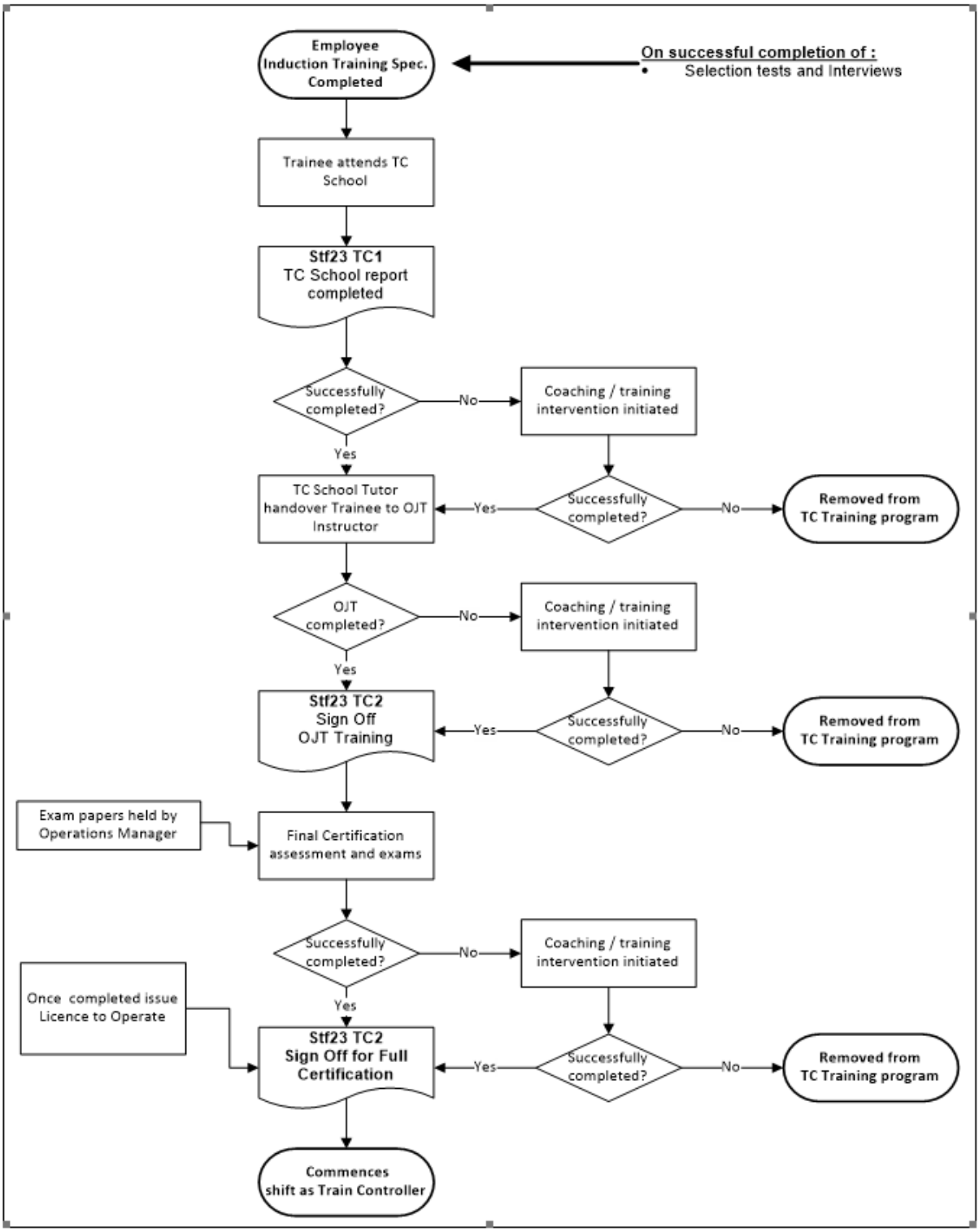

4.5.1 Prerequisites

Candidates must have completed the Assessment Centre process and be selected for the Train Control School by the interviewing panel.

4.5.2 Train Control School Outline

The Train Control School consists of 8 weeks of formal training before commencing the OJT phase.

Students will undergo training in the classroom and several field trips, which will consolidate what was learnt in the classroom. The field trips include:

- familiarisation (on the ground) at terminals
- locomotive cab riding
- route/signalling systems observation and
- locomotive/train operations.

Students will undergo theory and practical examinations at the end of the 8 weeks.

Sometimes, a modified school may be run for a candidate who only needs limited knowledge to operate. An assessment by the manager responsible for Train Control Operations will determine the exact requirements on a case-by-case basis, considering the previous experience and technical currency.

Training documentation for the Train Control School accurately defines the content and requirements. This includes (but is not limited to):

- signalling processes
- automatic signalling
- automatic signalling – Midland Line Area
- track warrant control
- track safety rules (includes track and signals briefings and field trips)
- rail operating code
- bulletin and authority to issue
- non-technical skills
- rail operating procedures
- train end monitors and air brakes
- map reading (Trainees will be tutored in this skill and must be able to read and give grid references accurately).

The minimum requirements for completing the Train Control School is to achieve a minimum aggregate pass of 85% overall and 80% in each section.

As each section of the Train Control School is completed, candidates will be given feedback on their performance. Training intervention will be initiated for candidates below the minimum pass standard. In addition to identifying the areas where improvement is needed, the Tutor will forward a report to the Operations Manager on the candidate's suitability for further training.

On completion of the Train Control School, a formal recommendation to advance to the OJT training phase is required from the Train Control School Tutor.

4.5.3 On the Job Training (OJT)

On successful completion of the Train Control School, candidates will advance to the OJT phase.

The Trainee Train Controller is then assigned to OJT. The Trainee will be tutored by a qualified Train Controller qualified in the area being learnt. Tutors will generally have at least 2 years of Train Control experience, and a trainee will generally be limited to tuition from 2 primary Tutors.

Tutor Train Controllers are responsible for supervising trainees, so that correct processes are taught and applied. Progress is assessed, and the Tutor signs off tasks as competence is achieved. Trainee Train Controllers are responsible for applying procedures taught to them and acting only within any limitations set by the Tutor.

Task competency is detailed in the OJT Training Manual held by each Trainee. The OJT training phase will generally last between 6 and 10 weeks.

During this period, the trainee will complete a cab ride through the area being learned where practicable. Additionally, local experts will be used to conduct a familiarisation visit to complex sites, explaining the systems, layout, and any operational requirements (e.g., Christchurch multi-line area).

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Before or as part of the certification, the trainee must undergo and pass a Train Control voice audit.

4.5.4 Certification

On receipt of a completed Certificate of Competency, signed by the trainee and tutor, the Trainee will then undergo an independent assessment to gain a full license to operate which will consist of the following:

- **Written Examination** - Achieving an 80% pass mark in each multi-choice signalling category examination and the written local instruction examination for the area of control. These will be closed-book examinations.
- **Practical Assessment** - The trainee will control the area for which they hold a certificate of competency under the assessment of a Train Control Qualified Manager or Level 6 Train Controller who has not conducted the OJT. This will independently assess the trainee's handling of track calls, technical competence with systems and compliance with operating codes, procedures and rules. The safety observation sheet is used, and associated key tasks are assessed. Any tasks not observed while operating will be assessed verbally off-desk to confirm understanding. The certificate of competency will be the authority for the Trainee to control the area during an assessment.

4.5.5 Learning a New Area or Desk

On receipt of a completed Certificate of Competency, signed by the trainee and tutor, the trainee will then undergo an independent assessment for an area certification.

The certification process will require the Train Controller to achieve an 80% pass mark in any multi-choice signalling category examination for signalling categories not already held and in written local instruction examination for the area of control. These will be closed-book examinations.

A Train Control qualified manager or Level 6 Train Controller who has not conducted the OJT must complete a safety observation assessment.

On gaining certification to operate a new area or desk, the Train Controller will be required to undergo 1 Train Control voice log audit within the first month and have a desk assessment undertaken within the second month (unless on an enhanced audit frequency).

Once certification is achieved, a 6-month consolidation period on the desk is mandatory before commencing training on other desks. This consolidation period is also applied to other desks that are then learned. In some situations, the Train Controller will be learning a new area and controlling the area for which the consolidation period has been completed (i.e., weekends, night shifts).

The Operations Manager may approve exceptions to the 6 months following an interview with the Train Controller and upon assessment of the candidate by a full Meets Requirements Safety Observation.

If operational needs require, the new desk training period may be interrupted, and the Train Controller is rostered to work on desks where certification is held. The best practice is to provide for a continuous training period, with this provision only being used to cover short-notice roster alterations.

4.6 Network Access Planner

Training a Network Access Planner is modular based. Qualified Network Access Planners will apply the appropriately designated module/s through suitable OJT to ensure competence before final certification for each module is authorised. Mastery assessment is outlined in each module and must be completed before a completed certificate of competency is issued.

On completion of all certificates of competency signed both by the trainee and tutor, the trainee will then undergo an independent assessment conducted by the Access Provider's manager in charge of Rail Operating Rules to gain a full license to operate which will consist of:

- written examination, and

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- practical exercises.

4.7 Traction and Systems Controller

Training a Traction and Systems Controller is modular based with OJT competence.

Mastery assessments are arranged and managed by the Professional Head of Traction and Electrical.

4.8 Auckland One Rail

4.8.1 Formal Safety Observations

Formal safety observations are graded into three categories:

- ‘A’ observations;
- ‘B’ observations and;
- competence assessments.

Observations and Competence Assessments can be undertaken by Auckland One Rail Managers, Supervisors or Train Services Officers or those suitably qualified nominees who are deemed competent to undertake an assessment.

For clarity, the arrangements in place for the undertaking of A and B observations for KiwiRail LEs remains as defined in this Competency Management Manual.

The frequency of Auckland One Rail Competence Assessments for Auckland One Rail Drivers is as defined in the Auckland One Rail Competence Management System, as published internally and will be no less than the frequency required by the National Rail System Standards (NRSS).

Auckland One Rail must ensure that each assessment cycle is completed at the frequency specified within the Auckland One Rail Competence Management System, with a clear and concise record of all results being maintained and documented with regard to safe rail operations.

4.8.2 Competence Assessment Types

Theoretical Competence Assessment - Formal

- A closed book, written, computer based or verbal assessment to measure knowledge of rules and operating procedures, rolling stock and local instructions.

Practical Cab Competence Assessment – Formal

- An on-train assessment conducted at predetermined intervals to measure knowledge and assess competence to the required standard in:
  - practical train driving skills,
  - adherence to rules and operating procedures,
  - route knowledge,
  - route risk and
  - professional driving techniques.

Where a task cannot be measured practically under operating conditions it must be assessed verbally to confirm competence.

On Train Data Recorder Competence Assessment - Formal

- A random assessment through analysis of an on-train data recorder download to monitor and assess drivers practical train driving skills and adherence to rules and operating procedures as part of ongoing monitoring of competence.

Random Competence Assessment – Formal

- Random competence assessment may be carried out using a variety of different methods, for example:
  - Observation from within non-driving cabs of trains, at stations and other vantage points
  - Random monitoring of radio communications.

Simulator Competence Assessment - Formal

- An assessment using any or all the previously mentioned competence assessment types conducted on a simulator as part of continuation training and maintenance of competence to measure knowledge and assess competence in basic route knowledge, fault finding / trouble shooting, operating under degraded modes etc and professional driving techniques.

Competence Diagnostic Assessment - Formal

- Assessment conducted over a predetermined period of time, after the individual has been involved in a serious safety occurrence, for the purpose of validating an individual's current level of competence and to enable any areas which require further development to be identified. Information gained from a Formal Diagnostic Assessment will be used as a basis for the Individual Driver Development Plan.
- A formal diagnostic assessment may include an invitation to undertake additional investigative testing, designed to allow both Transdev and the Driver to gain a clearer understanding of the Human Factor issues which may have contributed to the incident and to aid the development of the targeted Individual Driver Development Plan.

4.8.3 Driver Competence Management Cycles

"Newly Qualified Driver" is the term used to describe a Auckland One Rail Driver who has received their Certificate of Competency and has less than twenty-four months driving experience.

In the two years following certification, the Newly Qualified Driver must complete three (3) cycles of competence assessment thus: two at 6 month intervals, and then followed by a 12 month assessment cycle and complete a one day classroom theory and practical / simulator EMU refresher training annually in a calendar year.

"Qualified Driver" is the term used to describe a Auckland One Rail Driver who has competently completed their first two years of driving without incident. Following their first two years of driving, a Qualified Driver must complete one (1) competence assessment cycle every two years and complete a one day classroom theory and practical / simulator EMU refresher training annually in a calendar year.

4.8.4 Support Process

In the event an Auckland One Rail Driver is unable to demonstrate the level of knowledge, skill or performance required, the Driver will be supported through the Auckland One Rail Train Driver Individual Development and Support System.

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5. Safety Observations

Safety Observation Flowchart

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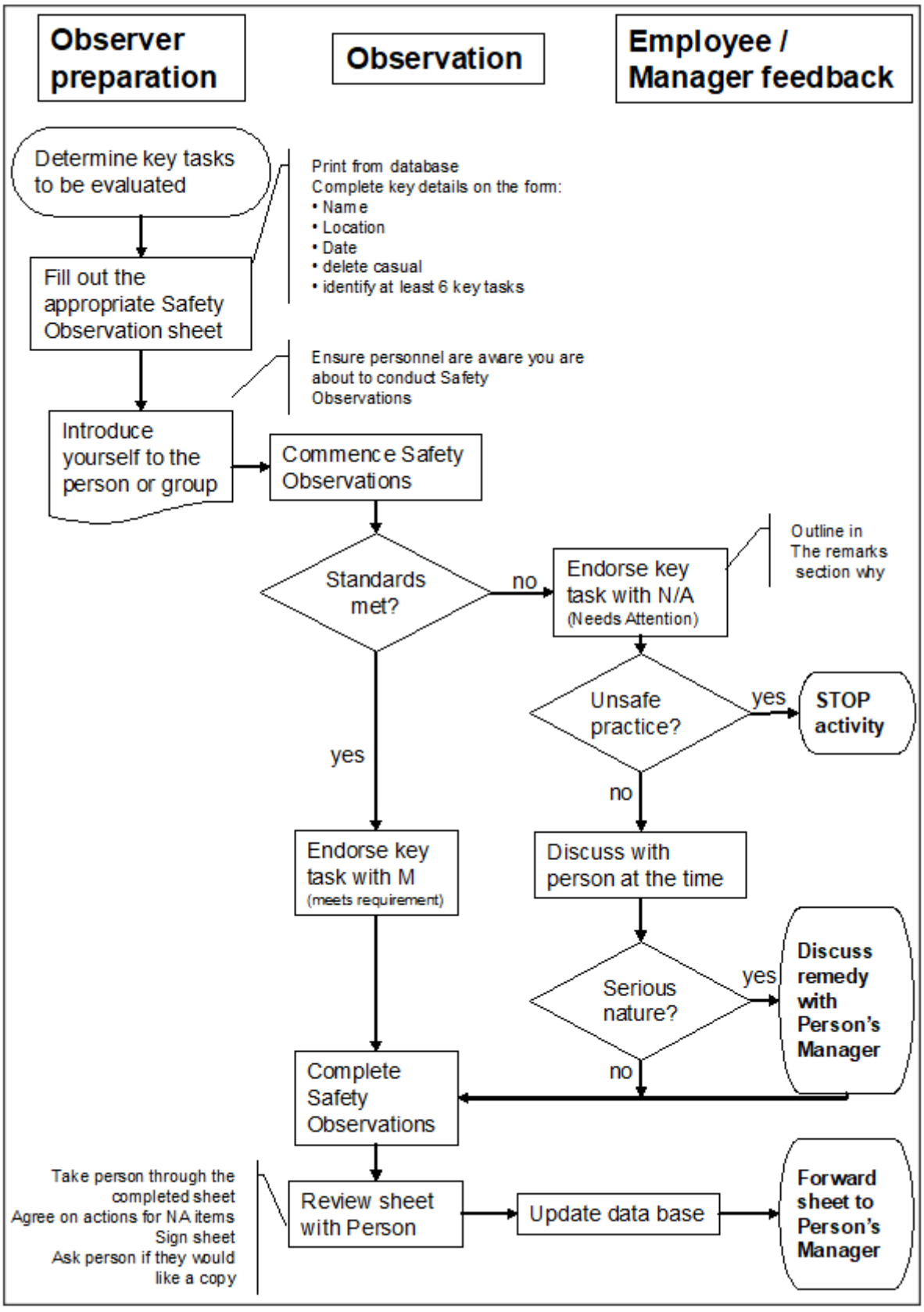

5.1 Safety Observation Procedures

Safety observation procedures are:

- practical assessments of Rail Personnel for the activities identified on their certification, and
- contained in a modular form and broken down into different activity groups.

NOTE
Because of the certifications held, most Rail Personnel may need to be assessed in more than 1 activity.

When Rail Personnel have multiple classifications, the Rail Personnel's manager is responsible for the management of theory testing and arranging safety observations for each classification with qualified assessors.

Assessments are to be completed by the date on which they become due.

If Rail Personnel do not complete a safety observation within the specified time frame, the activity type is deemed to have lapsed. To re-validate an activity type, select the appropriate safety observation sheet and complete all tasks on the sheet appropriate to the Rail Personnel's certification categories.

5.2 Biennial Theory Assessment

Theory elements that apply to the classifications are tested every 2 years (minimum requirement) through open-book multi-choice question sets for the following classifications.

NOTE
Theory elements tests for Train Controllers will be short/long answer questions instead of multi-choice questions.

Classification Elements

Classification Held		Observation Required	Theory test required
A	Locomotive Engineer	Main Line Loco/Multiple Unit Driving Activity	Yard Based Functions Freight
A1	Locomotive Engineer Multiple Units	Main Line Loco/Multiple Unit Driving Activity	Driving Electric Multiple Units
AC	Second Person Duties	Nil	Nil
AD	Servicing Assistant	Locomotive Servicing Duties/Freight Maintenance Activity	Yard Based Functions Freight/Depot Locomotive Operator
AF	Fireman Steam Locomotive	One Additional Steam Observation (24 Months)	Steam Operations
AM	Depot Locomotive Operator	Freight Maintenance Activity	Depot Locomotive Operator
AP	Locomotive Engineer Passenger	Passenger Train Driving Activity	Nil
AS	Locomotive Engineer Steam	One Additional Steam Observation (24 Months)	Steam Operations
B	Locomotive Remote Control	Yard Operating Activity	Yard Based Functions Freight
BM	Locomotive Remote Control Main Line	Main Line Locomotives Yard Operating Activity	Yard Based Functions Freight

Classification Held		Observation Required	Theory test required
E	Train Inspection Duties (Freight)	Yard Operating Activity	Yard Based Functions Freight
E1	Train Inspection Duties (Passenger)	Yard Operating Activity	Yard Based Functions Passenger
E1T	Train Inspection Heritage Rolling Stock	Yard Operating Activity	Yard Based Functions Passenger
EAB	Electrification Awareness Basic	Nil	Electrification Awareness
EAI	Electrification Awareness Intermediate	Nil	Electrification Awareness
EAA	Electrification Awareness Advanced	Nil	Electrification Awareness
F	Shunting duties Freight	Yard Operating Activity	Yard Based Functions Freight
F1	Shunting duties Passenger	Yard Operating Activity	Yard Based Functions Passenger
G	Core Stationary Shunting	Yard Operating Activity/Freight Maintenance Activity	RSAS Revalidation
G1	Core Stationary Shunting – Locomotive Engineer Freight	Yard Operating Activity	Yard Based Functions Freight
H	Train Controller	Train Control Activity €	(for € see footnote following table)
I1	'Level A' Operate Mobile Track Maintenance Vehicles	Infrastructure Maintenance Activity	Infrastructure
ITD	Individual Train Detection	Nil	Individual Train Detection
L	Automatic Signalling	Nil	Automatic Signalling
L1	Automatic Signalling	Local Signaller	Automatic Signalling
M	Midland Line Automatic Signalling Areas	Nil	Midland Line Automatic Signalling Areas
M2	Midland Line Automatic Signalling Areas – Infrastructure	Infrastructure	Midland Line Automatic Signalling Areas – Infrastructure
M3	Train Control Operating Instructions	Train Control Activity €	(for € see footnote following table)
OG	Overgauge Load Procedures	Nil	Overgauge Loads
P	Track Warrant Control	Nil	Track Warrant Control
P2	Track Warrant Control	Infrastructure	Track Warrant Control
R	Signal Box Duties	Signal Box Activity ¥	Signal Box - see instruction 4.1 (for ¥ see footnote following table)
RPO-B	RPO Blocking	Infrastructure	RPO Blocking
RPO-BO	RPO Blocking Operations	Blocking Activity	RPO Blocking (modified)
RPO-C	RPO CSP Boards	Infrastructure	RPO CSP Boards
RPO-F	RPO Foul Time	Infrastructure	RPO Foul Time
RPO-H	RPO Hi-Rail Vehicle	Infrastructure	RPO Hi-Rail Vehicle
RPO-L	RPO Lockout Zones	Infrastructure	RPO Lockout Zones
RPO-LR	RPO Lockout Zones Restricted	Lockout Zone Activity	RPO Lockout Zones (modified)
RPO-M	RPO Multiple Worksites	Infrastructure	RPO Multiple Worksites
RPO-T	RPO Track Warrant Control	Infrastructure	RPO Track Warrant Control
RPO-Y	RPO Yards	1. Infrastructure / Maintenance Activity 2. Track Protection Non-Interlocked Area / Freight Maintenance Activity	1. Yard Based Functions 2. KLE Online (RSAS) and Revalidation

Classification Held		Observation Required	Theory test required
RPO-60	RPO Block of Line (Mis.60)	Infrastructure	RPO Block of Line (Mis.60)
TPBM	Track Protection Basic - Machines	Infrastructure Maintenance Activity	Operate on-track self-propelled Hi-Rail Vehicles and equipment in a protected rail environment
U1	On Board Service - Carriage Trains	On Board Passenger Service Activity	On Board Service Carriage Trains
U2	On Board Service – Carriage Trains and Railcars	On Board Passenger Service Activity	On Board Service Carriage Trains and Railcars
U3	On Board Service - Multiple Units	On Board Passenger Service Activity	On Board Service Multiple Units
U4	On Board Service - Railcars	On Board Passenger Service Activity	On Board Service Railcars
V	Drive Shunt Class Locomotives / Rubber Tyred Vehicles (Yard Only)	Yard Operating Activity or Freight Maintenance Activity	Nil
SP	Site Protector	Infrastructure	Site Protector

NOTE

€ Also require 6 months of voice tape playback. See instruction **5.3.4 Train Control Safety Observation**.

¥ See instruction **5.3.4 – Train Control Safety Observation**

A pass mark of 80% will apply to all papers sat. The assessor will identify any incorrect answers and provide tuition. On completion of tuition, an oral retest will be conducted. A pass may be awarded if the assessor is satisfied with the retest results. If not satisfied, the assessor must advise the manager that further training is required.

If any Rail Personnel have not used the skills associated with the certification category and safety observations have lapsed for over 2 years, the manager responsible for Learning and Development is to be contacted and the revalidation process decided and documented on a case-by-case basis.

5.3 Observation Types

The 2 categories of safety observation that apply are:

1. **Formal** - used to assess the competence of Rail Personnel formally.
2. **Casual** - daily observation of personnel work practices on an informal basis.

The safety observations aim is to evaluate the Rail Personnel against the application/knowledge of rules, procedures, and instructions as they apply to their duties.

5.3.1 Formal Safety Observations

Formal safety observations are graded into 2 categories:

- **A-level observations** - are applied by any manager, supervisor or suitably qualified nominee who holds a certification for the tasks being evaluated.
- **B-level observations** - are applied by the manager, supervisor or authorised nominee who has access to the rules, relevant codes and instructions from which the required knowledge can be gained to make an informed judgement.

Rail Personnel will be individually observed or be part of a work team on which observations are conducted 3 times within 24 months (with a maximum of no more than 8 months separating observations). Of these 3 assessments, a minimum of 1 must be a Level A observation.

IMPORTANT
AP LTO holders will be re-certified 12 monthly, commencing from the date of the first safety observation recorded in KLE.

Observations will consist of a selection of key tasks from activity modules that relate to the various categories as identified in the scope of the LTO or training package shown on the Staff 23 form.

The manager will be responsible for ensuring that these safety observations are completed and the maintenance of documentation that records the results concerning performance.

NOTE
All managers/supervisors and suitably qualified nominees will conduct formal safety observations within the nature and scope of their competency.

5.3.2 Conducting Formal Safety Observations

Each of the 6 modules consists of a safety observation sheet relating to the activity concerned and shows the relevant key tasks to be assessed. Where a key task is common across other activity groups, the same number will be used on each sheet. Observations are outlined in the index and are shown as either A or B type (which, as previously stated, relates to the qualification needed to carry out the assessment).

Before conducting the observation, decide from the relevant activities the key tasks to be evaluated. Some thoughts concerning location and time may need to be considered to make the necessary connection between personnel and task/s. The scope of assessment must consider the location and the work being observed.

Fill out the appropriate safety observation sheet/s by showing the personnel's name, location, and date, modify the sheet to show that it is a formal observation, and tick those key tasks on the sheet that will be observed. It is expected of assessors that a minimum of 6 tasks (including key tasks) will be applied to any individual Rail Personnel.

The manager, supervisor, or nominee conducting formal safety observations must introduce themselves to the individual or group and ensure they know that a safety observation will be undertaken. When the observation has been completed, the safety observation sheet should be endorsed with the results (i.e., *M* for meets the requirements and *NA* for needs attention).

Where the standard has not been met, briefly outline why and the action that was taken in the remarks section. The proposed action should be discussed with the manager of the Rail Personnel if the *NA* classification is serious. If the operation is considered unsafe, it should be stopped. Whatever the level of the *NA* results, it must be taken up with the Rail Personnel concerned at the time.

At the end of the observation, the Rail Personnel concerned should be taken through the completed safety observation sheet and sign it in the appropriate place. A copy of this sheet is to be sent to the manager of the Rail personnel, and if requested, a copy is to be provided to the personnel.

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Upon receipt of their copy, the manager must note the action taken and, if they agree that no further action is required, place their copy on the Rail Personnel's file suitably endorsing 'no further action required'. If an alternative course of action (i.e., training intervention is required), this should be noted on the form along with the completion date.

5.3.3 Casual Safety Observations

Casual Safety Observations Flowchart

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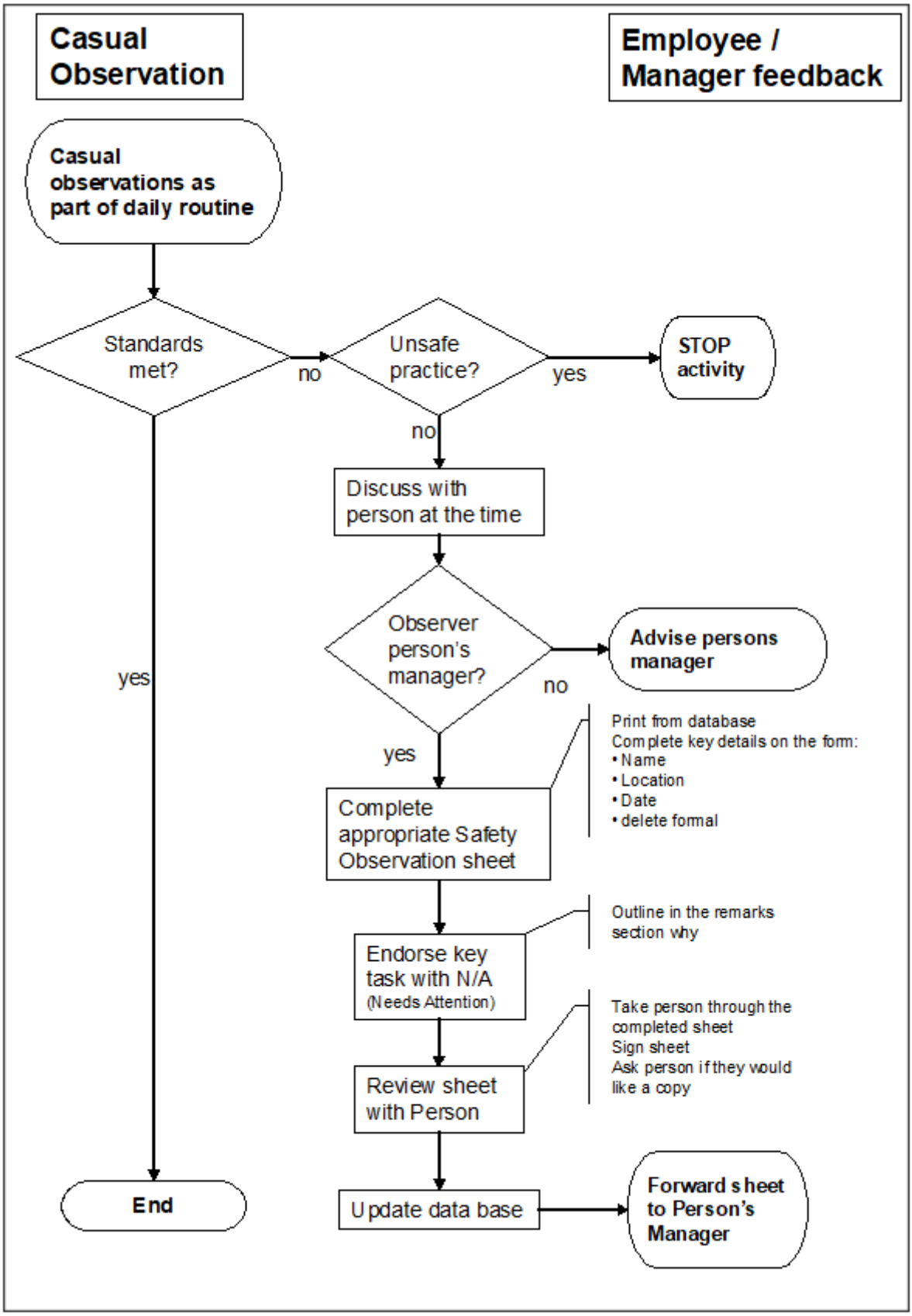

Any manager or supervisor can undertake a casual safety observation within the nature and scope of their certification (Level A) or provided they know the rules, code or instruction applicable at the time

(Level B). This type of observation is part of the daily routine of a normal day's supervision of the Rail Personnel concerned.

When it is found that standards need attention (*NA*), the following action must be taken:

- Rail Personnel concerned must be advised immediately of the area of concern.
- The manager or supervisor must decide on the appropriate response and identify the area of concern with Rail Personnel.
- If the operation is considered unsafe, it must be stopped.
- If the Observer is not the manager, inform the manager of the Rail Personnel.
- If the Observer has the appropriate documentation on hand, as in the instance of the casual observation occurring when a formal observation is in progress:
  - fill out a copy of the relevant safety observation sheet with name and location and the time and date,
  - modify the sheet to show it was a casual observation,
  - endorse particulars of the observation with the number of the key task applicable,
  - record the details of the response / action, and
  - tell the Rail Personnel they must sign the sheet after this has taken place and offer them a copy.

If, however, the casual safety observation sheet(s) is not on hand when the evaluation / assessment is made, then the appropriate documentation is to be completed at the earliest opportunity.

In each instance, a completed safety observation sheet must be sent to the manager, who will note the occurrence and, concerning *NA* classification, either agree that no further action is required, endorse the form, and have it placed on the Rail Personnel's file. If an alternative course of action is required, this should be noted along with a completion date on the form.

5.3.4 Train Controller Safety Observation

Train Controller safety observations consist of:

a. **Random Procedure Audits** by voice tape playback - voice tape playbacks are scheduled as part of the safety observation system. The frequency is a minimum of every 6 months. Where the field user records information on an authority form, Train Controllers use the same form type (Mis50/51, Mis60, Mis71, Mis87/88, SWA01, SWA02 and SWA03) as the voice log is played back to gauge their readout sequence, flow and voice quality.
b. **Desk Handovers** - this formal safety observation ensures that the outgoing and incoming Train Controller follows the correct processes. The frequency is a minimum of every 6 months. Still, it may be increased when required for the Rail Personnel support program due to a significant safety risk, and the handover was a contributing factor.
c. **Desk Assessment** - this formal safety observation process assesses the individual's technical competence and operating practices seen on the day. The frequency is a minimum of every 8 months. For Train Controllers certified to operate several desks, this will involve a shift split over these desks as appropriate. This will only be necessary where the desks use different operating systems (i.e., a Train Controller certified for 2 desks that operate the same systems will not generally be observed in each desk unless the workload is substantially different).

Scenario-Based assessment - scenario-based assessment will be used with safety observation, following a desk/tape assessment or biannual theory testing. This process is designed to enhance competency. The Train Control qualified manager or assessor will conduct the session using diagram models to simulate different operating conditions, breakdowns etc. this process is an open book and reference to operating instructions are encouraged. Additionally, where necessary, technical competence with TWACS 'work in conjunction warrants' or other less frequently used operating methods will be practiced to regain a high level of competence.

Wellington Signallers' safety observations consist of:

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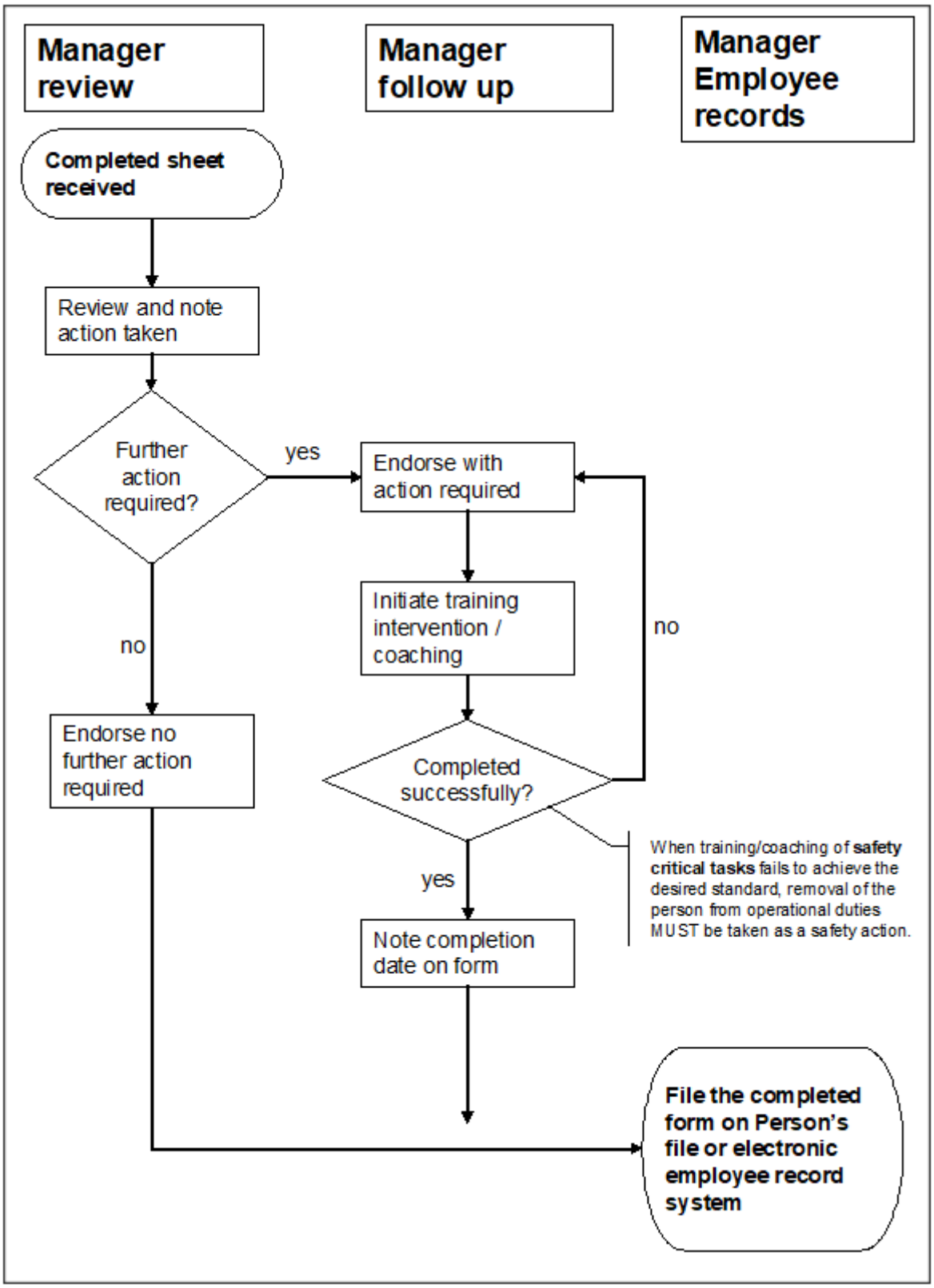
- random procedure audits by voice recordings playback (every 6 months), and
- Signal Box activity observations (every 8 months).

5.3.5 Safety Observation Management and Records

Safety Observation Records Management Flowchart



5.3.6 Rail Personnel Support Process

This instruction applies when Rail Personnel have been identified as needing support to attain or return to levels of competency that will assist them in achieving or returning to the required operating standards. They fall into 4 categories:

a. Rail Personnel that are new (Table 2)
b. Rail Personnel involved in significant operating breaches
c. Rail Personnel with personal problems that could affect operating performance
d. Rail Personnel whose work ethic is identified as a potential risk (e.g., Failure to follow basic procedures, working long hours regularly etc.).

Additional observations and theory assessments to be undertaken for Rail Personnel identified as needing support, the following process must be followed:

Rail Personnel (except Train Controllers)

- grade the severity of the incident (Table 1), and
- follow the support process based on Risk Grading (Table 2).

NOTE
Table 2 stipulates the minimum support process Rail Personnel are to be given.

Train Controllers

- apply the requirements of Table 3

NOTE
The cycle commences when the Rail Personnel is given a certification for new Rail Personnel and other Rail Personnel identified as needing support, from when the Rail Personnel returns to full operating duties.

- 'A' Level Safety Observations must be applied
- feedback must be provided to employees from data recorder observations.

Rail Personnel

After the support process, Rail Personnel will return to normal safety observation/theory assessments.

Should personnel not respond to the additional support during any stage of the support process, managers must consider temporary or permanent withdrawal of the Rail Personnel certification.

Table 1

Incident Severity ***(If 2 or more criteria apply, base the support process on the greatest Risk Grading)***		
Previous SPAD A History	**Risk Grading**	

Incident Severity ***(If 2 or more criteria apply, base the support process on the greatest Risk Grading)***	
Prior SPAD A Occurrence within the last 12 months	3
Prior SPAD A Occurrence within the last 12 to 24 months	2
No SPAD A Occurrence within the preceding 24 months	1
Not applicable	0
SPAD A Overrun Severity	**Risk Grading**
The overrun distance exceeds the fouling point (potential for collision)	3
The overrun distance is over 20 metres and does not exceed the fouling point. (No risk of collision)	2
The overrun distance is equal to or less than 20 metres and does not exceed the fouling point. (no risk of collision)	1
Not applicable	0
Worker Behaviour Category and/or Compliance with Rules & Operating Procedures	**Risk Grading**
Reckless Choice: A conscious disregard of safe working instructions without intent to cause harm. The worker knows the rules or procedure to apply which has not been followed.	3
At-Risk Choice: Where the risk is not recognised or mistakenly believed to be justified. No intention to cause unjustifiable harm. The worker lacks knowledge concerning the rule or procedure.	2
Human Error: Inadvertent action, doing other than intended (i.e., cognitive, or physical slip, lapse, or mistake). The worker knows the rule or procedure to apply but mistakenly has not been followed.	1
Not applicable.	0
Consequence or Potential of Occurrence (Given substantial cause has been attributed to the worker)	**Risk Grading**
Death or harm to the public or employees. Collision with or without derailment.	3
Derailment, with track or infrastructure damage.	2
No damage.	1

Table 2

Risk Grading	**On certification, or return to duty**	**Months**																								
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
0 - Unclassified (No Incident) Subject to normal auditing	F	-	-	-	-	-	-	-	DF	-	-	-	-	-	-	-	DF	-	-	-	-	-	-	-	FMT
New Rail Personnel	F	D	F	DT	-	F	T	D	-	FT	-	-	FD												
1 - Low Level of additional monitoring for a period of no less than 2 months	F	FD																							
2 - Moderate Level of additional monitoring for a period of no less than 4 months	F	D	F	FD																					

Risk Grading	On certification, or return to duty	Months																								
3 - Serious Stood aside from all duties until investigation completed	F	D	F	D	-	F	-	D	-	F	-	-	F D													

F = “Face to Face” Observation

D = “Data Recorder” (OTDR) Post Activity Assessment (Locomotive Event Recorder, CCTV or Voice Recordings)

If “Data Recorder” Post Activity Assessment not possible, replace with “Face to Face” observation

M = Mandatory Tasks

T = Theory (Rules)

NOTE
Final Observation to include data download with face to face

Table 3: Rail Support Process for Train Controllers

Train Controllers	Newly certified	Return following incident/irregularity	Certified on a new desk
Desk Audits (months)	1, 2, 3, 5, 7, 9	1, 2, 3, 6	2
Voice Audits (months)	1, 3, 5, 7, 9 **#**	1, 2, 3, 5	1
Theory (months)	3, 6, 9	1, 3, 6 **$**	N/A

- Simulate up to 4 calls when insufficient track occupancy requests.

$ - Targeted incident-related rules assessment.

5.3.7 General Radio Audits - Wellington Metro Service Operator

Unannounced radio protocol audits may be carried out 6 monthly with the purpose of:

- identifying areas of deficiency
- supporting rail personnel
- improving communication

- improving safety

Audits will be carried out live, or by random playback of channel 1.

The auditing group consists of:

- a KiwiRail Manager or delegate
- a MSO Operations Delivery Manager or delegate
- a Wellington Signaller RMTU representative
- a Train Running RMTU representative

Findings and feedback should be published within 4 weeks of the audit and made available to the MSO's Industrial Council forum.

Should an incident be discovered during the radio protocol audit, it must be managed through the appropriate forum.

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6. Safety Observations (Infrastructure Personnel)

Applies to all persons holding a Licence to Operate (LTO) Infrastructure certification in the following categories:

Table: LTO's for Infrastructure Personnel

LTO	Full name of licence to operate category
TPBM	Track Protection Basic Machines
RPO-B	One or more of the following: • RPO Blocking • RPO Foul Time • RPO CSP Boards • RPO Block of Line • RPO Lockout Zones
RPO-F	
RPO-C	
RPO-60	
RPO-L	
RPO-H	RPO Hi-Rail Vehicle
RPO-M	RPO Multiple Worksites
RPO-T	RPO TWC Protection
I1	Level A
M2	Single Line Automatic Midland

6.1 Level A Observations

Personnel will be individually observed or be part of a work team on which observations are conducted once every 12 months.

The primary focus of these observations will be operational safety.

Personnel qualified to undertake Level A Observations:

- Operational Safety Advisor, or
- A qualified person nominated by the Operational Safety Advisor

6.2 Level B Observations

These formal observations will be completed on an individual basis, by the Line Manager, Field Engineer or Safety, Health and Wellbeing Business Partner once every 12 months.

The primary focus of these observations will be occupational safety.

6.3 Competency of the Person undertaking the Observation

Level A observations must be completed by Rail Personnel who have:

- same or higher LTO than person being observed.

NOTE

Operational Safety Advisors undertaking training may complete Level A Observations at a higher level than their LTO. A minimum of 25% of these observations must be moderated by a Compliance Manager or Operational Safety Advisor that holds the same or higher LTO than the person(s) being observed.

- relevant operational safety expertise
- quality assurance knowledge
- auditing awareness
- general safety knowledge

Level B observations must be completed by Rail Personnel who have:

- knowledge of Track Safety Rules
- relevant occupational safety expertise
- quality assurance knowledge
- auditing awareness
- general safety knowledge

The person undertaking the observation will focus on their areas of technical expertise, but the observation will also review occupational, operational, and quality assurance practices.

6.4 Responsibilities

The process of conducting observations, is as per **5.3.2 Conducting Formal Safety Observations**.

6.5 Non-Compliance, Corrective Action, or Recommendation

The process outlined in Instruction 5.3.6 applies.

Any non-compliance, corrective action or recommendation found during an observation will in the first instance be discussed with the person concerned. A note will be recorded on the observation form and coaching provided by the coordinator.

Any significant non-compliance, corrective action or recommendation found during the observation, will be entered into the ORA data management system by the coordinator and assigned to the relevant manager to action.

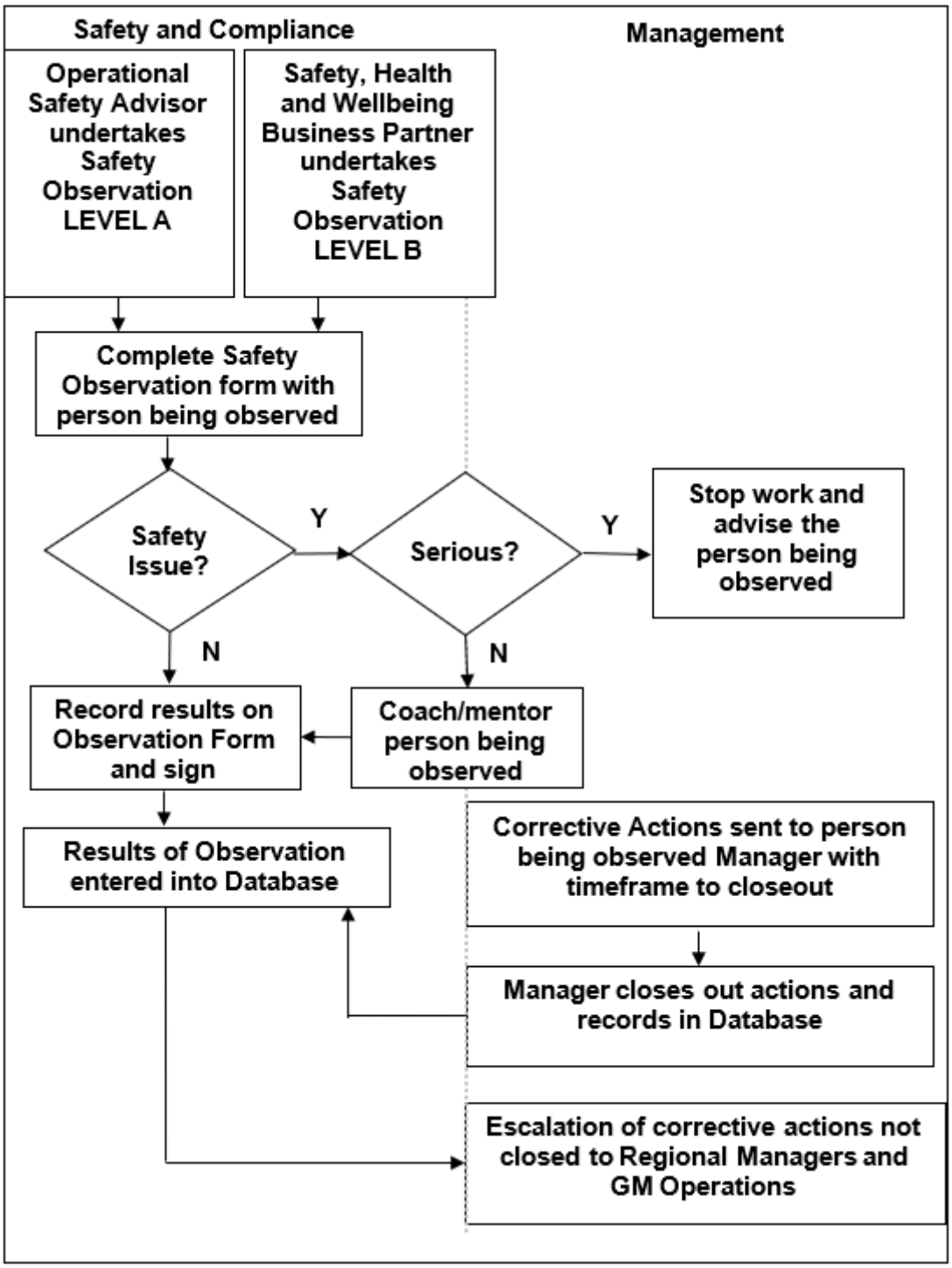
6.6 Post Incident

Employees involved in Track Occupancy incidents may require additional safety observations undertaken as a follow-up action from the investigation. These will be determined by the employee’s manager and Operational Safety Advisor, and Instruction 5.3.6 applies.

6.7 Record Management

All Safety Observations are completed and recorded in the Access Provider's Incident Reporting System.

Safety Observation Flowchart


Safety and Compliance
Management
Operational Safety Advisor undertakes Safety Observation LEVEL A
Safety, Health and Wellbeing Business Partner undertakes Safety Observation LEVEL B
Complete Safety Observation form with person being observed
Safety Issue?
Y
Serious?
Y
Stop work and advise the person being observed
N
N
Record results on Observation Form and sign
Coach/mentor person being observed
Results of Observation entered into Database
Corrective Actions sent to person being observed Manager with timeframe to closeout
Manager closes out actions and records in Database
Escalation of corrective actions not closed to Regional Managers and GM Operations

7. Accessibility to Rules

Rail Operating Rules, Procedures, Manuals, Local Network Instructions, Codes and other relevant instructions must be readily available to all Rail Personnel.

Access to these documents will be available electronically:

- through the Access Provider's web and device App, named ***Shield***
- from the Access Provider's external website

The advice on the issue of amendments and brief details of changes are advised by alerts issued through ***Shield.***

Before undertaking any operational duties, Rail Personnel must have adequate knowledge of rules and regulations, special instructions, and emergency procedures and, where detailed in this document, be certified in accordance with the relevant certification procedures.

7.1 Checking for Currency

Line managers must undertake random checking of Rail Personnel's:

- access to ***Shield***
- ***Shield*** content is synced to show the newest content
- ***Shield*** alerts have all been acknowledged, or assistance sought.

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8. Making Reports

Reports are required from Operating Rail Personnel for the following situations:

- Operating irregularities
- Derailments
- Defects in, or accidents involving damage to locomotives or rolling stock
- Faulty loading
- Incidents relating to the running of trains, particularly those resulting in delays to passenger trains, stalls, partings
- Incidents that could affect the operating safety of the system must be reported.

It is essential for written advice relating to the incident to be available so that all safety aspects may be assessed, and steps are taken to prevent a recurrence before allowing the rolling stock or equipment to be returned to service. Considerable delays and inconveniences result when operating Rail Personnel fail to report such matters in writing immediately or after the shift.

8.1 Details Required

Only the essential points are listed in each case, and the report must include all relevant factors.

For running train derailments, see the instructions in GR06 Conditions Affecting the Network, 11. Derailments.

8.2 Station Yards Road Numbering Protocol

Use the following standard numbering system for roads in yards (the main line, loop, No.1 road, No.2 road etc.) except where roads bear other specific names.

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9. Attendance

Rail Personnel must:

- appear on duty neat and clean, wear a uniform or protective clothing where provided, and safety footwear/hi-visibility clothing in accordance with the Operator's or Access Provider’s safety system whilst on duty, and
- when unable to report for duty at the rostered time, they must arrange for their immediate manager to be advised at the earliest opportunity so that suitable arrangements may be made to provide replacements. As soon as possible, managers must be advised of the date Rail Personnel off duty sick anticipate returning to duty.

IMPORTANT
Names and addresses of all personnel who may be required in an emergency must be registered by managers and kept in a place of easy access. Rail Personnel must notify their manager of any change of address, who will advise Network Access and Control accordingly if required.

9.1 Commencement and Termination of Shift

On arrival for duty, Rail Personnel must have time available to read and understand all bulletins, rule change alerts and instructions, including advice on any new hazards relevant to their shift.

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