Unit 1 - Plan for Duty and Manage your Own Performance in the Rail Industry

What this unit is about

This unit is about completing your planning to take duty and understanding what is needed from your role. You need to know and understand your organisation’s policies and procedures about being fit for duty and booking on for duty. You need to show that you can complete what you need to do before you start work. You need to understand the boundaries of your role and what you need to do to perform it. You need to show that you manage your own performance.

This unit contains two elements:
Element 1 – Plan and Prepare for Duty
Element 2 – Manage your Own Performance

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations roles.

Definitions

Booking on  A legal declaration to say that a person is in a fit state to work
Booking off  Signing off work
Unit 1 - Plan for Duty and Manage your own Performance in the Rail Industry

Element 1.1 – Plan and Prepare for Duty

About this element

This element is about completing your personal preparation before starting your duty. You need to know what you need to do and understand your organisation’s policies and procedures about being fit for duty and booking on for duty. You also need to be aware of any equipment you need to carry out your role.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
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</thead>
<tbody>
<tr>
<td>You must be able to:</td>
<td>You must know and understand:</td>
</tr>
<tr>
<td>1. keep to your organisation’s policies relating to being fit for duty</td>
<td>a. your organisation’s policies and procedures relating to being fit for duty</td>
</tr>
<tr>
<td>2. identify relevant documents and equipment you need as set out in your organisation’s procedures</td>
<td>b. your organisation’s policies and procedures relating to booking on and booking off duty</td>
</tr>
<tr>
<td>3. give necessary safety information to the relevant people before you start work</td>
<td>c. how to access and use the equipment you need to carry out your role</td>
</tr>
<tr>
<td>4. comply with your organisation’s procedures relating to standards of dress</td>
<td>d. how and where to renew equipment</td>
</tr>
<tr>
<td>5. comply with your organisation’s procedures relating to personal safety</td>
<td>e. what documents you need when completing personal preparation</td>
</tr>
<tr>
<td>6. consult relevant colleagues to identify any relevant information related to the process or location you are responsible for, that you require to start work</td>
<td>f. the types of equipment you need</td>
</tr>
<tr>
<td>7. accurately fill in and correctly process the documents your organisation needs</td>
<td>g. the standards of dress and conduct your organisation expects</td>
</tr>
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<td></td>
<td>h. the duties you carry out</td>
</tr>
<tr>
<td></td>
<td>i. your organisation’s procedures relating to the duties you carry out</td>
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<td></td>
<td>j. how to access documents your organisation needs</td>
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<td></td>
<td>k. how to fill in the documents your organisation needs</td>
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<tr>
<td></td>
<td>l. who you need to work and consult with within your organisation</td>
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</tbody>
</table>
## Element 1.2 – Manage your own Performance

### About this element

This element is about preparing for your role in terms of your performance and skills. You need to know and understand how you will plan your workload, aims, training needs and performance targets and your personal development with the person you report to.

### Performance requirements

**You must be able to:**

1. describe what is needed from your role
2. identify your aims and know how they are measured
3. identify any gaps between your job and your knowledge and experience.
4. discuss and agree a development plan to close any gaps you have identified
5. carry out any activities identified in your development plan
6. get fair, neutral and valid feedback on your performance
7. check regularly how you are using your time at work and identify possible improvements
8. Make sure your performance consistently meets the agreed needs of your role

### Knowledge and understanding requirements

**You must know and understand:**

a. why managing your own performance is important
b. your company policy on managing staff performance
c. how to identify the needs of your job
d. your personal work aims
e. who you report to
f. how to set work objectives that are specific, measurable, achievable, realistic and time-bound (SMART)
g. how to measure progress against your work aims
h. your company policy on appraisal
i. how to get and make effective use of feedback
j. how to record the use of your time and identify possible improvements
National Occupational Standards
For
Rail Operations - Supervisory

Unit 2 - Communicate and Manage Information in the Rail Industry

What this unit is about

This unit is about getting, assessing, using, providing, recording and storing information. You should know, understand and comply with your organisation’s procedures relating to keeping information.

This unit contains two elements:
Element 1 – Obtain and Assess Information
Element 2 - Manage Information

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations roles.
### Unit 2 - Communicate and Manage Information in the Rail Industry

#### Element 2.1 – Obtain and Assess Information

**About this element**

This element is about getting and assessing information. You need to know and understand your organisation’s procedures relating to keeping information confidential.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
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<tr>
<td>You must be able to:</td>
<td>You must know and understand:</td>
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<tr>
<td>1. collect specified</td>
<td>a. the lines and methods of effective</td>
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<td>information as and</td>
<td>communication within your organisation</td>
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<tr>
<td>when it is needed</td>
<td>b. your organisation’s policy on retrieving</td>
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<tr>
<td></td>
<td>information</td>
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<tr>
<td>2. get clarification</td>
<td>c. your own responsibilities relating to handling</td>
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<td>promptly if information</td>
<td>and processing information</td>
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<tr>
<td>you receive is unclear or</td>
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<td>incomplete</td>
<td>d. how to prioritise the information you</td>
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<td></td>
<td>receive from a number of different</td>
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<tr>
<td></td>
<td>sources</td>
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<tr>
<td>3. assess relevant</td>
<td>e. your organisation’s needs relating to</td>
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<tr>
<td>information correctly</td>
<td>keeping information confidential</td>
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<tr>
<td>and identify appropriate</td>
<td>f. who the relevant people are within your</td>
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<tr>
<td>action to take</td>
<td>organisation and their roles and</td>
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<tr>
<td></td>
<td>responsibilities</td>
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<tr>
<td>4. keep information</td>
<td>g. your organisation’s procedures for</td>
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<tr>
<td>confidential in line</td>
<td>analysing and prioritising information</td>
</tr>
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<td>with your organisation’s</td>
<td>h. what types of electronic based</td>
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<td>procedures</td>
<td>information exist within the organisation</td>
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<tr>
<td></td>
<td>i. how to explain electronic information</td>
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<tr>
<td></td>
<td>j. how to explain paper based information</td>
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<td></td>
<td>k. what types of monitoring equipment</td>
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<td></td>
<td>exist within the organisation and</td>
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<td></td>
<td>infrastructure</td>
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<td></td>
<td>l. how to use monitoring equipment</td>
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</tbody>
</table>
### Unit 2 - Communicate and Manage Information in the Rail Industry

#### Element 2.2 - Manage Information

**About this element**

This element is about providing and recording information. You should be able to comply with your organisation’s procedures relating to keeping information confidential.

<table>
<thead>
<tr>
<th>Performance requirements</th>
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</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. provide relevant and accurate information as and when it is needed</td>
<td>a. your organisation’s policy on recording and storing information</td>
</tr>
<tr>
<td>2. communicate relevant and accurate information in a format that is consistent with your organisation’s needs and the target audience’s needs</td>
<td>b. how to prioritise the information you provide to different people</td>
</tr>
<tr>
<td>3. record information accurately and clearly in line with your organisation’s needs</td>
<td>c. your organisation’s procedures for recording and storing information</td>
</tr>
<tr>
<td>4. keep information confidential in line with your organisation’s procedures</td>
<td>d. what documents you need to fill in and process within your organisation</td>
</tr>
<tr>
<td>5. manage information held on IT systems in line with your organisation’s procedures</td>
<td>e. how to communicate information effectively</td>
</tr>
<tr>
<td></td>
<td>f. what type of information you need to communicate and the appropriate methods for doing so</td>
</tr>
<tr>
<td></td>
<td>g. how to prioritise the essential safety related information you provide</td>
</tr>
<tr>
<td></td>
<td>h. the lines and methods of effective communication within your organisation</td>
</tr>
<tr>
<td></td>
<td>i. what the limits of your own authority are</td>
</tr>
<tr>
<td></td>
<td>j. how to use relevant communication systems within your organisation</td>
</tr>
<tr>
<td></td>
<td>k. who the relevant people are within your organisation and their roles and responsibilities</td>
</tr>
<tr>
<td></td>
<td>l. your organisation’s procedures for recording electronic based information</td>
</tr>
</tbody>
</table>
National Occupational Standards
For
Rail Operations - Supervisory

Unit 3 – Maintain a Healthy and Safe Environment in the Rail Industry

What this unit is about

This unit is about maintaining a healthy and safe workplace, and contributing to a secure working environment. You will need to be able to deal with emergencies in line with your organisation’s procedures. You will need to know and understand your organisation’s policies and procedures about maintaining security.

This unit contains two elements:
Element 1 – Maintain a Healthy and Safe Workplace
Element 2 - Contribute to a Secure Working Environment

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations roles.

Definitions

Hazard

Something with the potential to cause harm (this can include articles, substances, plant or machines, methods of work, the working environment and other aspects of work organisation)
**Unit 3 - Maintain a Healthy and Safe Environment in the Rail Industry**

**Element 3.1 - Maintain a Healthy and Safe Workplace**

**About this element**

This element is about making sure your workplace is free from hazards. You should be able to take measures to warn people about hazards and deal with emergencies in line with your organisation’s procedures.

**Performance requirements**

You must be able to:

1. use and store equipment and materials in line with your organisation’s procedures
2. make sure the workplace is free from hazards and that it is secure and clean
3. identify and deal with hazardous situations within the limits of your own authority
4. take steps to warn others of hazardous situations
5. refer any suggestions for improving health and safety to the relevant people
6. deal with emergencies in line with your organisation’s procedures
7. make sure your work practices keep to your organisation’s procedures
8. fill in any work documents accurately and process them correctly

**Knowledge and understanding requirements**

You must know and understand:

a. the relevant laws and rules within your organisation relating to health and safety
b. your organisation’s procedures for health and safety
c. your organisation’s procedures for dealing with emergency situations
d. what is classed as the work environment, (for example, equipment, premises, vehicles)
e. what the local organisational procedures, facilities and work areas are
f. what warning signs there are and what they mean
g. what the limits of your own authority are
h. what documents your organisation needs
i. what is classed as a hazardous situation
j. your organisation’s procedures for dealing with hazardous situations
k. who the relevant people are within your organisation
### Unit 3 - Maintain a Healthy and Safe Environment in the Rail Industry

#### Element 3.2 - Contribute to a Secure Working Environment

**About this element**

This element is about helping to maintain a secure working environment. You should know and understand your organisation’s policies and procedures, and what your responsibilities are for maintaining security.

**Performance requirements**

**You must be able to:**

1. meet your own responsibilities for putting security systems and procedures in place
2. get visitors to confirm their identity where necessary
3. deal with lost property, including suspicious packages, in line with your organisation’s procedures
4. respond promptly to breaches of security, within the limits of your own authority and in line with your organisation’s procedures
5. promptly pass on any suggestions for improving security to the relevant person

**Knowledge and understanding requirements**

**You must know and understand:**

a. your organisation’s procedures for dealing with an emergency
b. what is classed as a breach of security
c. your organisation’s policy for receiving visitors
d. your organisation’s procedures for dealing with lost property and suspicious packages
e. your organisation’s security systems and procedures
f. what the limits of your own authority are
g. who the relevant people are within your organisation
National Occupational Standards
For
Rail Operations - Supervisory

Unit 4 - Develop Productive Relationships with Colleagues (MSC D1)

Relationship to the National Occupational Standards for Management and Leadership

This is unit D1 from the National Occupational Standards for Management and Leadership.

What is the unit about?

This unit is about developing working relationships with colleagues, within your own organisation and within other organisations, that are productive in terms of supporting and delivering your work and that of the overall organisation.

‘Colleagues’ are any people you are expected to work with, whether they are at a similar position or in other positions.

Who is the unit for?

The unit is recommended for team leaders and first line managers.

Definitions

Colleague - a colleague can be both within your own organisation or in a different organisation.

Skills

Listed below are the main generic skills which need to be applied in developing productive working relationships with colleagues. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Managing conflict
- Empathising
- Networking
- Information management
- Leading by example
- Valuing and supporting others
- Involving others
- Providing feedback
- Obtaining feedback
- Stress management
- Prioritising
OUTCOMES OF EFFECTIVE PERFORMANCE

You must be able to do the following:

1. Establish working relationships with all colleagues who are relevant to the work being carried out.

2. Recognise, agree and respect the roles and responsibilities of colleagues.

3. Understand and take account of the priorities, expectations, and authority of colleagues in decisions and actions.

4. Fulfil agreements made with colleagues and let them know.

5. Advise colleagues promptly of any difficulties or where it will be impossible to fulfil agreements.

6. Identify and sort out conflicts of interest and disagreements with colleagues in ways that minimise damage to the work being carried out.

7. Exchange information and resources with colleagues to make sure that all parties can work effectively.

8. Provide feedback to colleagues on their performance and seek feedback from colleagues on your own performance in order to identify areas for improvement.

BEHAVIOURS WHICH UNDERPIN EFFECTIVE PERFORMANCE

1. You present information clearly, concisely, accurately and in ways that promote understanding.

2. You seek to understand people’s needs and motivations.

3. You make time available to support others.

4. You clearly agree what is expected of others and hold them to account.

5. You work to develop an atmosphere of professionalism and mutual support.

6. You model behaviour that shows respect, helpfulness and co-operation.

7. You keep promises and honour commitments.

8. You consider the impact of your own actions on others.

9. You say no to unreasonable requests.

10. You show respect for the views and actions of others.
KNOWLEDGE AND UNDERSTANDING

You need to know and understand the following:

**General knowledge and understanding**
1. The benefits of developing productive working relationships with colleagues.
2. Principles of effective communication and how to apply them in order to communicate effectively with colleagues.
3. How to identify disagreements with colleagues and the techniques for sorting them out.
4. How to identify conflicts of interest with colleagues and the measures that can be used to manage or remove them.
5. How to take account of diversity issues when developing working relationships with colleagues.
6. The importance of exchanging information and resources with colleagues.
7. How to get and make use of feedback on your performance from colleagues.
8. How to provide colleagues with useful feedback on their performance.

**Industry/sector specific knowledge and understanding**
1. Regulations and codes of practice that apply in the industry or sector.
2. Standards of behaviour and performance in the industry or sector.
3. Working culture of the industry or sector.

**Context specific knowledge and understanding**
1. Current and future work being carried out.
2. Colleagues who are relevant to the work being carried out, their work roles and responsibilities.
3. Processes within the organisation for making decisions.
4. Line management responsibilities and relationships within the organisation.
5. The organisation’s values and culture.
6. Power, influence and politics within the organisation.
7. Standards of behaviour and performance expected in the organisation.
8. Information and resources that different colleagues might need.
9. Agreements with colleagues.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 5 – Allocate and Check Work in your Team (MSC D5)

Relationship to the National Occupational Standards for Management and Leadership

This is unit D5 from the National Occupational Standards for Management and Leadership.

What is the unit about?

This unit is about ensuring that the work required of your team is effectively and fairly allocated amongst team members. It also involves checking on the progress and quality of the work of team members to ensure that the required level or standard or performance is being met.

Who is the unit for?

The unit is recommended for team leaders.

Skills

Listed below are the main generic skills which need to be applied in allocating and checking work in your team. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

Communicating
Providing feedback
Planning
Reviewing
Motivating
Valuing and supporting others
Problem solving
Monitoring
Decision making
Prioritising
Team building
Managing conflict
Information management
Leadership
Coaching
Delegating
Setting objectives
Stress management
Allocate and check work in your team

OUTCOMES OF EFFECTIVE PERFORMANCE

You must be able to do the following:

1. Confirm the work required of the team with your manager and seek clarification, where necessary, on any outstanding points and issues.

2. Plan how the team will undertake its work, identifying any priorities or critical activities and making best use of the available resources.

3. Allocate work to team members on a fair basis taking account of their skills, knowledge and understanding, experience and workloads and the opportunity for development.

4. Brief team members on the work they have been allocated and the standard or level of expected performance.

5. Encourage team members to ask questions, make suggestions and seek clarification in relation to the work they have been allocated.

6. Check the progress and quality of the work of team members on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.

7. Support team members in identifying and dealing with problems and unforeseen events.

8. Motivate team members to complete the work they have been allocated and provide, where requested and where possible, any additional support and/or resources to help completion.

9. Monitor the team for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.

10. Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with team members.

11. Recognise successful completion of significant pieces of work or work activities by team members and the overall team and advise your manager.

12. Use information collected on the performance of team members in any formal appraisal of performance.

BEHAVIOURS WHICH UNDERPIN EFFECTIVE PERFORMANCE

1. You make time available to support others.

2. You clearly agree what is expected of others and hold them to account.

3. You prioritise objectives and plan work to make best use of time and resources.
4. You state your own position and views clearly and confidently in conflict situations.

5. You show integrity, fairness and consistency in decision-making.

6. You seek to understand people’s needs and motivations.

7. You take pride in delivering high quality work.

8. You take personal responsibility for making things happen.

9. You encourage and support others to make the best use of their abilities.

10. You are vigilant for possible risks and hazards.

KNOWLEDGE AND UNDERSTANDING

You need to know and understand the following:

General knowledge and understanding
1. Different ways of communicating effectively with members of a team.

2. The importance of confirming/clarifying the work required of the team with your manager and how to do this effectively.

3. How to plan the work of a team, including how to identify any priorities or critical activities and the available resources.

4. How to identify and take due account of health and safety issues in the planning, allocation and checking of work.

5. Why it is important to allocate work across the team on a fair basis and how to do so.

6. Why it is important to brief team members on the work they have been allocated and the standard or level of expected performance and how to do so.

7. Ways of encouraging team members to ask questions and/or seek clarification and make suggestions in relation to the work which they have been allocated.

8. Effective ways of regularly and fairly checking the progress and quality of the work of team members.

9. How to provide prompt and constructive feedback to team members.

10. How to select and apply a limited range of different methods for motivating, supporting and encouraging team members to complete the work they have been allocated, improve their performance and for recognising their achievements.

11. The additional support and/or resources which team members might require to help them complete their work and how to assist in providing this.
12. Why it is important to monitor the team for conflict and how to identify the cause(s) of conflict when it occurs and deal with it promptly and effectively.

13. Why it is important to identify unacceptable or poor performance by members of the team and how to discuss the cause(s) and agree ways of improving performance with team members.

14. The type of problems and unforeseen events that may occur and how to support team members in dealing with them.

15. How to log information on the ongoing performance of team members and use this information for performance appraisal purposes.

**Industry/sector specific knowledge and understanding**

1. Industry/sector specific legislation, regulations, guidelines, codes of practice relating to carrying out work.

2. Industry/sector requirements for the development or maintenance of knowledge, understanding and skills.

**Context specific knowledge and understanding**

1. The members, purpose and objectives of your team.

2. The work required of your team.

3. The available resources for undertaking the required work.

4. The organisation’s written health and safety policy statement and associated information and requirements.

5. Your team’s plan for undertaking the required work.

6. The skills, knowledge and understanding, experience and workloads of team members.

7. Your organisation’s policy and procedures in terms of personal development.

8. Reporting lines in the organisation and the limits of your authority.

9. Organisational standards or levels of expected performance.

10. Organisational policies and procedures for dealing with poor performance.

11. Organisational grievance and disciplinary policies and procedures.

12. Organisational performance appraisal systems.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 6 – Allocate and Monitor the Progress and Quality of Work in your Area of Responsibility (MSC D6)

Relationship to the National Occupational Standards for Management and Leadership
This is unit D6 from the National Occupational Standards for Management and Leadership.

What is the unit about?
This unit is about ensuring that the work required in your area of responsibility is effectively planned and fairly allocated to individuals and/or teams. It also involves monitoring the progress and quality of the work of individuals and/or teams to ensure that the required level or standard of performance is being met and reviewing and updating plans of work in the light of developments. The ‘area of responsibility’ may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the unit for?
The unit is recommended for first line managers and middle managers.

Skills
Listed below are the main generic skills which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.
Setting objectives
Communicating
Providing feedback
Valuing and supporting others
Consulting
Planning
Prioritising
Leadership
Reviewing
Problem solving
Monitoring
Managing conflict
Decision making
Motivating
Information management
Delegating
Stress management
OUTCOMES OF EFFECTIVE PERFORMANCE
You must be able to do the following:

1. Confirm the work required in your area of responsibility with your manager and seek clarification, where necessary, on any outstanding points and issues.

2. Plan how the work will be undertaken, seeking views from people in your area of responsibility, identifying any priorities or critical activities and making best use of the available resources.

3. Ensure that work is allocated to individuals and/or teams on a fair basis taking account of skills, knowledge and understanding, experience and workloads and the opportunity for development.

4. Ensure that individuals and/or teams are briefed on allocated work, showing how it fits with the vision and objectives for the area and the overall organisation, and the standard or level of expected performance.

5. Encourage individuals and/or team members to ask questions, make suggestions and seek clarification in relation to allocated work.

6. Monitor the progress and quality of the work of individuals and/or teams on a regular and fair basis against the standard or level of expected performance and provide prompt and constructive feedback.

7. Support individuals and/or teams in identifying and dealing with problems and unforeseen events.

8. Motivate individual and/or teams to complete the work they have been allocated and provide, where requested and where possible, any additional support and/or resources to help completion.

9. Monitor your area for conflict, identifying the cause(s) when it occurs and dealing with it promptly and effectively.

10. Identify unacceptable or poor performance, discuss the cause(s) and agree ways of improving performance with individuals and/or teams.

11. Recognise successful completion of significant pieces of work or work activities by individuals and/or teams.

12. Use information collected on the performance of individuals and/or teams in any formal appraisals of performance.

13. Review and update plans of work for your area, clearly communicating any changes to those affected.
BEHAVIOURS WHICH UNDERPIN EFFECTIVE PERFORMANCE

1. You recognise changes in circumstances promptly and adjust plans and activities accordingly.
2. You prioritise objectives and plan work to make best use of time and resources.
3. You make time available to support others.
4. You take personal responsibility for making things happen.
5. You show an awareness of your own values, motivations and emotions.
6. You show integrity, fairness and consistency in decision-making.
7. You clearly agree what is expected of others and hold them to account.
8. You seek to understand people’s needs and motivations.
9. You take pride in delivering high quality work.
10. You are vigilant for possible risks and hazards.
11. You encourage and support others to make the best use of their abilities.
12. You use a range of leadership styles appropriate to different people and situations.

KNOWLEDGE AND UNDERSTANDING

You need to know and understand the following:

General knowledge and understanding
1. How to select and successfully apply different methods for communicating with people across an area of responsibility.
2. The importance of confirming/clarifying the work required in your area of responsibility with your manager and how to do this effectively.
3. How to identify and take due account of health and safety issues in the planning, allocation and monitoring of work.
4. How to produce a plan of work for your area of responsibility, including how to identify any priorities or critical activities and the available resources.
5. The importance of seeking views from people working in your area and how to take account of their views in producing the plan of work.
6. Why it is important to allocate work to individuals and/or teams on a fair basis and how to do so effectively.
7. Why it is important that individuals and/or teams are briefed on allocated work and the standard or level of expected performance and how to do so effectively.
8. The importance of showing individuals and/or teams how their work fits with the vision and objectives of the area and those of the organisation.

9. Ways of encouraging individuals and/or teams to ask questions and/or seek clarification in relation to the work which they have been allocated.

10. Effective ways of regularly and fairly monitoring the progress and quality of work of individuals and/or teams against the standards or level of expected performance.

11. How to provide prompt and constructive feedback to individuals and/or teams.

12. Why it is important to monitor your area for conflict and how to identify the cause(s) of conflict when it occurs and deal with it promptly and effectively.

13. Why it is important to identify unacceptable or poor performance by individuals and/or teams and how to discuss the cause(s) and agree ways of improving performance with them.

14. The type of problems and unforeseen events that may occur and how to support individuals and/or teams in dealing with them.

15. The additional support and/or resources which individuals and/or teams might require to help them complete their work and how to assist in providing this.

16. How to select and successfully apply different methods for encouraging, motivating and supporting individuals and/or teams to complete the work they have been allocated, improve their performance and for recognising their achievements.

17. How to log information on the ongoing performance of individuals and/or teams and use this information for formal performance appraisal purposes.

18. The importance of reviewing and updating plans of work for your area in the light of developments, how to reallocate work and resources and clearly communicate the changes to those affected.

**Industry/sector specific knowledge and understanding**

1. Industry/sector requirements for the development of maintenance of knowledge, understanding and skills.

2. Industry/sector specific legislation, regulations, guidelines, codes of practice relating to carrying out work.

**Context specific knowledge and understanding**

1. The individuals and/or teams in your area of responsibility.

2. The vision and objectives for your area of responsibility.

3. The vision and objectives of the overall organisation.

4. The work required in your area of responsibility.
5. The available resources for undertaking the required work.

6. The plan of work for your area of responsibility.

7. The organisation’s written health and safety policy statement and associated information and requirements.

8. Your organisation’s policy and procedures in terms of personal development.

9. Organisational standards or level of expected performance.

10. Organisational policies and procedures for dealing with poor performance.

11. Organisational grievance and disciplinary policies and procedures.

12. Organisational performance appraisal systems.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 7 - Provide Leadership in your Area of Responsibility (MSC B6)

Relationship to the National Occupational Standards for Management and Leadership
This is unit B6 from the National Occupational Standards for Management and Leadership.

What is the unit about?

The unit is about providing direction to people in a clearly and formally defined area or part of an organisation and motivating and supporting them to achieve the vision and objectives for the area. The ‘area of responsibility’ may be, for example, a branch or department or functional area or an operating site within an organisation.

Who is the unit for?

The unit is recommended for first line managers and middle managers.

Skills

Listed below are the main generic skills which need to be applied in providing leadership in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.
Communicating
Influencing and persuading
Leading by example
Motivating
Consulting
Planning
Setting objectives
Providing feedback
Coaching
Mentoring
Valuing and supporting others
Empowering
Learning
Following
Managing conflict
Obtaining feedback
OUTCOMES OF EFFECTIVE PERFORMANCE

You must be able to do the following:
1. Create a vision of where your area is going and clearly and enthusiastically communicate it, together with supportive objectives and operational plans, to the people working within your area.

2. Ensure that people working within your area understand and can see how the vision, objectives and operational plans link to the vision and objectives of the overall organisation.

3. Steer your area successfully through difficulties and challenges, including conflict within the area.

4. Create and maintain a culture within your area which encourages and recognises creativity and innovation.

5. Develop a range of leadership styles and select and apply them to appropriate situations and people.

6. Communicate regularly, making effective use of a range of different communication methods, with all the people working within your area and show that you listen to what they say.

7. Give people in your area support and advice when they need it especially during periods of setback and change.

8. Motivate and support people in your area to achieve their work and development objectives and provide recognition when they are successful.

9. Empower people in your area to develop their own ways of working and take their own decisions within agreed boundaries.

10. Encourage people to give a lead in their own areas of expertise and show willingness to follow this lead.

11. Win, through your performance, the trust and support of people within your area for your leadership and get regular feedback on your performance.

BEHAVIOURS WHICH UNDERPIN EFFECTIVE PERFORMANCE

1. You articulate a vision that generates excitement, enthusiasm and commitment.

2. You create a sense of common purpose.

3. You take personal responsibility for making things happen.

4. You make complex things simple for the benefit of others.

5. You encourage and support others to take decisions autonomously.
6. You act within the limits of your authority.

7. You make time available to support others.

8. You show integrity, fairness and consistency in decision-making.

9. You seek to understand people’s needs and motivations.

10. You model behaviour that shows respect, helpfulness and co-operation.

11. You encourage and support others to make the best use of their abilities.

KNOWLEDGE AND UNDERSTANDING

You need to know and understand the following:

General knowledge and understanding
1. The fundamental differences between management and leadership.

2. How to create a compelling vision for an area of responsibility.

3. How to select and successfully apply different methods for communicating with people across an area of responsibility.

4. A range of different leadership styles and how to select and apply these to different situations and people.

5. How to get and make use of feedback from people on your leadership performance.

6. Types of difficulties and challenges that may arise, including conflict within the area, and ways of identifying and overcoming them.

7. The benefits of and how to create and maintain a culture which encourages and recognises creativity and innovation.

8. The importance of encouraging others to take the lead and ways in which this can be achieved.

9. How to empower people effectively.

10. How to select and successfully apply different methods for encouraging, motivating and supporting people and recognising achievement.

Industry/sector specific knowledge and understanding

1. Leadership styles common in the industry/sector.

2. Legal, regulatory and ethical requirements in the industry/sector.

Context specific knowledge and understanding

1. Your own values, motivations and emotions.
2. Your own strengths and limitations in the leadership role.

3. The strengths, limitations and potential of people that you lead.

4. Your own role, responsibilities and level of power.

5. The vision and objectives of the overall organisation.

6. The vision, objectives, culture and operational plans for your area of responsibility.

7. Types of support and advice that people are likely to need and how to respond to these.

8. Leadership styles used across the organisation.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 8 – Provide Leadership for your Team (MSC B5)

Relationship to the National Occupational Standards for Management and Leadership
This is unit B5 from the National Occupational Standards for Management and Leadership.

What is the unit about?
This unit is about providing direction to the members of your team and motivating and supporting them to achieve the objectives of the team and their personal work objectives.

Who is the unit for?
The unit is recommended for team leaders.

Skills
Listed below are the main generic skills which need to be applied in providing leadership for your team. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

Communicating
Planning
Team building
Leading by example
Providing feedback
Setting objectives
Motivating
Consulting
Problem solving
Valuing and supporting others
Monitoring
Managing conflict
Decision making
Following
Provide leadership for your team

OUTCOMES OF EFFECTIVE PERFORMANCE

You must be able to do the following:

1. Set out and positively communicate the purpose and objectives of the team to all members.
2. Involve members in planning how the team will achieve its objectives.
3. Ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team’s objectives.
4. Encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved.
5. Win, through your performance, the trust and support of the team for your leadership.
6. Steer the team successfully through difficulties and challenges, including conflict within the team.
7. Encourage and recognise creativity and innovation within the team.
8. Give team members support and advice when they need it especially during periods of setback and change.
9. Motivate team members to present their own ideas and listen to what they say.
10. Encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead.
11. Monitor activities and progress across the team without interfering.

BEHAVIOURS WHICH UNDERPIN EFFECTIVE PERFORMANCE

1. You create a sense of common purpose.
2. You take personal responsibility for making things happen.
3. You encourage and support others to take decisions autonomously.
4. You act within the limits of your authority.
5. You make time available to support others.
6. You show integrity, fairness and consistency in decision-making.
7. You seek to understand people’s needs and motivations.
8. You model behaviour that shows respect, helpfulness and co-operation.
KNOWLEDGE AND UNDERSTANDING

You need to know and understand the following:

General knowledge and understanding
1 Different ways of communicating effectively with members of a team.

2 How to set objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).

3 How to plan the achievement of team objectives and the importance of involving team members in this process.

4 The importance of and being able to show team members how personal work objectives contribute to achievement of team objectives.

5 That different styles of leadership exist.

6 How to select and successfully apply a limited range of different methods for motivating, supporting and encouraging team members and recognising their achievements.

7 Types of difficulties and challenges that may arise, including conflict within the team, and ways of identifying and overcoming them.

8 The importance of encouraging others to take the lead and ways in which this can be achieved.

9 The benefits of and how to encourage and recognise creativity and innovation within a team.

Industry/sector specific knowledge and understanding
1 Legal, regulatory and ethical requirements in the industry/sector.

Context specific knowledge and understanding
1 The members, purpose, objectives and plans of your team.

2 The personal work objectives of members of your team.

3 The types of support and advice that team members are likely to need and how to respond to these.

4 Standards of performance for the work of your team.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 9 - Ensure Health and Safety Requirements are Met in your
Area of Responsibility (MSC E6)

Relationship to the National Occupational Standards for Management and
Leadership
This is unit E6 from the National Occupational Standards for Management and
Leadership.

What is this unit about?
This unit is concerned with managing the overall health and safety process in your area
of responsibility. It is intended to go beyond meeting health and safety legislation and
move towards a situation where health and safety considerations are firmly embedded in
the planning and decision making processes and the ‘culture’ of your area of
responsibility. The ‘area of responsibility’ may be, for example, a branch or department
or functional area or an operating site within an organisation.

Who is this unit for?
The unit is recommended for first-line managers and middle managers.

Skills
Listed below are the main generic skills which need to be applied in ensuring health and
safety requirements are met in your area of responsibility. These skills are
explicit/implicit in the detailed content of the unit and are listed here as additional
information.
Consulting
Information management
Decision making
Involving others
Questioning
Thinking systematically
Monitoring
Leadership
Communicating
Reviewing
Presenting information
Prioritising
Reporting
Planning
OUTCOMES OF EFFECTIVE PERFORMANCE

You must be able to do the following:

1. Identify your personal responsibilities and liabilities under health and safety legislation.

2. Ensure that the organisation’s written health and safety policy statement is clearly communicated to all people in your area of responsibility and other relevant parties.

3. Ensure that the health and safety policy statement is put into practice in your area of responsibility and is subject to review as situations change and at regular intervals and the findings passed to the appropriate people for consideration.

4. Ensure regular consultation with people in your area of responsibility or their representatives on health and safety issues.

5. Seek and make use of specialist expertise in relation to health and safety issues.

6. Ensure that a system is in place for identifying hazards and assessing risks in your area of responsibility and that prompt and effective action is taken to eliminate or control identified hazards and risks.

7. Ensure that systems are in place for effective monitoring, measuring and reporting of health and safety performance in your area of responsibility.

8. Show continuous improvement in your area of responsibility in relation to health and safety performance.

9. Make health and safety a priority area in terms of informing planning and decision-making in your area of responsibility.

10. Demonstrate that your own actions reinforce the messages in the organisation’s health and safety policy statement.

11. Ensure that sufficient resources are allocated across your area of responsibility to deal with health and safety issues.

12. Develop a culture within your area of responsibility which puts ‘health and safety’ first.

BEHAVIOURS WHICH UNDERPIN EFFECTIVE PERFORMANCE

1. You respond quickly to crises and problems with a proposed course of action.

2. You identify people’s information needs.

3. You comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes.

4. You are vigilant for possible risks and hazards.
5. You take personal responsibility for making things happen.
6. You identify the implications or consequences of a situation.
7. You act within the limits of your authority.
8. You constantly seek to improve performance.
9. You treat individuals with respect and act to uphold their rights.

**KNOWLEDGE AND UNDERSTANDING**

**You need to know and understand the following:**

**General knowledge and understanding**

Why health and safety in the workplace is important.

1. How and where to identify your personal responsibilities and liabilities under health and safety legislation.
2. How to keep up with legislative and other developments relating to health and safety.
3. The requirement for organisations to have a written health and safety policy statement.
4. How to communicate the written health and safety policy statement to people who work in your area of responsibility and other relevant parties.
5. How and when to review the application of the written health and safety policy statement in your area of responsibility and produce/provide findings to inform development.
6. How and when to consult with people in your area of responsibility or their representatives on health and safety issues.
7. Sources of specialist expertise in relation to health and safety.
8. Ways of developing a culture in your area of responsibility which puts ‘health and safety’ first.
9. The type of hazards and risks that may arise in relation to health and safety – how to establish and use systems for identifying hazards and assessing risks and the type of actions that should be taken to control or eliminate them.
10. How to establish systems for monitoring, measuring and reporting on health and safety performance in your area of responsibility.
11. Why and how health and safety should inform planning and decision-making.
12. The importance of setting a good example to others in relation to health and safety.
13. The type of resources required to deal with health and safety issues.

**Industry/sector specific knowledge and understanding**
1. Sector-specific legislation, regulations, guidelines and codes of practice relating to health and safety.
2. Health and safety risks, issues and developments which are particular to the industry or sector.

**Context specific knowledge and understanding**
1. Other relevant parties with an interest in health and safety in your area of responsibility.
2. The organisation’s written health and safety policy statement and how it is communicated to people who work for the organisation, people in your area and to other relevant parties.
3. Sources of specialist health and safety expertise used in your area of responsibility.
4. The operational plans for your area of responsibility.
5. The resources allocated to and across your area of responsibility for health and safety.
6. Allocated responsibilities for health and safety in your area and the organisation in general.
7. Systems in place in your area of responsibility for identifying hazards and assessing risks and taking action.
8. Systems in place for monitoring, measuring and reporting of health and safety performance in your area of responsibility.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 10 – Conduct an Assessment of Risks in the Workplace
(ENTO G)

This unit is taken from the ENTO (formerly Employment National Training Organisation) suite of Standalone National Occupational Standards for Health and safety, where it appears as unit G. This unit will be interpreted in a rail industry context for the National occupational Standard in Railway Operations Supervisory.

Elements in this unit are:

G.1 Identify hazards in the Workplace
G.2 Assess the level of risk and recommend action
G.3 Review your workplace assessment of risks

Unit Overview

Fundamental to this Unit is an understanding of the process of carrying out a risk assessment. A person competent in this unit should be able to carry out risk assessments according to regulatory requirements.

This Unit is for:

A person required to, or who has been asked to, carry out a risk assessment in the workplace. This could be an employer, line manager, supervisor, safety representative or employee.

This unit is about:

The competences needed to identify hazards in the workplace, assess the level of risk resulting from those hazards, make recommendations to control the risk and review the results.

This is what you need to show:

In element G.1 that you understand the process of identifying hazards in the workplace. You should be prepared for the hazard identification process, and investigate both those areas where risks are most likely to occur and those who might be harmed. You should be able to identify when to make use of expert advice and guidance on identifying hazards.

In element G.2 that you understand the criteria for assessing the level of risk. You should show you know the criteria for acceptable risks and understand when risks are unacceptable. You should show you can prepare and present a report on the results of the risk assessment to include those significant findings of your risk assessment.
In element G.3 that you understand the importance of reviewing your assessment from time to time. This will include understanding when changed circumstances might affect your current assessment. You should also show you understand how to revise it if necessary.

This is what you need to do next:

Read the section on “Key Words and Phrases”. This explains how some words and phrases have been used in this unit and will help you understand it more easily.
Key Words and phrases which you might see used frequently within the Health and Safety for People at Work units

The Health and Safety Executive (HSE) is the body appointed to support and enforce health and safety law. They have defined two important concepts as follows:

**Hazard**
"a hazard is something with potential to cause harm".

**Risk**
"a risk is the likelihood of the hazard's potential being realised".

Almost anything may be a hazard, but may or may not become a risk. For example:

1. A trailing electric cable from a piece of equipment is a hazard. If it is trailing across a passageway there is a high risk of someone tripping over it, but if it lies along a wall out of the way, the risk is much less.

2. Toxic or flammable chemicals stored in a building are a hazard, and by their nature may present a high risk. However, if they are kept in a properly designed secure store, and handled by properly trained and equipped people, the risk is much less than if they are left about in a busy workshop for anyone to use - or misuse.

3. A failed light bulb is a hazard. If it is just one bulb out of many in a room it presents very little risk, but if it is the only light on a stairwell, it is a very high risk. Changing the bulb may be a high risk, if it is high up, or if the power has been left on, or low risk if it is in a table lamp which has been unplugged.

4. A box of heavy material is a hazard. It presents a higher risk to someone who lifts it manually than if a mechanical handling device is properly used.

**Workplace:**
This word is used to describe the single or multiple areas in which you carry out your work.

**Working practices:**
Any activities, procedures, use of materials or equipment and working techniques used in carrying out your job. In this unit it also covers any omissions in good working practice which may pose a threat to health and safety.

**Workplace policies:**
This covers the documentation prepared by the employer on the procedures to be followed regarding health and safety matters. It could be the employer’s safety policy statement, or general health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the employees’ (and "other persons’ ") attention.

**Other persons:**
This phrase refers to everyone covered by the Health and Safety at Work Act including: visitors, members of the public, colleagues, contractors, clients, customers, patients, students, pupils.
**Personal presentation:** This includes, personal hygiene; use of personal protection equipment; clothing and accessories suitable to the particular workplace.

**Responsible persons:** The person or persons at work to whom you should report any health and safety issues or hazards. This could be a supervisor, line manager or your employer.
Key points regarding Health and Safety legislation and regulations

"Health and Safety At Work Act 1974"

The Health and Safety at Work Act 1974 is the main piece of legislation under which nearly all the other regulations are made. It is for this reason that only this piece of legislation is specifically referred to in this Unit.

Employers have a legal duty under this Act to ensure, so far as is reasonably practicable, the health, safety and welfare at work of the people for whom they are responsible and the people who may be affected by the work they do.

Under this Act it is also important to be aware that all people at work, not just employers, have a duty to take reasonable care to avoid harming themselves or others through the work they do.

Risks should be reduced "so far as is reasonably practicable". This term means the duty-holder (in most instances the employer) can balance the cost against the degree of risk although obviously any Health and Safety Inspectors would expect that relevant good practice is followed.

According to the Act:

Employers must safeguard so far as is reasonably practicable, the health, safety and welfare at work of all the people who work for them and “other persons”. This applies in particular to the provision and maintenance of safe plant and systems of work, and covers all machinery, equipment and substances used.

People at work also have a duty under the Act to take reasonable care to avoid harm to themselves or to others by their working practices, and to co-operate with employers and others in meeting statutory requirements. The Act also requires employees not to interfere with or misuse anything provided to protect their health, safety or welfare in compliance with the Act.

Other Legislation

There is an array of health and safety regulations and codes of practice which affect people at work. There are regulations for those who, for example, work with electricity, or work on construction projects, as well as regulations covering noise at work, manual handling, working with VDUs, or dealing with substances hazardous to health, etc. The specific requirements for all or any of these can be obtained from HSE local offices.

As many of the regulations are only relevant to certain workplaces or working practices no specific reference has been made in the Knowledge Requirements to any of these regulations. The phrase "your duties for health and safety as required by any specific legislation covering your job role" is intended to relate to those specific pieces of legislation important to your workplace and/or working practices which you should be able to find out about.

The Management of Health and Safety at Work Regulations 1992 contain risk assessment provisions. They require employers and self-employed people to assess the
risks created by their undertaking so as to identify the measures they need to have in place to comply with their duties under health and safety law.
Knowledge Requirements:

Essential knowledge and understanding for this Unit:

To conduct an assessment of risks in the workplace you should know and understand the following aspects of health and safety legislation:

a the responsibilities for risk assessments as required by the Management of Health and Safety at work Regulations 1992 and other related regulations
b your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974
c your duties for health and safety as defined by any specific legislation covering your job role

To conduct an assessment of risks in the workplace you should know and understand the following relating to health and safety:

d effective procedures for carrying out a risk assessment
e the purpose, legal implications and importance of carrying out risk assessments
f what to do with the results of the risk assessment
g hazards that are most likely to cause harm to health and safety
h the particular health and safety risks which may be present in your own job role and the precautions to be taken
i the importance of remaining alert to the presence of hazards in the whole work place
j the importance of dealing with or promptly reporting risks

Evidence Requirements:

- You should satisfy the Assessor that you can consistently meet the Standards.
- Evidence should be drawn from real working practices, and evidence must be provided across all the performance criteria in both elements. Your Assessor must see performance evidence for each of the range items, as specified in the three elements, appropriate to your own workplace context.
- Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

Assessor Guidance:

- In order to demonstrate competence the candidate must be able to show consistent competent performance.
- In this unit evidence from performance is required and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of the candidate’s ability to perform competently across all the range items listed.
Element G.1: Identify hazards in the workplace

Performance Criteria:

You must ensure that

1. you define, clearly, why and where the risk assessment will be carried out
2. you confirm that all the information available to you on statutory health and safety regulations is up-to-date and from recognised and reliable information sources
3. you recognise your own limitations and seek expert advice and guidance on risk assessment when appropriate
4. you select a method of identifying hazards appropriate to the workplace being assessed
5. your investigation fully identifies those areas in the workplace where hazards with a potential for serious harm to health and safety are most likely to occur
6. you identify hazards which could result in serious harm to people at work or other persons
7. you record those hazards in a way which meets legal, good practice and workplace requirements
8. you report the results of the process to the responsible persons in an agreed format and timescale

Range Statement:

Information Sources are:

I internal Health and Safety experts
II HSE offices
III relevant industry publications
IV external organisations

Hazards relating to:

V the use of plant and equipment
VI the use of substances hazardous to health
VII the workplace layout
VIII the working practices
IX the job role
X people with special needs

Specific Knowledge for this element:

You must know and understand

a. methods of identifying hazards including direct observation, examining records, or interviews
b. the work areas and people for whom you are carrying out the assessment
c work activities of the people in the workplace where you are carrying out the risk assessment
d resources required for a risk assessment to take place
e information sources for risk assessments (e.g. HSE publications)
f where to find expert advice and guidance

**Evidence Requirements:**

Evidence must be provided to demonstrate competence of identifying hazards with reference to working activities or aspects of the workplace in the context of carrying out a risk assessment.

Performance evidence must be provided against each of the performance criteria.

Performance evidence must show from the range that you have:

- identified a minimum of two types of **hazard** from those listed, and
- used a minimum of one type of **information source**

The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

Performance evidence must be provided from real working practice.
Element G.2: Assess the level of risk and recommend action

Performance Criteria:

You must ensure that

1. you review all legal requirements that are appropriate to your workplace and working practices to ensure effective control measures are in place
2. you confirm that industry standards and all other reasonable precautions are in place
3. you identify hazards that could be eliminated
4. for hazards that cannot be eliminated, you start your risk assessment with those hazards that are most likely to cause serious harm to people at work or other people
5. you assess the level of risk and consider how the risks can be controlled to minimise harm
6. you list unacceptable risks in priority order including all breaches of relevant health and safety legislation and workplace procedures
7. you prepare a risk assessment report containing recommendations for minimising risks
8. you present the results of the risk assessment to responsible persons in the agreed format and timescale

Range Statement:

Responsible persons are:

I. management associated with the examined activities
II. employees associated with the examined activities
III. decision makers
IV. union representatives
V. staff representatives

Specific Knowledge for this element:

You must know and understand:

a. your own limitations, job responsibilities and capabilities
b. the work areas and people for whom you are carrying out the assessment
c. work activities of the people in the workplace where you are carrying out the risk assessment
d. resources required for a risk assessment to take place
e. effective communication methods

Evidence Requirements:

Evidence must be provided to demonstrate competence of assessing the level of risk, prioritising unacceptable risks and recommending action in the context of carrying out a risk assessment.

Performance evidence must be provided against each of the performance criteria.
Performance evidence must show from the range that you have:

presented the results of a risk assessment to a minimum of two responsible persons
from the list given

The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

Performance evidence must be provided from real working practice.
Element G.3: Review your workplace assessment of risks

Performance Criteria:

You must ensure that

1. you compare the latest risk assessment to current workplace and working practices
2. you identify, accurately, any significant differences between previous and new working practices
3. you investigate the action taken as a result of your recommendations specified in the latest risk assessment
4. you identify, accurately, new hazards arising from changes in the workplace or working practices
5. you make changes to your risk assessment in line with the review
6. you inform, promptly, everyone affected by the changes

Range Statement:

Previous and new working practices relating to:

I plant, machinery and equipment
II substances or materials
III people

Changes in the workplace relating to:

IV layout of workplace
V new facilities and services

Specific Knowledge for this element:

You must know and understand

a methods of identifying hazards
b your own limitations, job responsibilities and capabilities
c the work areas and people for whom you are carrying out the assessment
d work activities of the people in the workplace where you are carrying out the risk assessment
e effective communication methods

Evidence Requirements:

Evidence must be provided to demonstrate competence of reviewing your risk assessment.

Performance evidence must be provided against each of the performance criteria.

Performance evidence must show from the range that you have:

- made a comparison between previous and new working practices for a minimum of one of the types listed
• assessed a minimum of one of the types of changes in the workplace for new hazards from those listed

The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

Performance evidence must be provided from real working practice.
National Occupational Standards
For
Rail Operations - Supervisory

Unit 11 – Ensure your own Action Reduce Risks to Health and Safety (ENTO Unit A)

Relationship to the National Occupational Standards for Health and Safety
This unit is taken from the ENTO (formerly Employment National Training Organisation) suite of Standalone National Occupational Standards for Health and safety, where it appears as unit A.

Elements in this unit are:

A.1 Identify the hazards and evaluate the risks in your workplace
A.2 Reduce the risks to health and safety in your workplace

Unit Overview

Fundamental to this unit is an understanding of the terms "hazard" and "risk". They have been defined overleaf and it is VERY IMPORTANT that they are understood before undertaking the Unit.

This unit is for:

Everyone at work - (whether paid, unpaid, full or part-time). The scope of the Health and Safety at Work Act 1974 covers "all persons" whether employers, employees, self-employed, contractors, etc. Amongst other things the Act seeks to secure the health, safety and welfare of people whilst they work and protect other people against risks to health or safety arising from the activity of people at work. This unit does not require the candidate to undertake a full risk assessment, it is about having an appreciation of significant risks in the workplace and knowing how to identify them and deal with them.

This unit covers:
The health and safety duties for everyone in the workplace. It describes the competences required to ensure that:

- your own actions do not create any health and safety risks,
- you do not ignore significant risks in your workplace, and
- you take sensible action to put things right, including: reporting situations which pose a danger to people in the workplace and seeking advice

This is what you need to show:

In element A.1 you need to show that you understand the health and safety requirements and policies in the workplace, and that you check your own working practices and work area for any risk of you or others being harmed. You should be able to identify the risk arising from any hazards you have identified and know which you can deal with safely yourself, and those which you must report to the "responsible person" for attention.
Element A.2 requires you to show you have taken steps to reduce those health and safety risks with which you might come into contact during the course of your work. It covers carrying out tasks safely and in accordance with instructions and workplace requirements.

This is what you need to do next:
Read the section on “Key Words and Phrases”. This explains how some words and phrases have been used in this unit and will help you understand it more easily.

Key Words and phrases which you might see used frequently within the Health and Safety for People at Work units

The Health and Safety Executive (HSE) is the body appointed to support and enforce health and safety law. They have defined two important concepts as follows:

**Hazard**  
"a hazard is something with potential to cause harm".

**Risk**  
"a risk is the likelihood of the hazard's potential being realised".

Almost anything may be a hazard, but may or may not become a risk. For example:

1 A trailing electric cable from a piece of equipment is a hazard. If it is trailing across a passageway there is a high risk of someone tripping over it, but if it lies along a wall out of the way, the risk is much less.

2 Toxic or flammable chemicals stored in a building are a hazard, and by their nature may present a high risk. However, if they are kept in a properly designed secure store, and handled by properly trained and equipped people, the risk is much less than if they are left about in a busy workshop for anyone to use - or misuse.

3 A failed light bulb is a hazard. If it is just one bulb out of many in a room it presents very little risk, but if it is the only light on a stairwell, it is a very high risk. Changing the bulb may be a high risk, if it is high up, or if the power has been left on, or low risk if it is in a table lamp which has been unplugged.

4 A box of heavy material is a hazard. It presents a higher risk to someone who lifts it manually than if a mechanical handling device is properly used.

**Workplace:**  
This word is used to describe the single or multiple areas in which you carry out your work.

**Working practices:**  
Any activities, procedures, use of materials or equipment and working techniques used in carrying out your job. In this unit it also covers any omissions in good working practice which may pose a threat to health and safety.

**Workplace policies:**  
This covers the documentation prepared by the employer on the procedures to be followed regarding health and safety matters. It could be the employer’s safety policy statement, or general
health and safety statements and written safety procedures covering aspects of the workplace that should be drawn to the employees' (and "other persons' ") attention.

**Other persons:** This phrase refers to everyone covered by the Health and Safety at Work Act including: visitors, members of the public, colleagues, contractors, clients, customers, patients, students, pupils.

**Personal presentation:** This includes, personal hygiene; use of personal protection equipment; clothing and accessories suitable to the particular workplace.

**Responsible persons:** The person or persons at work to whom you should report any health and safety issues or hazards. This could be a supervisor, line manager or your employer.
Key points regarding Health and Safety legislation and regulations

"Health and Safety At Work Act 1974"

The Health and Safety at Work Act 1974 is the main piece of legislation under which nearly all the other regulations are made. It is for this reason that only this piece of legislation is specifically referred to in this Unit.

Employers have a legal duty under this Act to ensure, so far as is reasonably practicable, the health, safety and welfare at work of the people for whom they are responsible and the people who may be affected by the work they do.

Under this Act it is also important to be aware that all people at work, not just employers, have a duty to take reasonable care to avoid harming themselves or others through the work they do.

Risks should be reduced "so far as is reasonably practicable". This term means the duty-holder (in most instances the employer) can balance the cost against the degree of risk although obviously any Health and Safety Inspectors would expect that relevant good practice is followed.

According to the Act:

Employers must safeguard so far as is reasonably practicable, the health, safety and welfare at work of all the people who work for them and “other persons”. This applies in particular to the provision and maintenance of safe plant and systems of work, and covers all machinery, equipment and substances used.

People at work also have a duty under the Act to take reasonable care to avoid harm to themselves or to others by their working practices, and to co-operate with employers and others in meeting statutory requirements. The Act also requires employees not to interfere with or misuse anything provided to protect their health, safety or welfare in compliance with the Act.

Other Legislation

There is an array of health and safety regulations and codes of practice which affect people at work. There are regulations for those who, for example, work with electricity, or work on construction projects, as well as regulations covering noise at work, manual handling, working with VDUs, or dealing with substances hazardous to health, etc. The specific requirements for all or any of these can be obtained from HSE local offices.

As many of the regulations are only relevant to certain workplaces or working practices no specific reference has been made in the Knowledge Requirements to any of these regulations. The phrase "your responsibilities for health and safety as required by any specific legislation covering your job role" is intended to relate to those specific pieces of legislation important to your workplace and/or working practices which you should be able to find out about.
Knowledge Requirements:

Essential knowledge and understanding for this Unit:

To ensure your own actions reduce risks to Health and Safety you should know and understand the following aspects of health and safety legislation:

a your legal duties for health and safety in the workplace as required by the Health and Safety at Work Act 1974
b your duties for health and safety as defined by any specific legislation covering your job role

To ensure your own actions reduce risks to Health and Safety you should know and understand the following relating to risks to health and safety:

a what hazards may exist in your workplace
b the particular health and safety risks which may be present in your own job role and the precautions you must take
c the importance of remaining alert to the presence of hazards in the whole work place
d the importance of dealing with or promptly reporting risks
e the requirements and guidance on the precautions

Evidence Requirements:

- You should satisfy the Assessor that you can consistently meet the Standards.
- Evidence should be drawn from real working practices, and evidence must be provided across all the performance criteria in both elements. Your Assessor must see performance evidence for the number of range items, as specified in both elements, appropriate to your own workplace context.
- Answers to questions and other forms of evidence may additionally be used to demonstrate an understanding of the essential knowledge required for the unit, and for the specific knowledge required for each element.

Assessor Guidance:

- In order to demonstrate competence the candidate must be able to show consistent competent performance.
- In this unit evidence from performance is required and should be the primary source of evidence, but this will often be supported by questioning or other forms in order to gather evidence of the candidate's ability to perform competently across all the range items listed.
Element A.1: Identify the hazards and evaluate the risks in your workplace

Performance Criteria:

You must ensure that

1. you correctly name and locate the persons responsible for health and safety in the workplace
2. you identify which workplace policies are relevant to your working practices
3. you identify those working practices in any part of your job role which could harm yourself or other persons
4. you identify those aspects of the workplace which could harm yourself or other persons
5. you evaluate which of the potentially harmful working practices and the potentially harmful aspects of the workplace are those with the highest risk to you or to others
6. you report those hazards which present a high risk to the persons responsible for health and safety in the workplace
7. you deal with hazards with low risks in accordance with workplace policies and legal requirements

Range Statement:

Risks resulting from:

I  the use and maintenance of machinery or equipment
II the use of materials or substances
III working practices which do not conform to laid down policies
IV unsafe behaviour
V accidental breakages and spillages
VI environmental factors

Specific knowledge for this element:

You must know and understand:

a agreed workplace policies relating to controlling risks to health and safety,
b responsibilities for health and safety in your job description,
c the responsible persons to whom to report health and safety matters.

Evidence Requirements

Evidence must be provided to demonstrate competence in identifying hazards with reference to working activities or aspects of the workplace and acting upon your decisions as to whether the hazard presents a high or low risk.
Performance evidence must be provided against each of the performance criteria. The assessor will also need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this unit.

You must show from the range that you have:

- identified a minimum of two types of risks resulting from those listed.

Performance evidence must be provided from real working practices.
Element A.2 Reduce the risks to health and safety in your workplace

Performance Criteria:

You must ensure that

1. you carry out your working practices in accordance with legal requirements
2. you follow the most recent workplace policies for your job role
3. you rectify those health and safety risks within your capability and the scope of your job responsibilities
4. you pass on any suggestions for reducing risks to health and safety within your job role to the responsible persons
5. your personal conduct in the workplace does not endanger the health and safety of yourself or other persons
6. you follow the workplace policies and suppliers’ or manufacturers’ instructions for the safe use of equipment, materials and products
7. you report any differences between workplace policies and suppliers’ or manufacturers’ instructions as appropriate
8. your personal presentation at work
   - ensures the health and safety of yourself and others,
   - meets any legal duties, and
   - is in accordance with workplace policies

Range Statement:

Workplace policies covering:

I. the use of safe working methods and equipment
II. the safe use of hazardous substances
III. smoking, eating, drinking and drugs
IV. what to do in the event of an emergency
V. personal presentation

Specific Knowledge for this element:

You must know and understand

a. the specific workplace policies covering your job role
b. suppliers’ and manufacturers’ instruction for the safe use of equipment, materials and products
c. safe working practices for your own job role
d. the importance of personal presentation in maintaining health and safety in the workplace
e. the importance of personal conduct in maintaining the health and safety of yourself and others
f. your scope and responsibility for rectifying risks
g. workplace procedures for handling risks which you are unable to deal with
Evidence Requirements:

Evidence must be provided to demonstrate competence in reducing the risk to health and safety.

Performance evidence must be provided against each of the performance criteria. The Assessor will need to be satisfied that you have the necessary knowledge and understanding to perform competently in respect of all the range items listed in this element.

You must show evidence that you have followed a minimum of four types of workplace policies.

Performance evidence must be provided from real working practices.
Unit 12 – Manage Difficult Situations in the Rail Industry

What this unit is about

This unit is about dealing with situations where there is conflict between people. You should be able to communicate with people effectively both verbally and non-verbally to deal with the situation. You should be able to maintain your own personal safety, giving advice and warnings and calling for help when needed.

This unit contains two elements:
Element 1 – Follow Procedures to Resolve Conflict
Element 2 - Communicate with People in Difficult Situations

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations who deal with members of the public.
# Unit 12 – Manage Difficult Situations in the Rail Industry

## Element 12.1 – Follow Procedures to Resolve Conflict

### About this element

This element is about resolving difficult situations. You should know and understand the risks to yourself and others in a situation. You should know and understand your organisation's procedures for resolving difficult situations.

### Performance requirements

**You must be able to:**

1. assess the risks to yourself and other people in the situation
2. assess how serious the situation is and the behaviour of the people involved
3. maintain your own personal safety
4. follow your organisation’s procedures for the type of situation and people involved
5. collect and report necessary information about the people involved and the situation
6. help other staff to deal with difficult situations

### Knowledge and understanding requirements

**You must know and understand:**

- a the types of difficult situations that are likely to arise
- b the correct responses for each of these types of situation
- c the relevant legal issues covering self-defence and the use of force and your own role and responsibilities
- d the importance of effective communication with people in difficult situations and how poor communication can make situations worse
- e the appropriate forms of body language and other non-verbal types of communication to use
- f what is meant by “personal space” and why it is important to maintain your personal space and how to do so
- g why and how to respect other people’s personal space
- h why it is important to show you are listening to what is being said and how to do so
- i how to show empathy and why this is important
- j how to use sensitive questioning to get information about a situation
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<tbody>
<tr>
<td>k</td>
<td>why it is important to summarise and give feedback to other people about what you have heard them say</td>
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<td>l</td>
<td>how to carry out risk assessments in difficult situations and the factors you should bear in mind</td>
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<td>m</td>
<td>situations in which it would be appropriate to:</td>
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<td>• do nothing</td>
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<td></td>
<td>• keep watching the situation</td>
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<td></td>
<td>• give advice or a warning</td>
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<td>• use a report or incident card</td>
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<td>• consider ejection</td>
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<td>• consider arrest</td>
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<td>n</td>
<td>why you should collect and report information about the people involved and the situation and your organisation's procedures relating to this</td>
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<td>o</td>
<td>why it is important to keep an accurate record of what has happened</td>
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<td>p</td>
<td>what you need to record that could be classed as evidence</td>
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<td>q</td>
<td>other sources of evidence that could be used</td>
</tr>
</tbody>
</table>
### Element 12.2 – Communicate with People in Difficult Situations

**About this element**

This element is about communicating with people in difficult situations. You should know and understand the importance of listening and summarising any discussions you have with people.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. communicate with people in a way that limits and reduces conflict</td>
<td>(This is the same as the knowledge and understanding listed in element 12.1)</td>
</tr>
<tr>
<td>2. maintain your own personal space</td>
<td>a. the types of difficult situations that are likely to arise</td>
</tr>
<tr>
<td>3. respect other people’s personal space</td>
<td>b. the correct responses for each of these types of situation</td>
</tr>
<tr>
<td>4. listen to what people are saying to you</td>
<td>c. the relevant legal issues covering self-defence and the use of force and your own role and responsibilities</td>
</tr>
<tr>
<td>5. show empathy (understanding other people’s feelings)</td>
<td>d. the importance of effective communication with people in difficult situations and how poor communication can make situations worse</td>
</tr>
<tr>
<td>6. use sensitive questioning to get more information about the situation</td>
<td>e. the appropriate forms of body language and other non-verbal types of communication to use</td>
</tr>
<tr>
<td>7. summarise and give feedback to people about what they have said and confirm your understanding of the situation</td>
<td>f. what is meant by “personal space” and why it is important to maintain your personal space and how to do so</td>
</tr>
<tr>
<td>8. help other staff in situations where they are experiencing difficulties</td>
<td>g. why and how to respect other people’s personal space</td>
</tr>
<tr>
<td></td>
<td>h. why it is important to show you are listening to what is being said and how to do so</td>
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<tr>
<td></td>
<td>i. how to show empathy and why this is important</td>
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j how to use sensitive questioning to get information about a situation

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l how to carry out risk assessments in difficult situations and the factors you should bear in mind

m situations in which it would be appropriate to:
   • do nothing
   • keep watching the situation
   • give advice or a warning
   • use a report or incident card
   • consider ejection
   • consider arrest

n why you should collect and report information about the people involved and the situation and your organisation’s procedures relating to this

o why it is important to keep an accurate record of what has happened

p what you need to record that could be classed as evidence

q other sources of evidence that could be used
National Occupational Standards
For
Rail Operations - Supervisory

Unit 13 – Maintain a Suitable Customer Environment in the Rail Industry

What this unit is about

This unit is about making sure that you and your team maintain a suitable customer environment. You should know and understand your organisation’s policy and standards for maintaining the customer environment. You should be able to identify any areas where facilities do not meet the standards set by your organisation.

This unit contains two elements:
Element 1 – Identify Requirements at the Station
Element 2 - Monitor Staff Maintaining the Customer Environment

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations roles.
Unit 13 – Maintain a Suitable Customer Environment in the Rail Industry

Element 13.1 – Identify Requirements at the Station

About this element

This element is about maintaining station facilities and identifying any areas where facilities do not meet the standards set by your organisation. You will need to know and understand your organisation’s policies on how facilities are presented.

Performance requirements

You must be able to:

1. decide what is needed in your area of responsibility in line with your organisation’s policy
2. carry out inspections of the station facilities to make sure your organisation’s standards are maintained
3. consult colleagues from other rail organisations about areas you and they work on
4. take action when necessary to improve the station presentation to required standards
5. make sure you get rid of waste in the correct way
6. take action when staff or customers report failure in the information system

Knowledge and understanding requirements

You must know and understand:

a. your organisation’s policies on how staff and facilities should be presented
b. the role of other organisations and what they are contracted to do
c. your organisation’s procedures for how material is displayed, for example posters in the station
d. your organisation’s procedures on standards for keeping the station clean
e. how to obtain services to maintain standards
f. how to audit facilities to make sure that your organisation’s standards are maintained
# Unit 13 – Maintain a Suitable Customer Environment in the Rail Industry

## Element 13.2 – Monitor Staff Maintaining the Customer Environment

### About this element

This element is about working with your staff to maintain the customer environment. You should be able to monitor staff to make sure the customer environment is maintained and help staff who are having difficulties. You should know and understand your organisation’s procedures for maintaining the customer environment.

### Performance requirements

**You must be able to:**

1. make sure staff are aware of your organisation’s policies and standards regarding maintaining the customer environment
2. monitor staff to make sure that the customer environment is maintained in line with your organisation’s procedures and standards
3. help staff who are having difficulties maintaining the customer environment
4. provide feedback to staff on their performance
5. help staff to deal with questions from customers

### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s policies on maintaining the customer environment
b. your organisation’s standards for the customer environment
c. how to communicate with staff effectively
d. your organisation’s procedures for dealing with customers
e. how to give staff feedback on their performance
National Occupational Standards
For
Rail Operations - Supervisory

Unit 14 – Provide Impartial Product and Service Selling in the Rail Industry

What this unit is about

This unit is about making sure that you and your team give customers fair, unbiased and accurate information on the products and services that are available. You should know, understand and apply your organisation’s polices on selling products and services in an unbiased way.

This unit contains two elements:
Element 1 – Provide Information on Products and Services
Element 2 - Monitor Staff Selling Products and Services

Who this unit is for

This unit is for supervisors and team leaders working in retail roles in rail operations.
# Unit 14 – Provide Impartial Product and Service Selling in the Rail Industry

## Element 14.1 – Provide Information on Products and Services

### About this element

This element is about giving customers information on the products and services available in both routine and non-routine situations. You should be able to give customers unbiased and accurate information. You should know and understand the range of services offered by a number of organisations.

### Performance requirements

**You must be able to:**

1. decide what is needed in your area of responsibility
2. give information on the products and services available
3. get the right information from the customer
4. explain the options that are available to the customer
5. make arrangements for customers who have special needs
6. access relevant sources of information about products and services

### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s policy on selling products and services
b. the national conditions for rail travel
c. the fare and ticket options available to customers
d. the methods used to get information on fares and tickets
e. the range of complementary services offered
f. how to access information on timetables
g. the methods used to access and update train running information
h. options and arrangements for customers who have special needs
i. 
Unit 14 – Provide Impartial Product and Service Selling in the Rail Industry

Element 14.2 – Monitor Staff Selling Products and Services

About this element

This element is about working with your staff to give customers information on products and services. You should be able to brief your staff on how to sell products and services in an unbiased way and make sure staff give customers unbiased and accurate information. You should know and understand how to communicate with your staff.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
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<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. make sure staff are aware of your organisation’s policies on selling products and services in an unbiased way</td>
<td>a. your organisation’s policies on selling products and services in an unbiased way</td>
</tr>
<tr>
<td>2. monitor staff to make sure that they are giving customers unbiased advice on products and services</td>
<td>b. how to communicate with staff who are selling products and services</td>
</tr>
<tr>
<td>3. help staff who have questions about the way products and services are sold</td>
<td>c. your organisation’s procedures for dealing with customer complaints</td>
</tr>
<tr>
<td>4. help staff to deal with non-routine financial questions from customers</td>
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National Occupational Standards  
For  
Rail Operations - Supervisory  

Unit 15 – Identify and Manage Income in the Rail Industry  

What this unit is about  
This unit is about identifying and managing income. You should be able to identify tasks that fit in your area of responsibility and manage staff who deal with financial procedures. You should know and understand your organisation’s procedures for dealing with financial questions.  

This unit contains two elements:  
Element 1 – Identify and Process Financial Transactions in your Area of Responsibility  
Element 2 – Manage Financial Transactions  

Who this unit is for  
This unit is for supervisors and team leaders working in rail operations.
## Unit 15 – Identify and Manage Income in the Rail Industry

### Element 15.1 – Identify and Process Financial Transactions in your Area of Responsibility

#### About this element

This element is about identifying financial tasks which fall within your area of responsibility. You should know and understand your organisation’s procedures relating to dealing with income and possible breaches of security. You should be able to process and document financial transactions in line with your organisation’s procedures.

#### Performance requirements

**You must be able to:**

1. Identify what financial tasks fall within your area of responsibility
2. Process income received in line with your organisation’s procedures
3. Fill in paperwork in line with your organisation’s procedures
4. Maintain security arrangements in line with your organisation’s procedures

#### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s procedures for dealing with income in your area of responsibility
b. who in your organisation is responsible for handling cash
c. your organisation’s security arrangements for handling cash
d. your organisation’s procedures for dealing with other forms of money
e. your organisation’s procedures for dealing with cash discrepancies
f. your organisation’s procedures for filling in paperwork and keeping records
g. your organisation’s procedures relating to breaches of security
## Element 15.2 – Manage Financial Transactions

### About this element

This element is about managing staff who carry out financial transactions. You should be able to brief staff on your organisation’s procedures for dealing with financial questions and transactions.

### Performance requirements

You must be able to:

1. make sure staff are aware of and keep to the organisation’s procedures relating to handling cash and other payment methods
2. help staff to deal with financial questions from customers
3. make sure staff maintain security in line with your organisation’s procedures
4. help staff who do not understand how to deal with financial transactions

### Knowledge and understanding requirements

You must know and understand:

1. your organisation’s procedures relating to financial transactions
2. how to brief staff who will be handling cash and other methods of payment
3. your organisation’s procedures for dealing with customer complaints
National Occupational Standards
For
Rail Operations - Supervisory

Unit 16 – Implement Revenue Protection in the Rail Industry

What this unit is about

This unit is about ensuring that the company receives income from fares. You should be able to arrange ticket checks on vehicles and/or within stations. You should know, understand and keep to your organisation’s policies and procedures on revenue protection. Communication with passengers, your superior and other members of the revenue protection team is a vital part of this unit.

This unit contains two elements:
Element 1 – Implement Your Organisation’s Fare Policies
Element 2 - Work with the Revenue Protection Team

Who this unit is for

For those staff who contribute to revenue protection in the rail industry.
### Unit 16 - Implement Revenue Protection in the Rail Industry

#### Element 16.1 – Implement Your Organisation’s Fare Policies

**About this element**
This element is about making sure that ticket revenue is appropriate for the journeys made in line with your organisation’s fare policies. You should be able to arrange ticket checks on the move or at stations as necessary. You should know and understand your organisation’s conditions and fares and how to arrange checks on all travellers.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
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<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. Put in place the conditions of carriage that apply</td>
<td>a. the conditions of carriage that apply to your company</td>
</tr>
<tr>
<td>2. Put in place your organisation’s fares policies</td>
<td>b. your organisation’s fares policy covering your area of responsibility</td>
</tr>
<tr>
<td>3. arrange appropriate ticket checks taking into account your own and the customer/public safety</td>
<td>c. how to arrange ticket checks with any location specific safety requirements</td>
</tr>
<tr>
<td>4. deal with difficult situations that arise from the appropriate ticket checks</td>
<td>d. your organisation’s procedures for dealing with ticket irregularities or difficult customers</td>
</tr>
<tr>
<td>5. fill in paperwork in line with your organisation’s procedures</td>
<td>e. your organisation’s procedures for filling in paperwork and keeping records relating to revenue protection</td>
</tr>
<tr>
<td>6. consult appropriate authorities if irregularities occur, (for example, your own organisation’s staff, British Transport Police)</td>
<td>f. the appropriate authorities you should report irregularities to, for example your organisation’s staff, British Transport Police</td>
</tr>
</tbody>
</table>
## Unit 16 – Implement Revenue Protection in the Rail Industry

### Element 16.2 – Work With the Revenue Protection Team

**About this element**
This element is about working in a revenue protection team. You should be able to brief staff on your organisation’s procedures for revenue protection. You should know and understand how to communicate effectively with staff and customers.

<table>
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<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
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<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. make sure staff who work on revenue protection duties are aware of your organisation’s procedures for revenue protection</td>
<td>a. the conditions of carriage that apply to your company</td>
</tr>
<tr>
<td>2. help staff deal with difficult situations involving customers</td>
<td>b. your organisation’s procedures for revenue protection</td>
</tr>
<tr>
<td></td>
<td>c. how to brief and support staff who will be working on revenue protection</td>
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<tr>
<td></td>
<td>d. your organisation’s procedures for dealing with difficult customers</td>
</tr>
</tbody>
</table>
Unit 17 – Maintain Crowd Control and Security in a Railway Station

What this unit is about

This unit is about dealing with crowds in stations due to major events or during very busy periods. You should be able to deal with large numbers of people passing through a station and deal with any emergency situations that arise. You should know and understand your organisation’s procedures for dealing with large crowds.

This unit contains two elements:
Element 1 – Control the Movement of Large Numbers of Customers through a Station
Element 2 - Assess and Respond to Problems and Emergencies

Who this unit is for

This unit is for people working as supervisors and team leaders in railway stations.

Special requirements – customers who have special requirements could include VIP visitors, customers with large packages, customers who have disabilities, customers with small children etc.
### Unit 17 – Maintain Crowd Control and Security in a Railway Station

#### Element 17.1 – Control the Movement of Large Numbers of Customers Through a Station

**About this element**

This element is about identifying and implementing the processes to deal with large numbers of customers passing through a terminal in your area of responsibility. You will need to know and understand your organisation's procedures and what your responsibilities are.

<table>
<thead>
<tr>
<th>Performance requirements You must be able to:</th>
<th>Knowledge and understanding requirements You must know and understand:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. define your role in managing the movement of crowds</td>
<td>a. how your organisation plans for large numbers of people</td>
</tr>
<tr>
<td>2. deal with any medical emergencies created by the number of people</td>
<td>b. your organisation’s procedures for dealing with an emergency situation</td>
</tr>
<tr>
<td>3. use any physical controls (for example, barriers) you have available</td>
<td>c. who in your organisation provides information to you about crowd control issues</td>
</tr>
<tr>
<td>4. use your resources at agreed times</td>
<td>d. how to minimise potential conflict</td>
</tr>
<tr>
<td>5. brief staff involved about their roles for the specific period</td>
<td>e. who you have to consult in other companies</td>
</tr>
<tr>
<td>6. deal with unauthorised possession of alcohol</td>
<td>f. how you work with the appropriate emergency services</td>
</tr>
<tr>
<td>7. monitor the movement of passengers to make sure they board trains safely and on time</td>
<td>g. how to provide specific information to customers who pass through the station</td>
</tr>
<tr>
<td>8. communicate effectively with the appropriate people in your organisation about crowd control</td>
<td>h. how to deal with customers who have special requirements</td>
</tr>
<tr>
<td>9. consult police and emergency services as appropriate</td>
<td>i. who in your own and other relevant organisation's you should keep informed</td>
</tr>
<tr>
<td>10. give feedback about how effectively procedures for crowd control were planned and put into place</td>
<td></td>
</tr>
</tbody>
</table>
## Unit 17 – Maintain Crowd Control and Security in a Railway Station

### Element 17.2 – Assess and Respond to Problems and Emergencies

#### About this element

This element is about dealing with problems and emergencies that may arise in a crowded station. You should be able to communicate with passengers in a clear and calm way. You should know and understand your organisation’s procedures for dealing with emergencies.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. assess how serious the problem and/or emergency is using information you have available</td>
<td>a. your organisation’s procedures for dealing with emergencies</td>
</tr>
<tr>
<td>2. instruct staff to take action in line with your organisation’s procedures regarding crowd control</td>
<td>b. who in your organisation provides information to you</td>
</tr>
<tr>
<td>3. give staff clear and calm instructions</td>
<td>c. understand how to minimise potential conflict</td>
</tr>
<tr>
<td>4. tell the relevant people in your organisation about the problem or emergency</td>
<td>d. who you have to consult in other organisations</td>
</tr>
<tr>
<td>5. work with police and/or emergency services as appropriate</td>
<td>e. how to work with the appropriate emergency services</td>
</tr>
<tr>
<td>6. communicate with passengers in a calm but firm way</td>
<td>f. how to provide specific information to customers during an emergency</td>
</tr>
<tr>
<td>7. help staff to help passengers who have special needs</td>
<td>g. how to deal with customers who have special requirements</td>
</tr>
<tr>
<td></td>
<td>h. who you should keep informed in an emergency</td>
</tr>
</tbody>
</table>
National Occupational Standards
For
Rail Operations - Supervisory

Unit 18 – Interpret Legal and Organisational Standards to Ensure Safe Practices in the Rail Industry

**What this unit is about**

This unit is about monitoring the staff you are responsible for to make sure that standards are maintained. You should be able to effectively monitor staff and record monitoring. You should know and understand your organisation’s procedures on monitoring staff and be able to interpret both legal and organisational standards to maintain safe practice.

This unit contains two elements:
- Element 1 – Monitor Staff against Legal and Organisational Standards
- Element 2 - Record the Monitoring of Staff

**Who this unit is for**

This unit is for Driver Standards Managers.
Unit 18 – Interpret Legal and Organisational Standards to Ensure Safe Practices in the Rail Industry

Element 18.1 - Monitor Staff Against Legal and Organisational Standards

About this element

This element is about how you monitor staff in terms of legal and organisational standards. You should be able to effectively monitor the staff you are responsible for. You will need to know and understand the hazards they face and how they are controlled.

Performance requirements

You must be able to:

1. use current information to monitor staff against legal and organisational standards
2. monitor staff at the location and as often as set out in your organisation’s procedures
3. make sure the staff you are responsible for have appropriate information about legal and organisational standards
4. make sure staff are aware of the hazards and controls they are exposed to
5. make sure staff who are not yet fully competent carry out suitable work
6. take action to ensure your organisation’s procedures are followed at all times
7. Take action to deal with any breaches in procedures in line with your organisation’s procedures

Knowledge and understanding requirements

You must know and understand:

a. your organisation’s policy and procedures
b. who you are responsible for
c. how often you should monitor staff and for what purpose
d. the specific hazards faced by the staff you are responsible for and how they are controlled
e. the locations your staff access
f. how to deal with breaches in your organisation’s procedure
## Element 18.2 - Record the Monitoring of Staff

### About this element

This element is about how you record the monitoring you have carried out. You should be able to effectively document and report on the monitoring. You should be able to use your organisation’s procedures effectively to make sure risks are controlled.

### Performance requirements

**You must be able to:**

1. keep accurate and appropriate safety records
2. compile reports in line with your organisation’s procedures
3. produce reports in line with your organisation's procedures
4. follow up failures to keep to your organisation’s procedures

### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s procedures
b. the locations and staff you are responsible for
c. the specific workplace controls you are responsible for
d. how to deal with staff who have failed to keep to your organisation’s procedures
e. who in your organisation to report to when a member of staff has failed to keep to procedures
National Occupational Standards
For
Rail Operations - Supervisory

Unit 19 - Liaise and Communicate to Resolve Out of Course Situations in the Rail Industry

What this unit is about

This unit is about liaising and communicating with relevant people to deal with out of course situations. You should be able to find the cause of the out of course situation correctly while keeping to the legal conditions for the preservation of evidence. Communicating effectively is an important part of this unit as is the ability to monitor and review progress against development aims.

This unit contains three elements:
Element 1 – Make Initial Response to Out of Course Situations
Element 2 – Gather and Present Evidence
Element 3 - Establish the Cause of Out of Course Situations

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations roles.

Definitions

Out of Course situations
Unusual/unplanned events involving hazards additional to the working environment. Also know as degraded or abnormal situations

Accident
An unplanned, uncontrolled event, which has led to injury to persons or damage to vehicles and equipment or some other loss

Incident
An unplanned, uncontrolled event, which could have led to injury to persons or damage to vehicles and equipment, or some other loss

Risk
The likelihood of potential harm from a hazard. The extent of risk will depend on: the likelihood of that harm occurring, the potential severity of that harm and the population which might be effected by the hazard

Relevant people
For example: train operating staff, infrastructure controller staff and emergency service staff
Unit 19 – Liaise and Communicate to Resolve Out of Course Situations in the Rail Industry

Element 19.1 - Make Initial Response to Out of Course Situations

About this element

This element is about dealing with the first stages of an out of course situation. You should be able to liaise and communicate with the relevant people involved in the out of course situation. You should know and understand your role in an out of course situation.

Performance requirements

You must be able to:

1. get enough information in order to make a first response
2. put in place procedures to make sure the site is safe
3. communicate with the relevant people in line with your organisation’s procedures
4. get information on the welfare of relevant people within your area of responsibility
5. keep to the legal conditions for preserving evidence in line with your organisation’s procedures
6. promptly communicate information relating to the accident or incident to the relevant people
7. make sure the conditions for “for cause” drug and alcohol screening are complied with
8. fill in the necessary documents accurately and clearly in line with your organisation’s procedures

Knowledge and understanding requirements

You must know and understand:

a. the relevant procedures to make sure the site is safe
b. your organisation’s procedures relating to managing accidents and incidents
c. your organisation’s procedures relating to staff welfare
d. your organisation’s procedures that relate to “for cause” drug and alcohol screening
e. the techniques needed for preserving evidence
## Unit 19 – Liaise and Communicate to Resolve Out of Course Situations in the Rail Industry

### Element 19.2 - Gather and Present Evidence

#### About this element

This element is about collating evidence to find out the nature and level of an accident or incident. You should be able to liaise and communicate with the relevant people and present evidence on the accident or incident. You should know and understand your organisation’s procedures relating to investigation of out of course situations.

#### Performance requirements

<table>
<thead>
<tr>
<th>You must be able to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. find out the nature and level of the accident or incident</td>
</tr>
<tr>
<td>2. identify and access relevant sources of information to make sure that you can</td>
</tr>
<tr>
<td>investigate the accident or incident</td>
</tr>
<tr>
<td>3. get reports from the relevant people involved</td>
</tr>
<tr>
<td>4. interview all relevant people involved in line with your organisation’s procedures</td>
</tr>
<tr>
<td>5. make contact and maintain effective communications with the relevant people</td>
</tr>
<tr>
<td>6. look for an explanation where the evidence has been found to be inconsistent</td>
</tr>
<tr>
<td>7. ask for extra help where technical examinations are needed</td>
</tr>
<tr>
<td>8. take appropriate action where an immediate risk has been identified</td>
</tr>
<tr>
<td>9. present evidence to the relevant people within the existing timescales in line with your organisation’s procedures</td>
</tr>
</tbody>
</table>

#### Knowledge and understanding requirements

<table>
<thead>
<tr>
<th>You must know and understand:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. your organisation’s procedures for accident and incident reporting</td>
</tr>
<tr>
<td>b. your organisation’s procedures for investigating accidents and incidents</td>
</tr>
<tr>
<td>c. What resources are available to provide technical examinations</td>
</tr>
</tbody>
</table>

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GoSkills
### Unit 19 – Liaise and Communicate to Resolve Out of Course Situations in the Rail Industry

#### Element 19.3 - Establish the Cause of Out of Course Situations

**About this element**

This element is about finding the cause of an out of course situation. You should be able to analyse the information available and clarify any incomplete information with the relevant people. You should know and understand your organisation’s procedures for accident and incident investigation, and the importance of good communication when finding the cause of out of course situations.

<table>
<thead>
<tr>
<th><strong>Performance requirements</strong></th>
<th><strong>Knowledge and understanding requirements</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. access and analyse all available evidence</td>
<td>a. how to analyse data</td>
</tr>
<tr>
<td>2. clarify information which is incomplete or unclear with the relevant persons</td>
<td>b. your organisation’s procedures for investigating accidents and incidents</td>
</tr>
<tr>
<td>3. identify causes of the accident or incident from the evidence available</td>
<td></td>
</tr>
<tr>
<td>4. take action in order to reduce risk</td>
<td></td>
</tr>
<tr>
<td>5. record and progress the outcomes of the investigation in line with your organisation’s procedures</td>
<td></td>
</tr>
<tr>
<td>6. communicate information relating to the accident or incident to the relevant people</td>
<td></td>
</tr>
<tr>
<td>7. fill in the necessary documents accurately and clearly in line with your organisation’s procedures</td>
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</tbody>
</table>
National Occupational Standards
For
Rail Operations - Supervisory

Unit 20 – Identify and Implement Protection Arrangements in the Rail Industry

What this unit is about

The type of protection referred to in this unit is the protection for planned activities such as planned maintenance as well as protection for emergency situations. Protection is an important part in providing safety to the rail industry and its customers. You should be able to identify needs, provide necessary protection, use resources effectively and monitor protection arrangements.

This unit contains two elements:
Element 1 – Identify Protection Requirements
Element 2 – Implement Protection Arrangements

Who this unit is for

This unit is for supervisors, team leaders and technicians working in rail operations roles.

Definitions

Protection Ensuring that appropriate systems and devices are used to prevent access to the asset identified as needing to be protected.
### Unit 20 – Identify and Implement Protection Arrangements in the Rail Industry

#### Element 20.1 - Identify Protection Requirements

**About this element**

This element is about accurately and promptly finding out about what protection is needed. You should be able to accurately identify the location, nature and characteristics of the area to be protected and the resource requirements. You should know and understand how to identify hazards and what the implications of hazards are.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. accurately and promptly determine what protection is needed</td>
<td>a. what types of resources there are</td>
</tr>
<tr>
<td>2. determine the location and extent of the area to be protected and in what way</td>
<td>b. what the sources of information are</td>
</tr>
<tr>
<td>3. understand the nature and characteristics of the area you want to be protected</td>
<td>c. which of your organisation’s procedures are relevant to your work role</td>
</tr>
<tr>
<td>4. identify actual and potential hazards accurately</td>
<td>d. what type of information needs to be communicated and the appropriate methods for doing so</td>
</tr>
<tr>
<td>5. identify relevant sources of information correctly and access them promptly</td>
<td>e. the location, nature, extent and characteristics of the area that needs to be protected</td>
</tr>
<tr>
<td>6. obtain explanations for pieces of information which contradict each other</td>
<td>f. how to identify protection arrangements</td>
</tr>
<tr>
<td>7. identify other methods of protection correctly and assess whether they could be used safely and effectively</td>
<td>g. what types of hazards could arise</td>
</tr>
<tr>
<td>8. accurately work out what resources you need and whether they are available</td>
<td>h. how to identify hazards</td>
</tr>
<tr>
<td>9. identify protection arrangements promptly</td>
<td>i. what the implications of hazards are</td>
</tr>
<tr>
<td>10. make contact and maintain effective communication with the relevant people</td>
<td>j. how to analyse and assess information</td>
</tr>
<tr>
<td></td>
<td>k. what methods of protection are available</td>
</tr>
<tr>
<td></td>
<td>l. how putting protection in place could affect safety and ways of working</td>
</tr>
<tr>
<td></td>
<td>m. how to manage your and other people’s time effectively during an emergency</td>
</tr>
</tbody>
</table>
| 11. record and process relevant information correctly | n. the characteristics and limitations of equipment and systems  
| | o. your organisation’s procedures for filling in and processing documents  
| | p. which people within your organisation deal with emergency responses |
## Unit 20 – Identify and Implement Protection Arrangements in the Rail Industry

### Element 20.2 - Implement Protection Arrangements

#### About this element

This element is about putting protection arrangements in place. You should be able to make contact and maintain communications, access resources and put protection in place. You should know and understand your organisation's procedures for putting protection arrangements in place.

#### Performance requirements

**You must be able to:**

1. make sure you are putting protection in place based on current, accurate and suitable information about the need for protection
2. make contact and maintain effective communication with the relevant people before, during, and after putting the protection in place
3. make sure protection arrangements make effective use of available resources according to your organisation's procedures
4. access resources, check they are suitable and use them effectively
5. look for other methods of protection (where necessary) and assess how they would impact on safety and ways of working and use them effectively
6. put protection in place according to your organisation’s procedures
7. review protection arrangements to meet any changes in circumstances

#### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s procedures which apply to your work role
b. what type of information needs to be communicated and the appropriate methods for doing so
c. which people you should make contact and maintain communication with
d. the sources of information and how to access them
e. the local procedures for putting and removing protection arrangements
f. your organisation’s procedures for filling in and recording documents
g. how to access resources
h. how to analyse and assess information
i. how to identify the need for other protection arrangements and whether they are available
j. how to check resources are suitable
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td>remove the protection arrangements once the activities are complete according to your organisation's procedures</td>
</tr>
<tr>
<td>9.</td>
<td>record and process relevant information correctly</td>
</tr>
<tr>
<td>k.</td>
<td>what the methods of available protection are and how they could affect safety and ways of working</td>
</tr>
<tr>
<td>l.</td>
<td>what the limits of equipment and systems are</td>
</tr>
</tbody>
</table>
National Occupational Standards
For
Rail Operations - Supervisory

Unit 21 – Respond to Incidents in the Rail Industry

What this unit is about

This unit is about responding to an incident when necessary. You should be able to make an initial assessment of the incident, gather and present evidence on the incident and find out how it was caused. You should know and understand your organisation’s procedures on responding to incidents and the evidence that is needed.

This unit contains three elements:
Element 1 – Make an Initial Assessment
Element 2 – Gather and Present Evidence
Element 3 - Establish the Cause of the Incident

Who this unit is for

This unit is for Driver Standards Managers.

Definitions

Incident An unplanned, uncontrolled event, which could have led to injury to persons or damage to vehicles and equipment, or some other loss
### Unit 21 – Respond to Incidents in the Rail Industry

### Element 21.1 – Make an Initial Assessment

#### About this element

This element is about keeping safe and taking control of any situation as required. You should be able to assess what you need to do following an incident and put appropriate controls in place if there is risk to staff, property or other people. You should know and understand your organisation’s procedures for dealing with incidents.

#### Performance requirements

**You must be able to:**

1. ask questions when alerted to an incident, and record answers in line with your organisation’s procedures
2. go to an incident site which is not controlled by your organisation
3. put the appropriate controls in place if there is immediate risk to staff, property or other people
4. communicate with people who need information
5. look after the wellbeing of those people you are responsible for
6. get medical help if necessary
7. gather evidence that is perishable and needs preserving in line with your organisation’s procedures
8. follow your organisation’s procedure for “for cause” screening

#### Knowledge and understanding requirements

**You must know and understand:**

a. Your organisation’s procedures for dealing with and investigating incidents
b. what questions to ask when alerted to an incident in order to help get the necessary information
c. the procedures to follow if you go to a site that is not controlled by your organisation
d. Your organisation’s procedures for protecting the wellbeing of staff, passengers and other people following an incident
e. Your role in both a and b above
f. What the procedures are for access are relating to incidents on Network Rail’s sites or tram track
g. Who you should communicate with depending on how serious the incident is
h. What perishable evidence is and how to preserve it
### Unit 21 – Respond to Incidents in the Rail Industry

#### Element 21.2 – Gather and Present Evidence

**About this element**

This element is about how you obtain the appropriate evidence following an incident. You will be able to gather the appropriate evidence, process it and communicate it. You must know and understand your role in the process of gathering and presenting evidence.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. use all sources of information available to complete the investigation</td>
<td>a. the industry and your organisation’s standards on the process</td>
</tr>
<tr>
<td>2. interview people to get appropriate information about the incident</td>
<td>b. the responsibility of your organisation in gathering evidence</td>
</tr>
<tr>
<td>3. ask for and obtain suitable reports from those people who were involved in the incident including witnesses</td>
<td>c. the roles and responsibilities other people have in gathering evidence</td>
</tr>
<tr>
<td>4. preserve evidence in line with your organisation’s procedures</td>
<td>d. your role in the process</td>
</tr>
<tr>
<td>5. deal with any evidence which is inconsistent</td>
<td>e. the standards needed for presenting evidence</td>
</tr>
<tr>
<td>6. get extra technical support if necessary</td>
<td>f. what technical support is available to you and how to get it</td>
</tr>
<tr>
<td>7. present evidence to meet the existing timescales in line with the industry’s or your organisation’s standards</td>
<td>g. your company policy on interviewing following an incident</td>
</tr>
<tr>
<td>8. deal sympathetically with those people involved in the incident</td>
<td>h. who to refer to when dealing with an incident</td>
</tr>
</tbody>
</table>
## Unit 21 – Respond to Incidents in the Rail Industry

### Element 21.3 – Establish the Cause of the Incident

**About this element**

This element is about taking the evidence you have gathered and working out what caused the incident to happen. You should be able to analyse the evidence available logically and communicate your findings in line with your organisation’s procedures.

**Performance requirements**

**You must be able to:**

1. gather the evidence available
2. assess the evidence available
3. show any cause you have identified is linked to the evidence available
4. record the findings in line with your organisation’s procedures
5. communicate any recommendations to the appropriate people

**Knowledge and understanding requirements**

**You must know and understand:**

a. how to carry out immediate and root cause analysis
b. your organisation’s procedures for investigating incidents
c. how to gather evidence from various sources
d. your organisation’s conditions for recording your findings
e. your organisation’s procedures for communicating your findings
National Occupational Standards
For
Rail Operations - Supervisory

Unit 22 – Carry out Investigative Interviews in the Rail Industry

What this unit is about
This unit is about carrying out interviews to get the information you need.
This unit contains one element:
Element 1 - Carry out the Investigatory Interview with your Staff

Who this unit is for
This unit is for supervisors, team leaders and technicians working in rail operations.
## Unit 22 – Carry out Investigative Interviews in the Rail Industry

### Element 22.1 – Carry out the Investigatory Interview with your Staff

#### About this element

This element is about carrying out investigatory interviews. You should be able to carry out an effective interview in line with your organisation’s procedures. You should be able to plan, carry out and record the interview. You must know and understand your organisation’s procedures for carrying out interviews.

<table>
<thead>
<tr>
<th>Performance requirements</th>
<th>Knowledge and understanding requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
</tr>
<tr>
<td>1. establish why an interview is needed</td>
<td>a. the basic skills of interviewing</td>
</tr>
<tr>
<td>2. arrange the interview in line with your organisation’s procedures</td>
<td>b. your organisation’s procedures on interviews</td>
</tr>
<tr>
<td>3. get the information you planned to get from the person you interviewed</td>
<td>c. your organisation’s procedures for recording and storing the reports</td>
</tr>
<tr>
<td>4. support the person you are interviewing as appropriate</td>
<td>d. your organisation’s procedures on confidentiality</td>
</tr>
<tr>
<td>5. complete the record of the interview in line with your organisation’s procedures</td>
<td>e. the limits of your own authority</td>
</tr>
<tr>
<td>6. store any documents in line with your organisation’s procedures</td>
<td></td>
</tr>
</tbody>
</table>

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GoSkills
Unit 23 - Manage Supplier and Contractor Obligations in Relation to Infrastructure Services in the Rail Industry

What this unit is about

This unit is about managing the day-to-day contracts for receiving services from contractors and supplying services to customers and partners. You should know and understand the conditions of the contract your organisation has with other organisations.

This unit contains one element:
Element 1 - Manage Supplier and Contractor Obligations in Relation to Infrastructure Services in the Rail Industry

Who this unit is for

This unit is for people working in a rail industry control room.
### Unit 23 - Manage Supplier and Contractor Obligations in Relation to Infrastructure Services in the Rail Industry

### Element 23.1 – Manage Supplier and Contractor Obligations in Relation to Infrastructure Services in the Rail Industry

#### About this element
This element is about managing information on how well suppliers perform and managing your organisation’s commitment to supply customers and partners. You will be able to show that you can take appropriate action within your areas of responsibility. You should know and understand the conditions of the contracts your organisation has with suppliers, customers and partners as they affect your area of responsibility, and be able to take appropriate action within your authority.

#### Performance requirements

**You must be able to:**

1. monitor important service quality parameters from suppliers
2. report on abnormal or degraded situations of supply
3. take action to mitigate effect of abnormal or degraded supply on your organisation
4. prioritise supply issues to customers and partners to mitigate contractual implications to your organisation
5. maintain records and report to the appropriate part of your organisation

#### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s procedures relating to managing suppliers and contractors responsibilities to provide services
b. how your organisation’s contract with contractors affects your role
c. how your organisation records and reports on its work relating to the contracts it has in place
d. your authority to limit the effects of supply problems to your customers and partners
e. who and where in your organisation to send reports to
National Occupational Standards
For
Rail Operations - Supervisory

Unit 24 - Manage Critical Information Systems in the Rail Industry

What this unit is about

This unit is about the management of computer generated information that is vital to the make sure your organisation runs smoothly. You should be able to deal with any problems the systems have.

This unit contains one element:
Element 1 - Manage Critical Information Systems in the Rail Industry

Who this unit is for

This unit is for people working in a rail industry control room.
### Unit 24 - Manage Critical Information Systems in the Rail Industry

#### Element 24.1 – Manage Critical Information Systems in the Rail Industry

**About this element**
This element is about the management of critical systems in your workplace and how to manage when they are not available. You should be able to understand what the system is telling you and understand what to do when the system has failed.

**Performance requirements**

**You must be able to:**

1. run the critical systems for your area of responsibility in line with your organisation's procedures
2. recognise when the system is not performing
3. put in place appropriate measures when the system is not performing, in line with your organisation's procedures
4. bring the system back up to meet operational needs, in line with your organisation's procedures

**Knowledge and understanding requirements**

**You must know and understand:**

a. the specific operational systems needed for your area of responsibility
b. the performance conditions for the systems
c. your organisation’s procedure for maintaining continuity of information if the system fails
d. your organisation’s procedures to bring the system back to maintain continuity
Unit 25 - Control Routine Outages of Plant/Equipment in the Rail Industry

What this unit is about
This unit is about controlling the routine processes for taking equipment out of service and restoring it.

This unit contains one element:
Element 1 - Control Routine Outages of Plant/Equipment

Who this unit is for
This unit is for people working in a rail industry control room.
## Unit 25 - Control of Routine Outages of Plant/Equipment in the Rail Industry

### Element 25.1 – Control Routine Outages of Plant/Equipment

**About this element**
This unit is about taking plant/equipment out of service on a routine basis. You should be able to plan the work required and ensure that plant/equipment is taken out of service without affecting operations. You should know why servicing is needed and the affect it will have on operations. You must be able to show you can control the whole process of taking equipment out of service and restoring it.

**Performance requirements**
**You must be able to:**
1. plan the work needed
2. adjust the work to meet operational needs
3. take the equipment out of service without affecting operations
4. issue the appropriate permits in line with your organisation’s procedures
5. make sure that only appropriate people access the equipment
6. manage the hand back of the equipment in line with your organisation’s procedures
7. reinstate equipment without affecting operations
8. maintain appropriate records in line with your organisation’s procedures

**Knowledge and understanding requirements**
**You must know and understand:**

- a. your organisation’s procedures for maintenance
- b. your organisation’s procedures for setting up safe systems of work
- c. your organisation’s procedures for allowing only competent individuals to carry out work
- d. your organisation’s procedures for identifying when work should not be carried out because of the state of the equipment
- e. your organisation’s procedures for taking equipment out of service and restoring to service
- f. your organisation’s procedures for keeping appropriate records on maintenance
National Occupational Standards
For
Rail Operations - Supervisory

Unit 26 - Close and Restore Rail Infrastructure for Operations

What this unit is about

This unit is about closing and restoring the rail network (or parts of it) in a controlled way.

This unit contains one element:
Element 1 - Close and restore rail infrastructure for operations

Who this unit is for

This unit is for people working in a rail industry control room.
# Unit 26 - Close and Restore Rail Infrastructure for Operations

## Element 26.1 – Close and Restore Rail Infrastructure for Operations

### About this element

This element is about taking responsibility for closing infrastructure down for operations and restoring it as a routine. You should be able to control the effective shut down, handover and hand back of the infrastructure you are responsible for. You should know and understand your organisation’s procedures for doing this.

### Performance requirements

**You must be able to:**

1. control the shut down of the infrastructure in line with your organisation's procedures
2. decide on priorities where any disagreements might arise
3. hand over the infrastructure to the appropriate individual in line with your organisation’s procedures
4. maintain the non operational status
5. effect hand back from the appropriate person in line with your organisation’s procedures
6. prioritise the re-opening of the infrastructure to meet your organisation’s needs
7. maintain appropriate records in line with your organisation’s procedures

### Knowledge and understanding requirements

**You must know and understand:**

a. your organisation’s procedures relating to closing and restoring rail infrastructure for operations
b. the planned obligations for hand over
c. your organisation’s procedures for closing down infrastructure
d. your organisation’s procedures for reopening infrastructure
e. the contracts your organisation has with other organisations
f. your organisation’s procedures for recording information on closing and restoring rail infrastructure

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Unit 27 – Supervise Fault Management in Rail Equipment and Systems

What this unit is about

This unit is about making sure equipment is continually available and the various systems that are required to maintain the rail operation remain stable.

This unit contains one element:
Element 1 – Identify and Supervise the Processes for Managing Faults in Systems and Equipment.

Who this unit is for

This unit is for people working in a rail industry control room.
## Unit 27 – Supervise Fault Management in Rail Equipment and Systems

### Element 27.1 – Identify and Supervise Processes for Managing Faults in Systems and Equipment

### About this element

This element is about taking responsibility for monitoring the equipment and systems that are needed to operate your company’s service. You should be able to monitor the equipment and systems, respond to changes in equipment and system performance and make sure action is taken to correct any faults. You must know and understand your organisation’s procedures and also what is expected from the equipment and systems you are responsible for and how to maintain them.

### Performance requirements

**You must be able to:**

1. identify how the equipment you are responsible for normally works
2. identify when changes arise
3. make sure you take action to correct any faults
4. monitor how equipment is returned to normal operation
5. record the event

### Knowledge and understanding requirements

**You must know and understand:**

a. the range of equipment and systems you are responsible for
b. the normal status of the equipment and systems
c. the degrees by which equipment can change and the procedures associated with each change
d. your company procedures for taking action to correct faults
e. your company procedure for recording event
National Occupational Standards
For
Rail Operations - Supervisory

Unit 28 – Supervise Service Provision for Rail Operations

What this unit is about

This unit is about supervising the day to day service provided to meet company obligations and passenger needs

This unit contains one element:
Element 1 – Supervise the Service offered to meet Company Obligations and Passenger Needs

Who this unit is for

This unit is for people working in a rail industry who have day-to-day control over services
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<td><strong>You must be able to:</strong></td>
<td><strong>You must know and understand:</strong></td>
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<tr>
<td>1. monitor the service being provided against your company’s service obligations</td>
<td>a. the service level your company is obliged to provide</td>
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<td>2. respond to changes in service provision and passenger demand in line with your company policy</td>
<td>b. how to monitor the service performance against the agreed service level</td>
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<td>3. use the resources available to you to maintain the service to meet your company’s obligations</td>
<td>c. what your company policy is when the service is disrupted</td>
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<td>4. reform the service as necessary to meet your company’s service obligation</td>
<td>d. how to manipulate signalling systems to manage the service where you have control over the system</td>
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<td>5. make sure information is recorded about service performance and what action was taken and what changes were made</td>
<td>e. how to identify passenger demand and what your company policy is when there is a change in passenger demand.</td>
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<td>f. your company procedures on reforming the service as a direct result of it being disrupted.</td>
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<td>g. the information required about the service provision and how it is recorded</td>
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