



Appendix A – Assessment Specifics

Requesting Evidence ahead of the assessment

It is important to note that as assessors, we should not ask candidates to send us copies of evidence that is used explicitly as part of their role being assessed. For instance, SWP, Possession Pack, WON, WPP, TBS.

There are a few reasons for this. Firstly, it goes against the core principle of remaining impartial during the assessment process, which is a fundamental requirement for assessors. By assessing documentation ahead of the assessment, you are no longer impartial.

Secondly, it can pose a safety risk to the industry. For example, if a COSS does not correctly verify their SWP, and the assessor identifies this issue before the assessment, it could lead to the assessment being cancelled. This could prevent the candidate from receiving a 'not competent' or 'not yet competent' result on-site, as they should be able to identify the requirements and correct the paperwork as needed prior to being on site (which would be when the assessor identifies it)

Lastly, it can create issues with clients if they believe that the assessor should have raised any issues ahead of the assessment. However, this is not the assessor's responsibility, and all assessment requirements can be confirmed verbally by asking questions during the assessment.

Therefore, it is unnecessary to request evidence from candidates, and all requirements can be confirmed during the assessment.



Track Safety Assessments

All Assessments in the Track safety category will have some standard information and rules between them. These will be listed below.

Printing of Track Safety Assessment Tools

All the assessment paperwork will be emailed to staff assured to deliver the event.

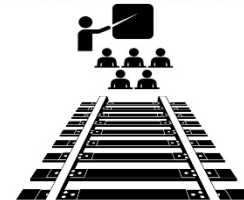
They will be updated at every re-issue, and superseded copies should be archived.

The material used for assessment purposes can either be printed with the first page in colour and the remaining pages in black and white, or alternatively, all the pages can be printed in colour.

The documents can be printed either single-sided or double-sided. All the individual pages of the assessment must be securely fastened by staple or other appropriate means to prevent pages from becoming accidentally detached.

The Assessment Rules

1. Follow the guidance and instructions contained in the assessment tools.
2. The assessor needs to be fully conversant with the assessment material.
3. The assessor's handwriting shall be readable by others.
4. Accurately complete all the sections of the assessment.
5. Assessors must ensure compliance with working hours regulations when undertaking assessments.
6. The assessor must have an SWP (when required) to ensure personal safety or sign in with a COSS/PIC to undertake the assessment.



Preparing for the Assessment

1. The assessment shall be planned so that the Candidates can prepare themselves. This will be at least one working day in advance but ideally as far in advance as possible. Sometimes it will be required to be on the day of the event, this should be avoided where possible.
2. An Assessment Plan shall be formulated and agreed with the candidate prior to the assessment and recorded using the example provided in the assessment material.
3. The Candidate must understand the standard(s) that they are being assessed against.
4. The Assessor shall complete assessment documentation using a BLUE pen.
5. The Candidate's Sentinel Track Safety competencies shall be verified via the Sentinel database before starting the assessment.
6. The Assessor shall comply with the specific assessment criteria listed in the Assessment paperwork.
7. The Candidate can refer to the following reference material during the assessment - Assessor to brief the Candidate at the Planning Meeting:
 - Key Point Booklet
 - A Guide to Personal Track Safety
 - Rule Book Modules/Handbooks

Using the Assessment Material

1. All the sections of the assessment material shall be completed, and the answers given by the candidate are recorded as satisfactory or not satisfactory with additional notes if necessary.
2. Assessors are encouraged to phrase the questions using language familiar to the Candidate rather than quoting them verbatim.
3. All assessments shall be conducted in accordance with Network Rail Standard NR/L2/CTM/021 and other relevant Network Rail Standards by an Assured Assessor.
4. The Assessor shall capture as much observational evidence as available to demonstrate competence and to provide verifiable evidence to show that it was a



genuine occurrence. Assessment notes can be recorded on the documentation as required.

5. If the Assessor cannot witness a particular element, they shall question the candidate to establish their knowledge and record the outcome.
6. If required (due to injury as an example), the assessor can have a college scribe for them. The person who scribes must not hold PTS Certification OR must be assured in the event being written up.

Observing the Candidate

1. During the observational part of the assessment, the Assessor shall maintain a discreet distance from the Candidate and not interfere with any of their site duties or the work in progress.
2. Assessments shall be conducted in a live environment as detailed in the RTAS Rules. (with some exceptions)
3. Where possible, all the observational activities contained in the assessment material should be performed by the Candidate. However, if there was no opportunity to observe the element, you should question the candidate and note the outcome in the documentation.

Questioning the Candidate

1. There are no model answers, as approved Assessors shall have the required occupational competence and experience to adequately answer all questions and create their own questions where required.
2. If the Candidate does not understand a question, the Assessor may rephrase the question.
3. If the Candidate answers a question satisfactorily, the Assessor shall note the question number and indicate that a satisfactory answer was provided. (Tick)
4. If the Candidate answers a question unsatisfactorily, the Assessor shall note the question number, record the answer given by the Candidate, and indicate that an



unsatisfactory answer was provided. This record needs to be as close to word for word-as possible.

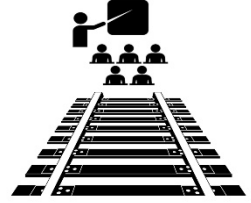
5. If the Candidate does not answer a question correctly, the Assessor can only re-ask the question on one occasion.
6. The Candidate shall not consult with any other persons for the answers to questions during the assessment.
7. Assessors should compile their own questions to ascertain the candidate's underpinning knowledge, where necessary.
8. Diagrams to aid knowledge testing and understanding are to be encouraged.

Knowledge Questions

1. All Supplementary questions/knowledge tests for the relative assessments are in the 'Question Library' and should be used in conjunction with the appropriate assessment packs during the course of the assessment.
2. Assessors shall ask all mandatory questions and a selection of non-mandatory questions from the library covering all the appropriate working conditions relevant to the assessment type. In addition, the Assessor shall create additional questions to cover elements of knowledge not observed. The Question Library gives instructions on how many questions the candidate should answer.
3. The supplementary question sheets/knowledge tests shall be stored with the assessment packs as proof of underpinning knowledge.

At the End of the Assessment

1. The assessment is invalid unless the Assessor and Candidate have signed the Record of Assessment in all the designated places.
2. The assessor shall give the Candidate the assessment decision first and then provide specific feedback on how the Candidate performed during the assessment.
3. The Assessor shall check that the evidence observed is recorded with the completed assessment and uploaded fully to our online storage systems as required.



4. The assessment decision shall be based on the observed evidence and the Candidate's answers to the underpinning knowledge questions. The Assessor has the occupational experience and vocational qualifications to assess the Candidate's ongoing competency. There are no pre-set pass marks, an assessment can only be considered successful if all the safety-critical elements are correctly completed.

Assessment Decision

1. The assessment decision is based on the candidate's ability to prove knowledge and competence through the assessment method. The assessor should make a judgement on the level of competence based on the evidence obtained. All results must be uploaded to the Sentinel Database and the Candidate Sponsor notified as soon as possible. No more than twenty-one days post-event.
2. There are three levels of competence, as described below:
 - Competent: Applies to candidates who have sufficient knowledge, performance and experience to complete the work and are performing to the required standard
 - Not Yet Competent: This applies to candidates who have been previously judged as competent (either entirely or under probationary status), but their performance and/or knowledge during the assessments indicate that they are not currently performing to the required standard. The assessment should be completed in full to develop a meaningful action plan to aid the candidate in regaining the former status. (Unless it would be unsafe to allow the assessment to continue)

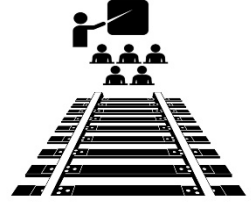
A not-yet-competent decision will result in a candidate being awarded probationary status. (Please note: (P) Probationary status can only be awarded 3 times within any 24-month period. This includes the initial (P) Probationary period awarded at the end of initial training. On completion of the 3rd (P) Probationary status, if a candidate cannot be marked as Competent, then they shall attend full initial training.)



- Not Competent: Has been trained and previously judged as competent, but their performance and/or knowledge indicate that they are currently not performing at the required standard. OR they are under probationary status and are considered unsafe to continue mentoring.

In cases of not yet competent or not competent, an Action Plan must be completed to identify the knowledge and/or skills gap the candidate needs to address. Copies of this must be retained with the original assessment pack and issued to the candidate and their Line Manager.

UNCONTROLLED - RICHARDSON RAIL

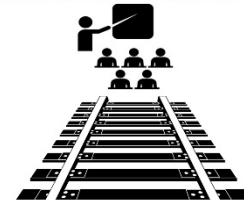


Distribution Electrification

Please note that the candidate must hold certification in electrical first aid for all distribution competencies.

List of assessments and timeframes

Title	Short Code	Live / Simulated	Planned Duration	Notes
Level C: Access & Egress Traction and/or non traction locations	LC DIST	Live	1 Hour	Assessment counts as Recert training and can be done via training courses also
Level D: Receive Safety Documentation	LD DIST	Live	1 Hour	Assessment counts as Recert training and can be done via training courses also
Level A: Isolate Earth and/or Switch and Issue Safety Documentation for Traction Distribution Equipment (AC)	LA DIST AC-i	Live	2 Hour	Assessment counts as Recert training and can be done via training courses also
Level A: Isolate Earth and/or Switch and Issue Safety Documentation for Traction Distribution Equipment (AC+DC)	LA DIST AC+DC-i	Live	2 Hour	Assessment counts as Recert training and can be done via training courses also
Level B: Isolate Earth and/or Switch	LB DIST AC-i	Live	2 Hour	Assessment counts as Recert training and can



Traction Distribution Equipment under direction (AC)				be done via training courses also
Level B: Isolate Earth and/or Switch Traction Distribution Equipment under direction (AC+DC)	LB DIST AC+DC-i	Live	2 Hour	Assessment counts as Recert training and can be done via training courses also

Required Evidence

RTAS Requirements

- Signed booking form (Completed via On-Track)
- Sent Joining instructions (Completed via On-Track)
- Copy of the candidate's sentinel profile (Saved from the sentinel system ahead of the event or screenshots on site ahead of the assessment)
- Evidence of proof of identification (Photo of an acceptable form of ID and/or Sentinel Smart card)
- Record of reason as to why a candidate was turned away from an event (Completed via On-Track)
- Record of the result notification following recording the outcome on sentinel (Screen Shot by the assessor after logging the result) OR (By the assessor re-saving the candidate's sentinel profile after logging the event)
- Evidence of feedback from the event (Completed via On-Track)
- Evidence of a safety briefing being completed and signed by the candidate when an assessment is undertaken on a practical location (Test Track) – (Use our internal form)
- Evidence that, as a minimum, the candidate and the assured member of staff have been Swiped In/Out of the Sentinel Database for the entire duration of the training and/or assessment event.
- Fully and correctly completed assessment materials.



- Records which evidence that the Assured Assessor documents the start and finish times of the assessment.
- Record of the candidate's result, detailing whether 'Competent', 'Not yet competent' or 'Not competent'.
- If required supporting evidence of a trackside event must include the live environment track visit SWP. Where extracts only are achievable for assessments the minimum extracts required are: (i) cover information (ii) SWP Validation Form (iii) entire RT9909 [including General Information]
- As well as at least one of (i) method statements, or (ii) lifting plans, or (iii) records of procurement/invoice for the hire of facilities/on-track plant equipment.

Assessment Requirements – Always

- Verified logbook correctly completed OR printed out / image of the logbook section of the candidate's sentinel profile. Showing 4 x entries from last assessment or recert event.
- Electrical First Aid at work