



## Appendix A – Assessment Specifics

### Requesting Evidence ahead of the assessment

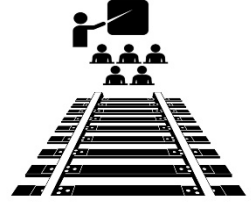
It is important to note that as assessors, we should not ask candidates to send us copies of evidence that is used explicitly as part of their role being assessed. For instance, SWP, Possession Pack, WON, WPP, TBS.

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.

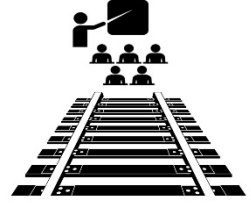
They will be updated at every re-issue, and superseded copies should be archived.

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.

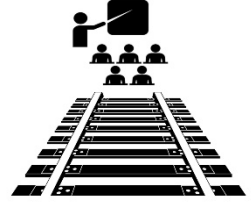
5. If the Assessor cannot witness a particular element, they shall question the candidate to establish their knowledge and record the outcome.
6. If required (due to injury as an example), the assessor can have a college scribe for them. The person who scribes must not hold PTS Certification OR must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

Form Title: Track Safety Assessments Guidance

Form Ref: SOI04

Version: 1.0

Author: Richardson Rail Services Ltd

Created Date: 19/08/2024

Compliance Date: 03/09/2024

Richardson Rail Services Ltd.

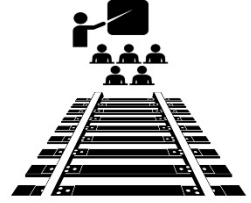
Personal Development Specialist



- 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.

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## Controller of Site Safety (COSS) inc. OLP and CRP.

### Planned Duration

We will allow a timeframe from meeting the candidate on-site to the assessment end of four hours. This timeframe could be longer on site if the assessor feels it is required; likewise, the assessment duration might also decrease.

If the assessment duration is decreased by two or more hours from the planned duration, then in the assessment paperwork, the assessor must write confirming that they feel the duration allowed them to get a complete observation and understanding of the candidate's abilities and competencies and that the duration is representative of the candidate's majority and regular duties in this competence.

### Assessment & Candidate Requirements

To assess this competency, it is necessary to conduct the workplace assessment on Network Rail-owned infrastructure. Please note that this excludes TOC-owned and operated depots or sidings and private-owned depots and sidings – Unless formal dispensation to undertake on a depot or siding has been granted by NSAR.

Furthermore, the assessment must be conducted when a group works on or near the line, as defined in Handbook One. In all other circumstances, the assessment will not be allowed, except when there is foreseeable risk to the line. For instance, changing a station canopy, although the group is not explicitly on or near the line, the work poses a risk to the safety of the line. Therefore, the workgroup should be working with a line blockage or other suitable protection that might justify the need for a COSS. If they are not using any protection methods requiring a COSS (e.g., a SWP stating 3m+, as this is not possible on a station), the assessment will not proceed.



The candidate must hold the COSS/COSS OLP/COSS CRP (in any combination) and valid PTS certification, which must be shown as in-date and valid on the Sentinel database at the start time of the assessment.

Additionally, the candidate must conform to all standards regarding medicals, drugs, and alcohol usage and have a valid Sentinel profile.

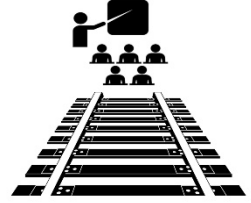
Furthermore, the assessment must be completed in line with any notices and updates sent out by the assurance organisation or Network Rail.

The candidate must bring with them full mandatory PPE as defined in the relevant standards, and they must also bring any additional PPE required for the work their group is undertaking.

#### 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 screenshotted 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



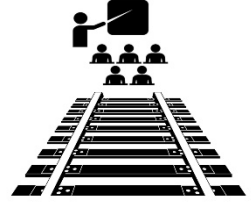
- Evidence that, as a minimum, the candidate and the assured staff member have been Swiped In/Out of the Sentinel Database for the entire training and/or assessment event.
- Fully and correctly completed assessment materials.
- Records of evidence that the Assured Assessor documents the start and finish times of the assessment.
- Record of the candidate's result, detailing whether 'Competent', 'Not yet competent' or 'Not competent'.
- 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 the last assessment or recent event.
- A valid and authentic SWP, images or paper copies of the completed assessment.
- Other relevant job information examples include but are not limited to Sectional app, Line diagrams, WPP, TBS, and Permits.
- Good quality images of the site, job and or tasks relating to the COSS working group relevant to the assessment.

#### *Assessment Requirements – As applicable*

- Line blockage procedure appendix (If a candidate is taking a line block)



### COSS Plus One and Low-Level Work Assessments

Richardson Rail has received an update from Network Rail regarding the COSS Plus one assessment. It has come to light that these assessments were used to obtain an easy and non-representative COSS assessment for the candidate, which may not have been the best time for them.

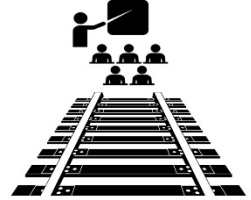
As a result of this update, Richardson Rail has taken steps to combat fabricated assessments, ensuring that assessments fully represent the candidates' abilities in line with their COSS competencies. This has been done by following additional guidance notices, communicating with the assurance organisation, and holding internal meetings.

Richardson Rail will not undertake an assessment where the group consists of COSS Plus one other unless it is AP, NP or S&T Duties OR a formal dispensation is requested and approved. Even in such cases, the company and by extension, the assessor must undertake checks to prove that the assessment is representative of the candidate's competency usage or their typical workload.

This scope also applies to non-intrusive works (referred to as Low-Level jobs henceforth), which could carry the risk of being fabricated for the assessment. Sometimes, these two types of assessment and the associated risks will overlap and should be assessed for each risk.

#### *Operationally Normal Examples (Non-Exhaustive)*

- DC Isolations Level B Strapping
- DC Isolations Level B Switching
- AC Isolations OLE AP Strapping
- Detailed Structure Examinations Inc. Bridges etc. (Detailed means close-up inspections with tools. Just taking photos and observing is not suitable)
- Pre-scoping surveys (If supporting WPP and TBS is available only)
- Machine or Crane Controller



### *Roles We Do Not Consider Operationally Normal / Bad Practise (Non-Exhaustive)*

- When undertaking duties defined as acting as a competent person, as these works only require IWA, they then pose the question of why a COSS is undertaking them. Some examples are placing Detonators for a PC or COSS, Placing TCODS and Keying a Signal.
- Level Crossing attendant
- Points operator
- Placing WSMBs for an ES (Unless project dispensation is granted)
- Letting a train into a worksite for an ES
- Letting a train into possessions for a PICOP
- Visual or Basic Visual examinations. (Any examination not supported by WPP / TBS identifying the required tools and equipment that is to be used)
- Any work where the amount of people has been increased from what would be normal, just to get a WPA done

### *Getting COSS Plus One Assessment Approved*

Please note the following: If a company is involved in work that is bad practice according to our list, NWR's list, or our list of non-operationally standard roles, we will not assess it (excluding MC/CC as applicable).

However, if this work is the operational norm for the client's company, we can consider approving these job roles. This must be done by Richardson Rails' training manager receiving a letter (or email) from someone in a senior position within the client company's operational works hierarchy. The letter should detail why they want us to grant dispensation for these works, confirm that the works are operationally normal for the company, explain how the COSS Assessment will still accurately portray the candidate's ability as a COSS and in the



capacity that the candidate could use the competence in, and confirm if there are any contractual agreements for this work type to be done as COSS Plus one.

Only after the training manager has reviewed and agreed with this letter will a dispensation request be sent into NSAR for their approval.

After approval in each instance of an assessment being undertaken, the assessor must follow the flowchart below and be able to obtain confirmation and email evidence for retention.

Please note that dispensation requests are not generic. As such if you have been granted a dispensation on the work being assessed, but this was via a different provider, we cannot accept it.

Please leave at least ten working days' notice for dispensation approval, as it must go to NSAR.

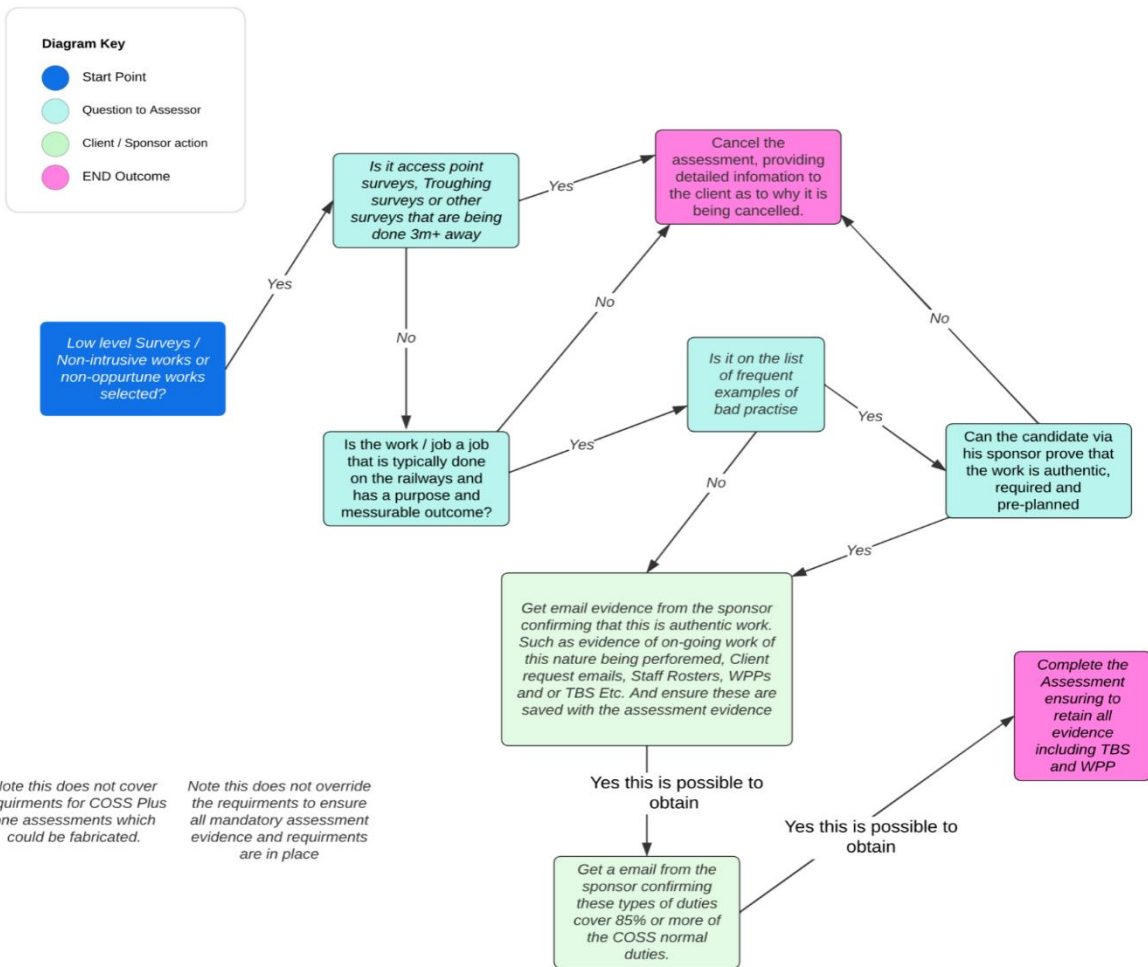
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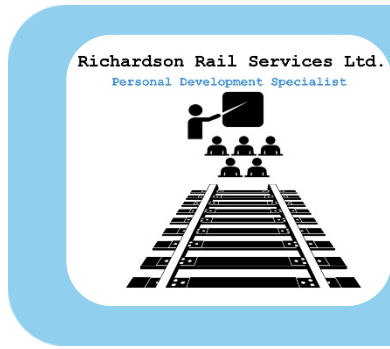


Low-Level Work Guidance Flow Chart (To be done in all cases even with dispensation)

Low Level COSS Job ASSESSMENT

Rhys Richardson, NEBOSH, GradIOSH, PWI, IRSE | June 28, 2023

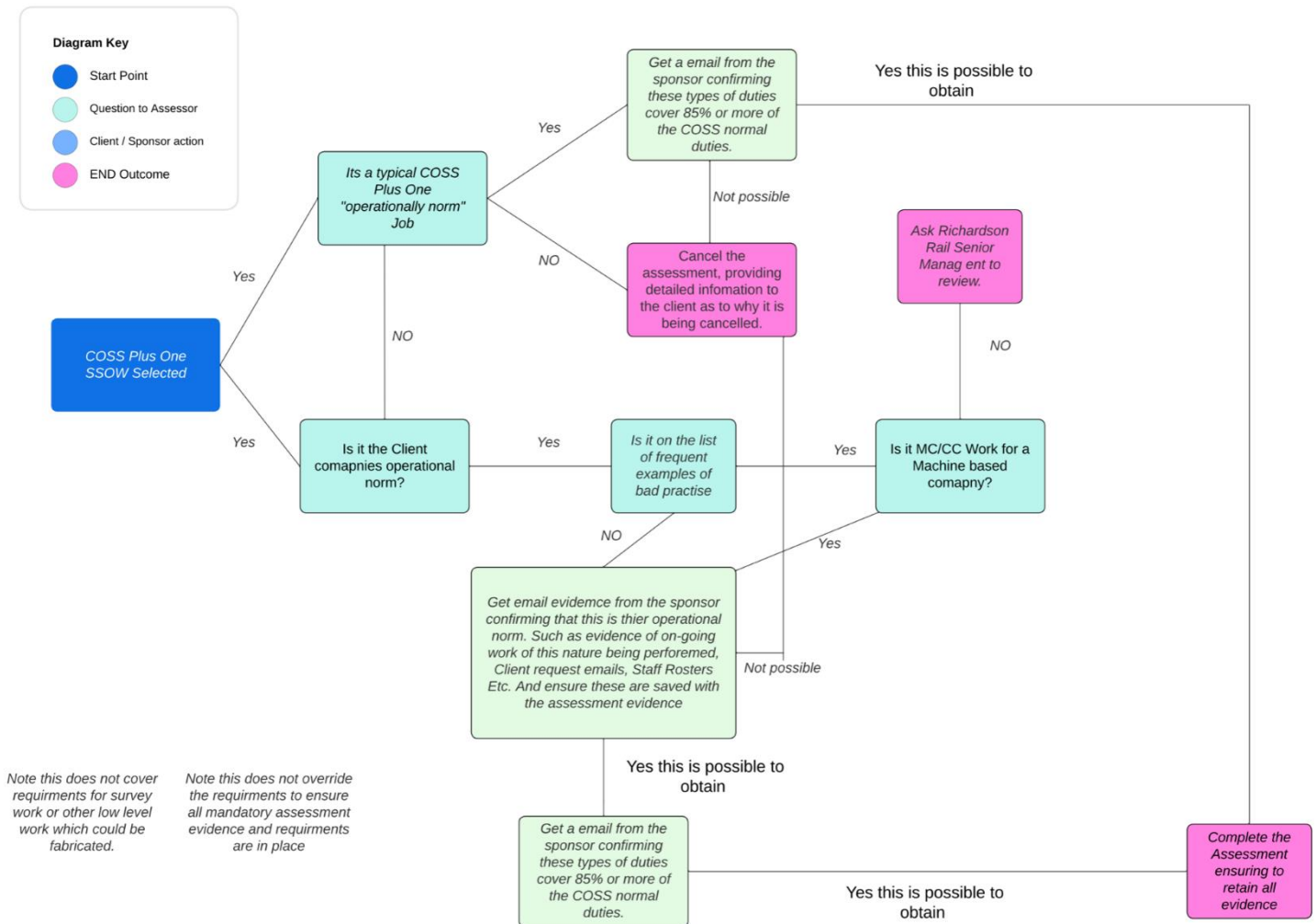


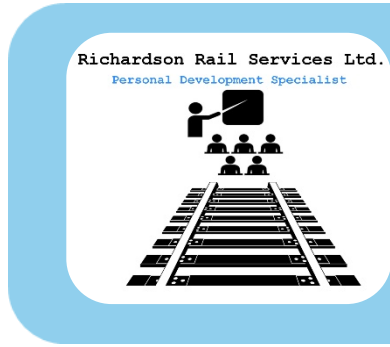


## COSS Plus One Guidance Flowchart (To be done in all cases even with dispensation)

### COSS PLUS ONE ASSESSMENT

Rhys Richardson, NEBOSH, GradIOSH, PWI, IRSE | June 28, 2023





Example of a Correct Logbook

This work experience book is a record of your experience when undertaking any one of the UKTB/WI/WA/COSSPC duties. It is used for mentoring and assessment purposes and to prove your experience of completing the duties under live conditions. It also includes space at the back to note any difficulties you have with safe systems involved with any of the competence listed above.

It is important that you meet the requirements within the stated time limits or your competence will be suspended. If your competence is suspended you will have to undertake initial training.

Keep your work experience book with you when on site and take it on your next recertification course or annual review.

**\* Please note that the relevant review, assessment and recertification process or annual review process shall be followed as mandated in NR/L2/CTM/011**

**Your Details**

Name: Candidates Name

Employer: \_\_\_\_\_

Track Safety Card Number: Candidate NO

Trainer's endorsement

Course: \_\_\_\_\_

Comment by the trainer

Can be completed or State "Replacement" or similar.

Venue	Passed	
	Yes	No

Name of trainer: \_\_\_\_\_

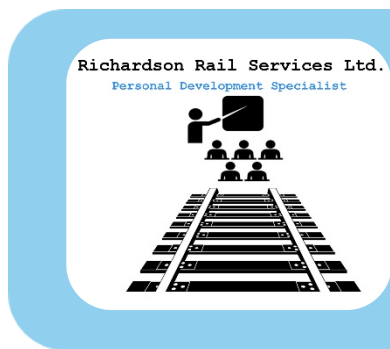
Track Safety Card Number (1st 6 digits): \_\_\_\_\_

Company Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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**Mentor Endorsement (COSS / PC only)**

The holder of the work book is now ready for their post-mentoring core COSS Assessment

Name of Mentor:  
Company:  
Signature:  
Date:

*MUST BE COMPLETELY BY SOMEONE IF IT IS A (P) ASSESSMENT*

The holder of the work book is now ready for their post-mentoring core PC Assessment

Name of Mentor:  
Company:  
Signature:  
Date:

*AS ABOVE.*

*After last Ass / Recerb*

Record your work experience entries here

Date:  LRT/SW  IWA  COSS  PC

Location of Work: *Brighton etc P-way etc* Type of Work:

Tick the method used to block the line (if any)

T4  RETB  Line Blockage

Possession \*With ES authority  Possession \*With PICOP authority  Possession \*Without PICOP authority *- Mit Aptic*

Tick the safe system used

Safeguarded  Fenced  Site Warden warning

ATWS  TOWS  LOWS

Unassisted Lookouts  COSS Name: *Candidates Name.*

Was system pre-planned?  Yes  No

Line Blockage Authority No: *17702116*

Possession WON No: *^*

Engineering Ref No: *^*

Supervisor/Mentor

Please give an indication of how the candidate has performed

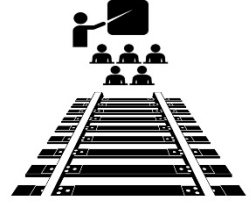
	Poor		Excellent		
Quality:	1	2	3	4	5
Behaviour:	1	2	3	4	5

Name: *MR. Manager*

Signature: *[Signature]*

Date: *on or after date above.*

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## COSS Assessment Location Confirmation

After discussions with NSAR, we have received confirmation that COSS Assessments and Network Rail's interpretation of the term 'operational infrastructure' encompasses all lines open to regular train or freight movements. This excludes unused or uncommission lines and construction sites. Moreover, it does not include sidings or depot lines (SoD).

It's important to note that assessments may still apply to lines adjacent to mainlines and may include some siding lines, but a full assessment should not be conducted exclusively on SoD lines.

Therefore, when discussing the pre-assessment plan with candidates, it is crucial to ensure that their work is on a main line, indicated by a solid black line on the sectional appendix (refer to Figure one). We should not receive documents to verify this; COSS candidates are expected to understand signal, track, and sectional appendix diagrams to verify this information independently.

If, upon arrival, the assessment location proves unsuitable, the assessment must not commence, if it did the assessment would be deemed invalid.

Additionally, assessments cannot be conducted on construction sites where the line is not considered to be in operation (distinct from worksites or possessions). This guidance is derived from NSAR's examples provided in their communications.

*"I have had a similar situation recently where an individual had a COSS Workplace Assessment undertaken on a construction project that was almost ready for handover, all of the infrastructure and paperwork was present and correct but the line was not operational and was only open to engineering train movements.*

Form Title: Track Safety Assessments Guidance

Form Ref: SOI04

Version: 1.0

Author: Richardson Rail Services Ltd

Created Date: 19/08/2024

Compliance Date: 03/09/2024



*The Training Provider in question contacted me after conducting the assessment to ask whether it was valid. Network Rail's Technical Authority and Competence Owner deemed that the assessment was NOT valid and that the individual in question should be re-assessed on operational infrastructure at the earliest opportunity."*

-NSAR Internal Compliance & Delivery Manager

Please note that any assessment being cancelled due to these arrangements would still be chargeable to the client as they are expected to know the requirements of the assessment from the JI's and readily available requirements in our terms and website.

Please also let us know ASAP if you hear of other providers completing assessments on Siding or depot lines so we can inform them of the requirements.

A dispensation request for on-going siding or depot COSS assessments to be undertaken can be made, please see the COSS Plus one guidance area for how to do this.

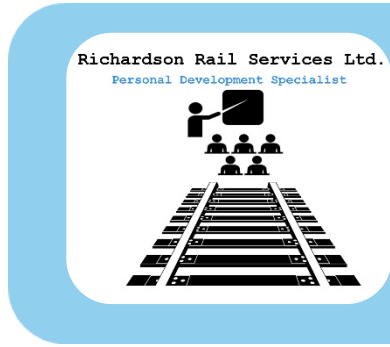
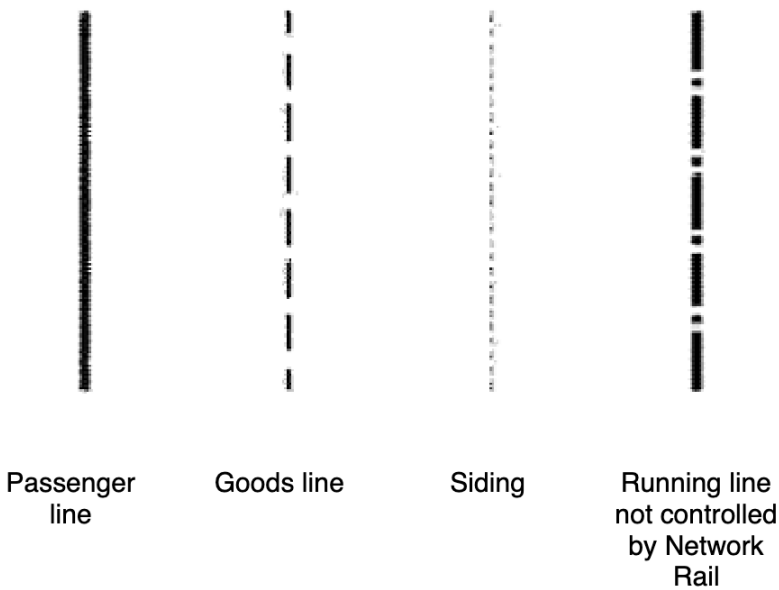
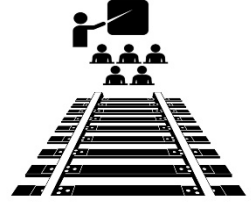


Figure One – Sectional appendix key sample



The only time deviation from the above can be done, is when NSAR have explicitly given written formal dispensation.

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## Individual Working Alone (IWA)

### Planned Duration

We will allow a timeframe from meeting the candidate on-site to the assessment end of four hours. This timeframe could be longer on site if the assessor feels it is required; likewise, the assessment duration might also decrease.

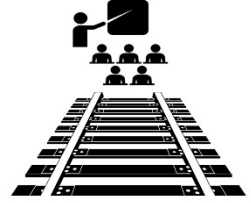
If the assessment duration is decreased by two or more hours from the planned duration, then in the assessment paperwork, the assessor must write confirming that they feel the duration allowed them to get a complete observation and understanding of the candidate's abilities and competencies and that the duration is representative of the candidate's majority and regular duties in this competence.

### Assessment & Candidate Requirements

To assess this competency, it is necessary to conduct the workplace assessment on Network Rail-owned infrastructure. Please note that this excludes TOC-owned and operated depots or sidings and private-owned depots and sidings. (Unless a valid dispensation request is present)

Furthermore, the assessment must be carried out when a candidate is undertaking the role of IWA and conducting work with an adequate SSOW within 3m of the nearest open line.

The client will be responsible for ensuring that a SWP is provided to our assessors in line with the relevant standards or where our assessor is non-operational the client must provide a COSS to be at site for the purpose of taking the assessor on or near the line.



The candidate must hold the IWA and PTS competencies, which must be shown as up-to-date and valid on the Sentinel database at the start of the assessment. Please note that if the candidate also holds COSS in any combination, they should not be undertaking an IWA assessment and should be undertaking a COSS Assessment.

Additionally, the candidate must conform to all standards regarding medicals, drugs, and alcohol usage and have a valid Sentinel profile.

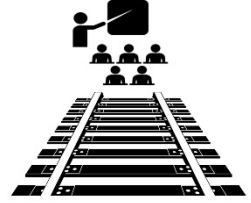
Furthermore, the assessment must be completed in line with any notices and updates sent out by the assurance organisation or Network Rail.

The candidate must bring with them full mandatory PPE as defined in the relevant standards and they must also bring any additional PPE required for the work being undertaken.

#### 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 that, as a minimum, the candidate and the assured staff member 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.
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- 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*

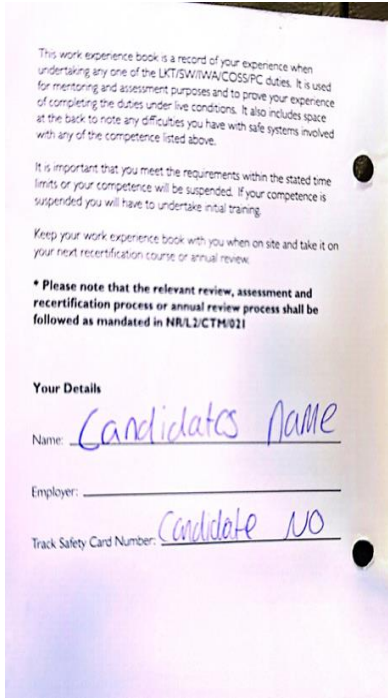
- Verified logbook correctly completed OR printed out / image of the logbook section of the candidate's sentinel profile. Showing 4 x entries from the last assessment or recent event.
- A valid and authentic SWP, images or paper copies of the completed SWP.
- Other relevant job information examples include but are not limited to sectional apps, line diagrams, WPP, TBS, and permits.
- Good quality images of the site, job and/or tasks relating to the work are relevant to the assessment.

#### *Assessment Requirements – As Applicable*

- Line blockage procedure appendix (If a candidate is taking a line block)



Example of a Correct Logbook  
NOTE – IWA not COSS to be ticked.



Trainer's endorsement

Course: \_\_\_\_\_

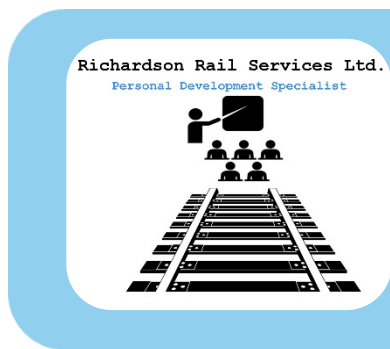
Comment by the trainer

Can be completed or State "Replacement" or similar.

Venue	Passed	
	Yes	No

Name of trainer:  
Track Safety Card Number (1st 6 digits):  
Company Name:  
Signature:  
Date:

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**Mentor Endorsement (COSS / PC only)**

The holder of the work book is now ready for their post-mentoring core COSS Assessment

Name of Mentor:  
Company:  
Signature:  
Date:

*MUST BE COMPLETELY BY SOMEONE IF IT IS A (P) ASSESSMENT*

The holder of the work book is now ready for their post-mentoring core PC Assessment

Name of Mentor:  
Company:  
Signature:  
Date:

*AS ABOVE.*

*After last Ass / Recerb*

Record your work experience entries here

Date:  LRT/SW  IWA  COSS  PC

Location of Work: *Brighton etc P-way etc* Type of Work:

Tick the method used to block the line (if any)

T4  RETB  Line Blockage

Possession \*With ES authority  Possession \*With PICOP authority  Possession \*Without PICOP authority *- Mit Apply*

Tick the safe system used

Safeguarded  Fenced  Site Warden warning

ATWS  TOWS  LOWS

Unassisted Lookouts  COSS Name: *Candidates Name.*

Was system pre-planned?  Yes  No

Line Blockage Authority No: *17702116*

Possession WON No: *^*

Engineering Ref No: *^*

Supervisor/Mentor

Please give an indication of how the candidate has performed

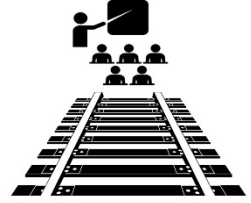
	Poor			Excellent	
Quality:	1	2	3	4	5
Behaviour:	1	2	3	4	5

Name: *MR. Manager*

Signature: *[Signature]*

Date: *on or after date above.*

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## Protection Controller (PC)

### Planned Duration

The PC Assessment can be done in two ways, these will be referred to as Option One and Option Two.

Option One is conducted by directly observing the candidate's duties as a PC during a planned line blockage.

Option Two is conducted via simulation/scenario and can be conducted alongside a COSS Assessment or at an office, etc.

As such, the required timeframes we will allow from meeting the candidate on-site to the assessment end will differ based on the requirements.

Option One: We plan for Four hours.

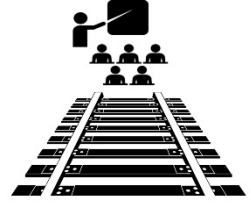
Option Two: We plan for One and a half hours.

This timeframe could be longer on site if the assessor feels it is required; likewise, the assessment duration might also decrease.

If the assessment duration is decreased by two or more hours from the planned duration, then in the assessment paperwork, the assessor must write confirming that they feel the duration allowed them to get a complete observation and understanding of the candidate's abilities and competencies and that the duration is representative of the candidate's majority and regular duties in this competence.

### Assessment & Candidate Requirements

To assess this competency under option one, it is necessary to conduct the workplace assessment on Network Rail-owned infrastructure. Please note that this excludes TOC-owned and operated depots or sidings and private-owned depots and sidings.



The candidate must hold the PTS, COSS and PC competence, which must be shown as in-date and valid on the Sentinel database at the start time of the assessment.

Additionally, the candidate must conform to all standards regarding medicals, drugs, and alcohol usage and have a valid Sentinel profile.

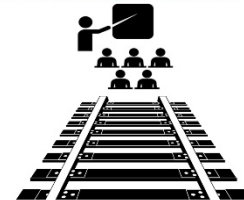
Furthermore, the assessment must be completed in line with any notices and updates sent out by the assurance organisation or Network Rail.

The candidate must bring with them full mandatory PPE as defined in the relevant standards, and they must also bring any additional PPE required for the work being undertaken.

#### 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)



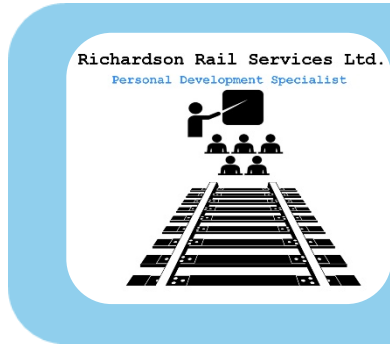
- Evidence that, as a minimum, the candidate and the assured staff member have been Swiped In/Out of the Sentinel Database for the entire duration of the training and/or assessment event.
- Fully and correctly completed assessment materials.
- Records evidence that the Assured Assessor documents the start and finish times of the assessment.
- Record of the candidate's result, detailing whether 'Competent', 'Not yet competent' or 'Not competent'.
- 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 – Option One*

- Verified logbook correctly completed OR printed out / image of the logbook section of the candidate's sentinel profile. Showing 2 x entries from the last assessment or recent event.
- Completed RT3180.
- Any other relevant information provided to the candidate from their sponsor (GZAC or WON as examples)
- Images showing the candidate and site relevant to the work and assessment.

#### *Assessment Requirements – Option Two*

- Verified logbook correctly completed OR printed out / image of the logbook section of the candidate's sentinel profile. Showing 2 x entries from the last assessment or recent event.



- Completed RT3180.
- Print out the scenario used.

Example Correct Logbook

NOTE – PC, not COSS to be ticked.

This work experience book is a record of your experience when undertaking any one of the LKT/SWI/WA/COSS/PC duties. It is used for mentoring and assessment purposes and to prove your experience of completing the duties under live conditions. It also includes space at the back to note any difficulties you have with safe systems involved with any of the competence listed above.

It is important that you meet the requirements within the stated time limits or your competence will be suspended. If your competence is suspended you will have to undertake initial training.

Keep your work experience book with you when on site and take it on your next recertification course or annual review.

\* Please note that the relevant review, assessment and recertification process or annual review process shall be followed as mandated in NR/L2/CTM021

Your Details  
Name: Candidates Name  
Employer: \_\_\_\_\_  
Track Safety Card Number: Candidate NO

Trainer's endorsement

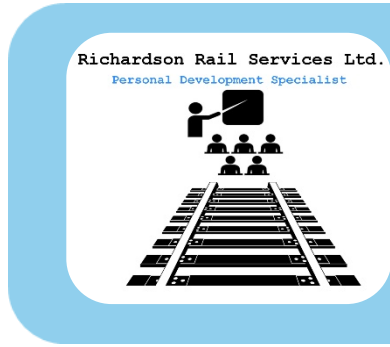
Course: \_\_\_\_\_

Comment by the trainer

Can Be Completed or State "Replacement" or similar.

Venue	Passed
	Yes No

Name of trainer:  
Track Safety Card Number (1st 6 digits):  
Company Name:  
Signature:  
Date:



**Mentor Endorsement (COSS / PC only)**

The holder of the work book is now ready for their post-mentoring core COSS Assessment

Name of Mentor:  
Company:  
Signature:  
Date:

*MUST BE COMPLETELY BY SOMEONE IF IT IS A (P) ASSESSMENT*

The holder of the work book is now ready for their post-mentoring core PC Assessment

Name of Mentor:  
Company:  
Signature:  
Date:

*AS ABOVE.*

*After last Ass / Recerb*

Record your work experience entries here

Date:  LRT/SW  IWA  COSS  PC

Location of Work: *Brighton etc P-way etc* Type of Work:

Tick the method used to block the line (if any)

T4  RETB  Line Blockage

Possession \*With ES authority  Possession \*With PICOP authority  Possession \*Without PICOP authority *- Mit Aptic*

Tick the safe system used

Safeguarded  Fenced  Site Warden warning

ATWS  TOWS  LOWS

Unassisted Lookouts  COSS Name: *Candidates Name.*

Was system pre-planned?  Yes  No

Line Blockage Authority No: *17702116*

Possession WON No: *^*

Engineering Ref No: *^*

Supervisor/Mentor

Please give an indication of how the candidate has performed

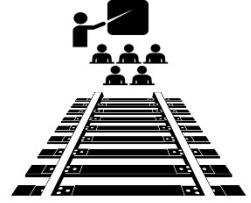
	Poor			Excellent	
Quality:	1	2	3	4	5
Behaviour:	1	2	3	4	5

Name: *MR. Manager*

Signature: *[Signature]*

Date: *on or after date above.*

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## Engineering Supervisor (ES)

### Planned Duration

We will allow a timeframe from meeting the candidate on-site to the assessment end of four hours. This timeframe could be longer on site if the assessor feels it is required; likewise, the assessment duration might also decrease.

If the assessment duration is decreased by two or more hours from the planned duration, then in the assessment paperwork, the assessor must write confirming that they feel the duration allowed them to get a complete observation and understanding of the candidate's abilities and competencies and that the duration is representative of the candidate's majority and regular duties in this competence.

### Assessment & Candidate Requirements

To assess this competency, it is necessary to conduct the workplace assessment when the worksite is being set up on Network Rail-owned infrastructure. Please note that this excludes TOC-owned and operated depots or sidings and private-owned depots and sidings.

Furthermore, the assessment must be carried out when a worksite is being erected (Set-up) or when a worksite is being dismantled (Taken down) In all other circumstances, the assessment will not be allowed, as an example, watching the candidate take over a worksite from another ES.

The candidate must hold PTS and either full COSS or IWA competencies to maintain and use their ES competency, and this must be shown as up-to-date and valid on the Sentinel database at the start of the assessment.

Additionally, the candidate must conform to all standards regarding medicals, drugs, and alcohol usage and have a valid Sentinel profile.



Furthermore, the assessment must be completed in line with any notices and updates sent out by the assurance organisation or Network Rail.

The candidate must bring with them full mandatory PPE as defined in the relevant standards, and they must also bring any additional PPE required for the work their group is undertaking.

#### 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 screenshotted 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 that, as a minimum, the candidate and the assured staff member have been Swiped In/Out of the Sentinel Database for the entire training and/or assessment event.
- Fully and correctly completed assessment materials.
- Record 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'.
- 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 the last assessment or recertification event.
- Good quality images of the site, job and or tasks relating to the candidate's work relevant to the assessment.
- Completed RT3199 certificate.

#### *Assessment Requirements – As Applicable*

- A valid and authentic SWP, images or paper copies of the completed pack if the candidate must go on or near the line while undertaking their duties.

#### *Possession Packs*

It is advisable to have images or copies of the supporting documents like WON, Possession pack, etc. However, it is not mandatory per the assessment documentation and confirmation from NSAR.

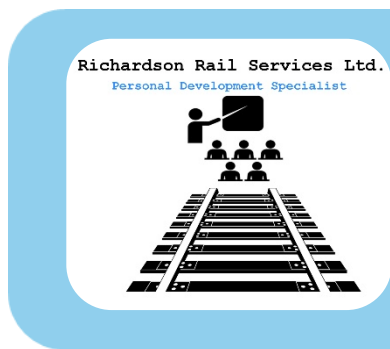
While checking the possession packs on-site, having the candidate's name in the possession pack is unnecessary for Interim or post-mentoring. Though it is preferable as it authenticates the candidate's shift, the ODM and/or PICOP may allow the candidate to act as the



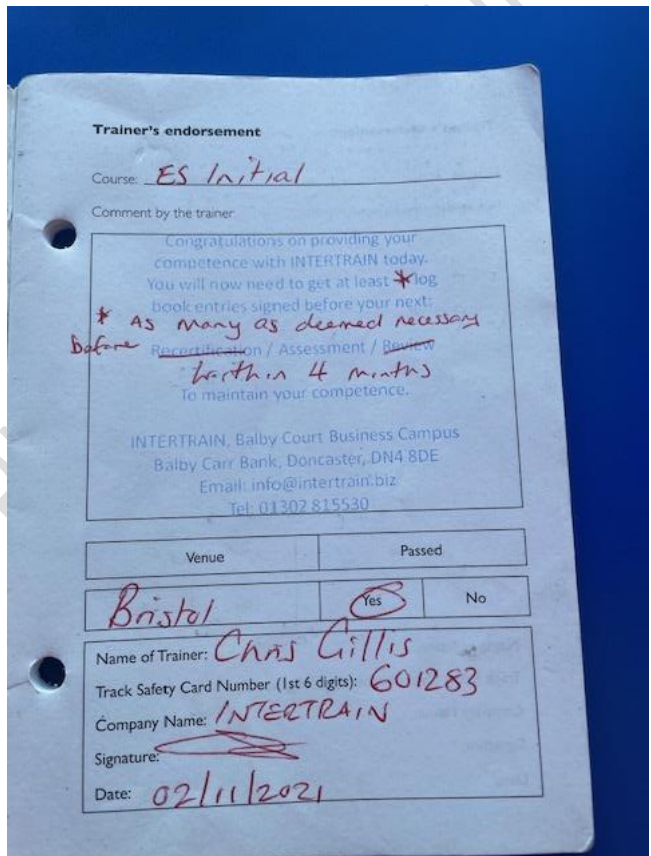
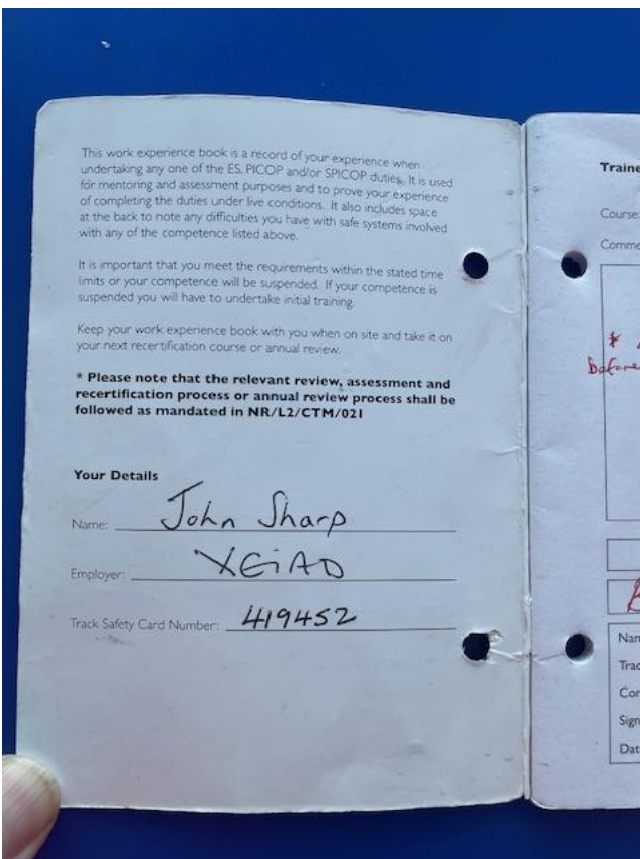
Engineering Supervisor, provided they receive a briefing on the possession arrangements from the PICOP there is no reason this then would not be considered authentic there is no written requirement detailing this must be done a shift in advanced unlike that of a COSS with a SWP and changes can happen on the night.

Despite not having the candidate's name in the possession pack, all the requirements for confirming occupational competence will still be observable, and if anything, more elements is being observed if you are witnessing the Possession meeting briefing as well as the possession/worksite set-up also.

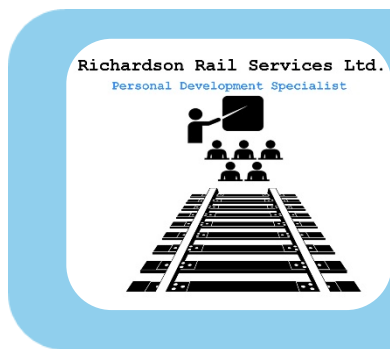
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Example of a Correct Logbook



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Record your work experience entries here

Date: 12/2/23 ES  PICOP  SPICOP

Location of Possession: Bourne End

Train Movements: Yes  No

Was system pre-planned: Yes  No

If No insert detail (i.e. possession for broken rail)

Detail change to planned arrangement (i.e. possession limits, worksite)

Possession WON No: 41

Engineering Ref No: MWSB

Supervisor/Mentor

Please give an indication of how the candidate has performed

	Poor			Excellent	
Quality:	1	2	3	4	5
Behaviour:	1	2	3	4	5

Name: Grant Lane

Signature: [Signature]

Date: 12-2-2023

Line Manager - Work Experience Review

Date: 29th Nov-Dec 2021  
Name: Simon Derrick Woods  
Position: MANAGER  
Signature: [Signature]

Date: 14th JANUARY 2022  
Name: Simon Derrick Woods  
Position: MANAGER  
Signature: [Signature]

Date: 01st August 2023  
Name: SIMON DERRICK WOODS  
Position: MANAGER  
Signature: [Signature]

Date:  
Name:  
Position:  
Signature:

Date:  
Name:  
Position:  
Signature:



## Safe System of Work Planner (SSOWP)

### Planned Duration

We will allow two and a half hours from meeting the candidate to the assessment end. This timeframe could be longer if the assessor feels it is required; likewise, the assessment duration might also decrease.

If the assessment duration is decreased by two or more hours from the planned duration, then in the assessment paperwork, the assessor must write confirming that they feel the duration allowed them to get a full observation and understanding of the candidate's abilities and competencies and that the duration is representative of the candidate's majority and regular duties in this competence.

### Assessment & Candidate Requirements

To assess this competency, it can be done when on site, at a remote location, at our offices or at the client's offices if the candidate has access to the system or software that they use to create and plan SWPs.

The candidate must hold the SSOWP competence, which must be shown as up-to-date and valid on the Sentinel database at the start of the assessment.

Additionally, the candidate must conform to all standards regarding medicals, drugs, and alcohol usage and have a valid Sentinel profile.

Furthermore, the assessment must be completed in line with any notices and updates sent out by the assurance organisation or Network Rail.



If the assessment is being done at a location that requires it, the candidate must bring full mandatory PPE as per the site requirements.

### 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 that, as a minimum, the candidate and the assured staff member have been Swiped In/Out of the Sentinel Database for the entire training and/or assessment event.
- Fully and correctly completed assessment materials.
- Records 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'.

Form Title: Track Safety Assessments Guidance

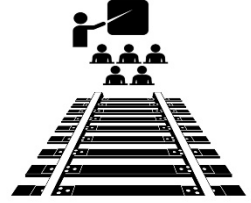
Form Ref: SOI04

Version: 1.0

Author: Richardson Rail Services Ltd

Created Date: 19/08/2024

Compliance Date: 03/09/2024



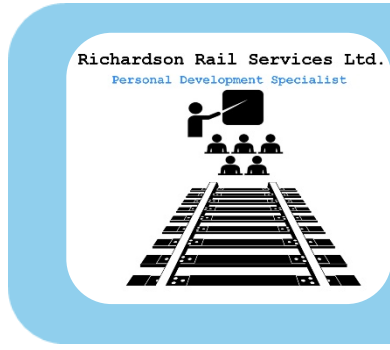
### Assessment Requirements – Always

- Verified and correctly completed experience sheet. Showing 4 x SWPs created after the last assessment or recertification event.
- If Interim (9-15month) assessment - verified and correctly completed experience sheet or Sentinel Logbook entries showing the required track visits (Two).
- A Fully completed SWP (Completed at the time of the assessment).
- SWP Reference numbers and dates of four previously completed SWPs – If possible, take images of the cover pages of these.

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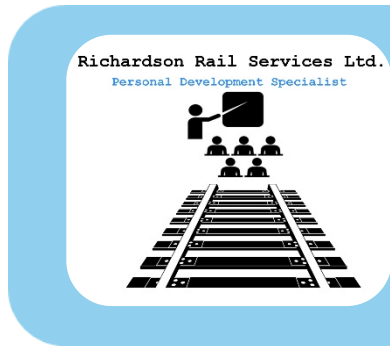


Form Title: Track Safety Assessments Guidance  
 Form Ref: SOI04  
 Version: 1.0  
 Author: Richardson Rail Services Ltd  
 Created Date: 19/08/2024  
 Compliance Date: 03/09/2024



Example Correct Log Sheets

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### Safe System of Work Planner – Work Experience Sheets

These work experience sheets are to record of your experience when undertaking Safe System of Work (SSOW) Planner duties.

They are used for action learning assessment purposes and to prove your experience of completing the duties under live conditions.

Keep these sheets safe and take them to your next recertification course, action learning assessment or annual review.

**Note that the relevant review, assessment and recertification process or annual review process shall be followed as mandated in NRL2/CTM/209.**

**Candidate's Details**

Name:  Rhys Richardson  Employer:  Richardson Rail Services limited

Track Safety Card Number: 

1063	143				
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**Trainer's/ Assessor's Endorsement**

Course/Assessment: \_\_\_\_\_

Venue	Passed
	Yes No

Name of Trainer/Assessor: \_\_\_\_\_

RTAS Number: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Work Experience Entries** The Endorsement section might not be completed, this is fine as this might have been issued as a replacement

Date SWP requested:  1-1-23  SWP Unique No.  XXX

Requested by:  Responsible Manager  Date pack returned by COSS/IWA:  6-1-23

Date \_\_\_\_\_ of \_\_\_\_\_ Task/Job:  4-1-23  Comments by Mentor/Supervisor

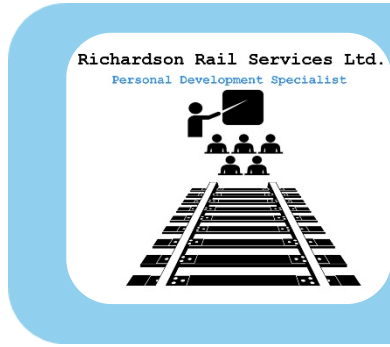
Task/Job:  Civils work

Location of Site of Work:  Chichester

Hierarchy chosen:  Fenced

Give an indication of how the candidate has performed				
Poor				Excellent
1	2	3	4	5
Name: <u> Mr Example </u>				
Signature: <u> signed. </u>				

1



Track Side Visits – Familiarity with the geographical area and railway environment		
<b>1</b>		<b>2</b>
Track	Visit	Horsham Location: _____
Activity	undertaken/	Civils observed Mr C Coss
Name	of	COSS: _____
Date:	dated after last event	Time: 22:20
Track	Visit	Brighton Location: _____
Activity	undertaken/	Signalling observed
Name	of	Miss C Coss COSS: _____
Date:	dated after last event	Time: 09:00

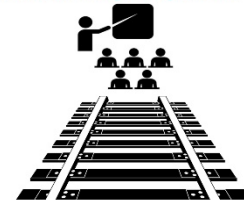
**Line Manager's Review**

I have reviewed the entries contained within these work experience sheets until the date shown below and I confirm they are authentic.

I also confirm that there have been no incidents, or accidents as a result of the candidate completing the duties of a SOW Planner.

Name:	Mr Manangger
Signature:	Signed
Job Title:	Lord of Managment
Date:	After the latest date on the exp sheet.

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## Undertake Possession Support Duties within a Possession

### Planned Duration

We will allow a timeframe from meeting the candidate on-site to the assessment end of Two and a Half hours. This timeframe could be longer on site if the assessor feels it is required; likewise, the assessment duration might also decrease.

If the assessment duration is decreased by two or more hours from the planned duration, then in the assessment paperwork, the assessor must write confirming that they feel the duration allowed them to get a full observation and understanding of the candidate's abilities and competencies and that the duration is representative of the candidate's majority and regular duties in this competence.

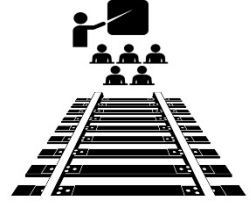
### Assessment & Candidate Requirements

To assess this competency, it is necessary to conduct the workplace assessment on Network Rail-owned infrastructure. Please note that this excludes TOC-owned and operated depots or sidings and private-owned depots and sidings.

Furthermore, the assessment must be carried out when the candidate is assisting either an ES or PICOP in possession support related duties. This could be erecting PLBs for the PICOP, erecting WSMBs for the ES, Keying signals, Clipping points, etc. In all other circumstances, the assessment will not be allowed.

The assessor must question the candidate on the other PS duties not observed.

The candidate must hold PTS and possession support competence as well as a full COSS or IWA competence (Without restriction), which must be shown as in-date and valid on the Sentinel database at the start time of the assessment.



Additionally, the candidate must conform to all standards regarding medicals, drugs, and alcohol usage and have a valid Sentinel profile.

Furthermore, the assessment must be completed in line with any notices and updates sent out by the assurance organisation or Network Rail.

The candidate must bring with them full mandatory PPE as defined in the relevant standards, and they must also bring any additional PPE required for the work.

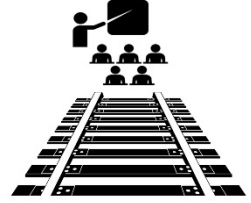
The candidate must also bring or have access to all required equipment, and all equipment must be in working condition.

If the candidate is an IWA and is not able to sign the assessor in as a COSS, then the client will be responsible for providing the assessor with a SWP.

## Required Evidence

### RTAS Requirements

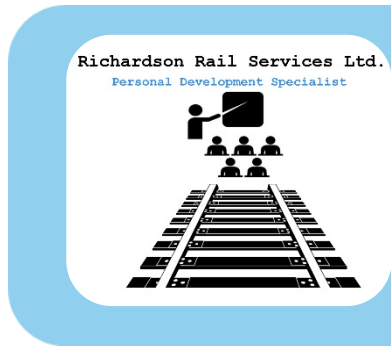
- Signed booking form (Completed via On-Track)
- Sent Joining instructions (Completed via On-Track)
- Copy of the candidate's sentinel profile (Saved from the sentinel system ahead of the event or screenshotted on site ahead of the assessment)
- Evidence of proof of identification (Photo of an acceptable 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 that, as a minimum, the candidate and the assured staff member have been Swiped In/Out of the Sentinel Database for the entire training and/or assessment event.
- Fully and correctly completed assessment materials.
- Record 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'.
- 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 3 x entries every year from the last assessment or recertification (Assessment) event until the current event.
- Good quality images of the site, job and or tasks relating to the candidate's work relevant to the assessment.
- A valid and authentic SWP, images or paper copies of the completed pack if the candidate must go on or near the line while undertaking their duties.



Assessment Requirements – As applicable

- Other relevant job information examples include but are not limited to sectional apps, line diagrams, WPP, TBS, WON.

Route to competence flowchart

