ATOC

Association of Train Operating Companies

ATOC Good Practice Guide - Controller Recruitment, Training & Competence, Version 2

Synopsis

This guide provides advice on how to ensure that the competence of those undertaking tasks within Control Centres is managed effectively.

This document is the result of a review of the original ATOC Good Practice Guide 005 Controller Competence and Training (2004). The original document was reviewed in the context of an increased industry desire to significantly improve the quality of information provided during disruption and an acknowledgement of the role that Control play in the delivery of Passenger Information During Disruption (PIDD).

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Part A

Issue Record

This Good Practice Guide is a review of the original document published in 2004. There was no intention for the original document to be reviewed at the time of publishing. The same applies to this document. It is intended as a 'stand alone' document and as such it will not be subject to version control. Should ATOC or any other governing body choose to review it in future then they are at liberty to do so as has been done here.

Responsibilities

This Good Practice Guide is made available to all member companies of the ATOC Train Operators Scheme. Recipients should ensure that copies are made available as required to those within their own organisations for whom its content is relevant.

Explanatory Note

This Guide is intended to reflect good practice and is advisory only. It is not 'A Code of Practice' (ACOP) and should not be confused as such. The authors acknowledge that individual Train Operators have their own processes in place. This guide should provide a template for Train Operators to view their current processes alongside. The extent to which a receiving organisation chooses to comply with any or all of its contents is entirely at its own discretion.

Supply

This is not a Controlled document. Copies (both printed and electronic) may be obtained from the Association of Train Operating Companies (ATOC).

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Part B

1) Purpose

This document is intended to give guidance to Train Operators on the recruitment, training and management arrangements to support the competence and development of Control Centre personnel.

2) Scope

This guide is produced for the benefit of all member organisations of the ATOC Train Operations Scheme.

3) Objective

This document seeks to encourage consistent application of established good practice across the Train Operating Companies in the development of competent personnel in Control Centres.

4) Background

Passenger Information During Disruption (PIDD) is a challenge that has faced the rail industry for years. Following significant snow events in the winter of 2010/11 the industry set out to significantly improve the quality of PIDD through the implementation of a variety of different work streams. One of those work streams, discharged through the National Task Force Operators Group (NTF-OG) requested that the 2004 version of this Good Practice Guide be reviewed. The purpose of the review was to *'to ensure that training for, and maintaining of competency in PIDD is included in the guidance and that the guide is clear, concise and up to date.'* Southern Railway, Arriva Trains Wales, East Midlands Trains, South Eastern Railway and London Midland all contributed in part to the review.

5) Overview

This Good Practice Guide describes the managerial arrangements which are recommended for overseeing the recruitment, training and competency management of Control Centre personnel. This guide sets out to do three things:

- Act as a good practice guide that train operators can base their controller CMS on or compare their existing CMS against.
- Provide good practice suggestions on which recruitment assessments can be based.
- Provide good practice suggestions for the training and development of controllers.

6) Competency Identification

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Current day controllers need to be multi-skilled. It is no longer enough to solely focus on task delivery. In addition to the 'what you do' is now 'how you do it'. Controller behaviours are becoming increasingly as important as task delivery, especially for those in roles that lead others. However, behavioural competencies are not confined to those in people management positions. It is a vital part of train service management that controllers are aware of the impact that they and their actions have on other parts of the business and to the end user. The role of a controller is a challenging one. Getting the balance right between being assertive or showing interpersonal sensitivity (face to face or over the phone), delegating or doing it oneself, considering whether an assertive or supportive approach is appropriate while thinking about the numerous other things that need doing and prioritising them, often in an extremely pressurised environment is not easy. It is vital therefore that train operators understand the competencies required to be an effective controller, recruit for them and develop those that have areas of weakness identified. Suggested competencies that together make up an effective controller have compiled following a review of a number of different controller job descriptions and are detailed below:

Skills	Behaviours
Excellent communicator (written, verbal and listening skills)	Resilience: Remains calm and self-controlled under pressure, stays positive despite setbacks
Able to motivate others	Empathy: Is empathetic to the needs of colleagues/customers – demonstrates understanding
Strong information technology capability	Interpersonal Sensitivity: Cares about people, has others best interests at heart
Excellent negotiator	Integrity: Real soundness of moral character, does things for the right reasons
Ability to absorb a large amount of complex and often unrelated data	Courage: Able to make the right decision often in the face of adversity
Able to prioritise own and others workloads	Honesty: Admits when they are wrong, doing something about it, learning from mistakes
Emotionally Intelligent: Is aware of own emotions and those of others at any given moment	Humility: Recognises the role all parties have to play in success acknowledging that no one role is more or less important that any other
Excellent customer service skills	
Able to work effectively often under intense pressure	
High level of attention to detail	
Able to turn lessons learnt into new and better ways of doing things	

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By ensuring that controllers are strong in the skills and behaviours identified above, they will be able to discharge the activities listed in the Competency Management Framework (appendix A) to a high standard.

7) Controller Recruitment and Selection

Given the identification of the skills and behaviours required to be a 'model' controller, it is possible to build a job description and or a person specification for which to recruit to. A generic controller job description is available in appendix C.

The job description in appendix C should also be used to build job advertisements when recruiting for controllers, either internally or externally.

Given the wide range of skills and behaviours identified that go together to make the 'model' controller recruitment of those individuals needs to be robust. The following list details some examples of recruitment activities that will assess for the skills and behaviours outlined in the table in section 6. Please note this list is not exhaustive but included to provide good practice examples for assessing the desired skills and behavioural competencies required.

7.1) Verbal & Numerical Reasoning Tests

Verbal and numerical reasoning tests of intelligence provide an assessment of an individual's ability to think, reason and solve problems in different ways. While not role specific, they will provide an indication of an individual's ability to:

- Pay attention to detail
- Absorb complex data of different sources
- Work effectively under pressure (the test is time bound)

It is recommended as good practice that train operators ask potential candidates to complete verbal and numerical reasoning tests and that the scores are used to help determine the suitability of an individual to the role.

7.2) In-tray Exercise

In tray exercises are increasing in popularity. This is because they can be designed to focus on assessing specific competencies that are desirable to employers. As an overview in-tray exercises assess an individual's ability to:

- Take in and analyse complex information efficiently, under time pressure
- Explore and identify key issues
- Prioritise work accordingly
- Communicate decisions effectively
- Demonstrate the thought processes underpinning the decisions

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In addition, in-tray exercises can be made more specific to the role depending on the nature and structure of the test. Again it is recommended that train operators ask potential candidates to complete an in-tray exercise and that the scores are used to help determine the suitability of an individual to the role.

7.3)   Group Discussion

A group discussion assessment is tool that can be used to assess the behaviours of a candidate or candidates. Group exercises generally involve candidates working together as a team to resolve a presented issue within an allocated timescale. Although the task in hand is manufactured and observed, behaviours will still be apparent and as such this exercise can give a clear indication of the type of behaviours each candidate is likely to display in the work place, good and bad. It is important to note however that individual scores from the group discussion should not be viewed in isolation but as part of a wider scope of scores put together through the undertaking of a number of different tests. Group discussions can help to assess the following behaviours:

- Resilience: How does the candidate respond if the rest of the group disagree with their point of view?
- Interpersonal Sensitivity: How much time and effort does the candidate spend involving other people on the task in hand?
- Empathy: Does the candidate demonstrate an understanding of how other people are feeling?
- Courage: Is the candidate prepared to challenge in a constructive way? (Note this test can also be used to assess negotiation skills).
- Honesty: Is the candidate comfortable admitting if they've made a mistake?

It is recommended that when recruiting for the role of a controller, train operators use a group discussion exercise to assess the behavioural capabilities of each candidate.

7.4)   Role Play

The role play assesses similar competencies to the group discussion although generally in a line management context. It is recommended therefore that role plays are only used to assess the behavioural competence of controllers who will be directly responsible for others. A role play is usually carried out on a 1:1 basis with a trained assessor watching and scoring the interaction. The candidate is given a brief beforehand and then asked to conduct a 1:1 session with an actor. The actor will also have received a brief and will be instructed to behave in a certain way designed to assess pre-determined behaviours. While the behaviours assessed will depend on the nature of the role play, this is a useful exercise for assessing the following behavioural capabilities:

- Resilience: Does the candidate become flustered if the interaction is taking a different course than planned or if the actor becomes 'difficult'.

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- Empathy: Is the candidate seeking to truly understand the issue before arriving at a solution or do they appear to have a pre-determined outcome?
- Interpersonal Sensitivity: Does the candidate put the actor at ease, creating an environment where the problem becomes a shared on and the actor feels able to trust the candidate?
- Courage: Does the candidate provide good clear challenging feedback in the right way?

It is recommended that when assessing for Lead / Duty Control Managers train operators make use of the role play assessment tool to assess the behavioural capabilities required.

7.5)   Competency Based Interview

A competency based interview (also referred to as a situational or behavioural interview) is a style of interview used to assess a candidate's competence. While conventional interviews may focus on a candidate's past or previous industry experience, competency based interviews will ask questions that require the candidate to demonstrate that they have a particular key competency. Candidates will be asked to demonstrate this by using situational examples from their life experiences, to illustrate their personality, skill set and individual competencies.

Competency based questions require the candidate to be specific. The question will often begin 'give me an example of a time when,' requiring the candidate to be specific about a previous life example. The questions should be designed beforehand so that they are aligned to the skills and behaviours outlined in the table in section 6.

It is recommended that when recruiting for controller roles interviews form a mix of traditional questions and competency based questions.

As with all the tests described above, it is recommended that a full 'assessment day' is run and that candidates sit a variety of tests. The scores should then be considered as a collective and not in isolation when deciding on final appointments.

8) Controller Training and Development

Generally controllers will arrive at a training need through one of two ways, either as a new entrant to the role or as an existing employee who has been identified as having a development need.

8.1)   New Entrants

New entrants should, as a minimum, be given training in the following elements unless they have already received such training previously:

- **Corporate Induction**: New entrants should attend the company induction training, covering such items as personal standards, conduct, fitness for duty, basic health and safety, personal entitlements (pay, rosters, leave etc.) and company briefing.

- **Introduction to the Control Centre**: New entrants should receive a comprehensive briefing covering geography (general, railway and train service), office organisation, reporting lines, interfaces (both internal and external), environmental considerations and safety/emergency procedures. Consideration should be given to incorporating visits to signal boxes, depots, yards, principal stations and other key locations within such training.

- **IT systems**: Line Managers so ensure that new entrants have a working knowledge and operating ability on all relevant computer applications in use in the office.

- **Procedures & Processes**: New entrants should gain a working understanding and knowledge of all relevant operational procedures, and their application. This should include priority classifications (red/yellow/ green procedures).

- **Working Under Pressure**: New entrants should be provided specific training for the unit covering major incidents, emergencies and other events/circumstances when Control Centre staff may be placed under considerable pressure for prolonged periods of time.

- **Mentoring**: During the appointee's training, he/she should be assigned an experienced "Mentor" who will assume responsibility for the appointee's professional development and "on the job" knowledge acquisition, as well as providing a degree of pastoral care for a period which may extend beyond the initial training period.

Train operators should provide all appointees with details of their Competence Management System and Assessment arrangements during training. The requirements for satisfying both initial (probationary) assessments and the ongoing periodic assessments should be fully explained.

8.2) Existing Post Holders

There are a variety of ways to address development needs. These can be identified through a number of mechanisms, not just through the competency management system although usually this will be the primary source. The training needs of existing Control Centre post holders should be identified through the on-going periodic assessments prescribed in the Controller Competency Management Framework (see Section 9). In addition regular 1:2:1 conversations with the line manager, annual appraisals, coaching sessions and organisation talent management processes will all assist in identifying opportunities for development. More specific behavioural development needs can be identified through external sources such as 360 degree feedback, observations by the line manager or another, self awareness or other sources such a recruitment assessment. The needs can be performance based or behaviourally focused.

From the development needs identified, a development plan can be created using a blend of approaches to meet the needs of the individual. Some train operators produce TOC specific development catalogues which can be used to support these conversations and find the most appropriate internal programme/intervention. These development catalogues are considered

to be good practice. All development activity must be supported with clear goals and objectives that can be measured to identify how effective the learning has been.

From time to time train operators should also consider supporting controllers to study on external programmes with appropriate funding. In doing so the individual should commit to a learning agreement if the programme is over a number of months/years to demonstrate that the organisation will benefit from the investment.

In addition, existing staff members should be given specific training on any new or significantly changed elements of their work, e.g. introduction of new IT systems or equipment, extension of train services over routes not previously served, introduction of new rolling stock (where this involves new working arrangements), major infrastructure changes, etc.

The competence requirements within the Control Centre are post specific, and therefore, where an individual is required to cover a post, or posts, other than the one to which he/she is appointed, that individual will require to be trained and assessed for competence in this alternative role. This is particularly relevant for staff "stepping up" into higher grade duty, and relief staff.

9) Controller Competency Management Framework

In reviewing the original GPG005, it became clear that the competency management system, whilst similar, varies from TOC to TOC. As a result the working party elected to provide a competency management framework for train operators to check their processes against, rather than just providing a more prescriptive example of what a CMS might look like. It was felt that providing a detailed structure would not be a productive use of resource as it was likely that train operators would continue to use what they currently had in place if it was fit for purpose, rather than changing it to fit what this document suggested. As such it is the purpose of the Competency Management Framework in Appendix A not to be an example of a Competency Management System, but to provide a check list for train operators to check their own CMS against.

The majority of the performance criteria framework is taken from the 2004 Good Practice Guide. It was recognised that this was fit for purpose and as such did not need significant alteration. However, the PIDD section is completely new, as is the concept of using this document as a quality check of existing TOC processes, rather than a replacement for them.

The framework outlines the core activities required to carry out the role of a controller. These activities have been categorised and are have been broken down into ten 'units'. Within each unit there are a number of 'elements'. Each element has a number of activities within it that a competent controller will be able to do.

The units and elements within each are as follows:

Unit 1: Personal Management

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1.1: Prior to duty
1.2: Attending for duty
1.3: Whilst on duty
1.4: Completion of duty

Unit 2: Communications
2.1: Safety critical communications
2.2: External bodies
2.3: Methods of communication

Unit 3: Managing Train Service Delivery
3.1: Monitoring train service delivery
3.2: Investigating delays
3.3: Management of disruption
3.4: Managing passenger needs

Unit 4: Business Awareness
4.1: Key business metrics
4.2: Understanding the different elements of the business
4.3: Managing key suppliers

Unit 5: Understanding and Applying Operating Procedures
5.1: Knowledge and application of Reflex (red) procedures
5.2: Knowledge and application of Reference (yellow) procedures
5.3: Knowledge and application of Background (green) procedures
5.4: Other

Unit 6: Management of Major Incidents
6.1: Application of major incident response plan

Unit 7: Management of Information
7.1: Passenger information provision
7.2: Internal stakeholder information
7.3: External stakeholder information
7.4: Information during disruption

Unit 8: Caring for Staff Involved in an Accident or Incident
8.1: Chain of care
8.2: Incident investigation

Unit 9: Control of Rolling Stock
9.1: Control of rolling stock

Unit 10: Behavioural Capability

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10.1: Resilience

10.2: Empathy

10.3: Interpersonal Sensitivity

10.4: Integrity

10.5: Courage

10.6: Honesty

10.7: Humility

As explained above the structure of the framework in Appendix A has been created as a check list for Train Operators to quality check their own Controller CMS against, rather than as an example CMS as was the case in the previous Good Practice Guide. However, the documentation in appendix B has been included to provide an example of how a train operator may document and carry out a controller assessment. This particular example is taken from Southern's Controller Competency Management System. It is the PIDD module and shows how the operator will assess the activities outlined in Unit 7, The Management of Information, section 7.4, Information During Disruption. This is the same style of template that existed in the original Good Practice Guide 2004 and is deemed as being still fit for purpose. It is provided here as an example of good practice for those operators who may not currently have a formally documented approach for the competency management of controllers. The assessor may use a variety of different methods for assessing individual competence, which may include one or more of the following techniques:

- Unannounced monitoring   (U)
- Observation   (O)
- Review of records, logs, voice tapes etc.   (R)
- Questioning   (Q)
- Simulation exercises   (S)
- Testimony from a third party   (T)

Each relevant element should be re-assessed periodically. This is normally every two years and for probationary staff after 1 year in post on a 'rolling' programme which should be visible to each individual.

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APPENDIX 1: CONTROLLER COMPETENCY MANAGEMENT FRAMEWORK

Unit 1 – Personal Management

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
1.1) Prior to duty	- Inform the person in charge in a timely manner if unavailable for duty having had sufficient rest in line with hidden guidance - Complete preparations for duty within associated time	
1.2) Attending for duty	- Arrive at the specified time - Follow the correct procedure for signing on & off - Attend for duty in accordance with the requirements of the Drugs and Alcohol policy - Ensure discussion and clarification of information at the shift handover - Meet the requirements of the company in respect of standards of appearance and conduct	
1.3) Whilst on duty	- Locate, check and understand data sources (email, safety briefs, daily & weekly notices, etc), initially after shift handover and then regularly throughout the shift - Maintain a safe, clean, secure working environment, including storage of materials and documents in an appropriate manner - Be compliant with safety and security procedures, and taking of appropriate action to address perceived shortcomings for the area where you work - Know how to access specific software and what action to take should there be an IT problem. - Report and record personal accidents promptly and accurately using company procedure - Comply with procedures for receiving and signing in visitors, contractors and other non-resident personnel into the Control Centre	

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	• Ensure that working documents and publications are kept current including the reporting and recording of any significant performance information using the Section Log prior to leaving duty • Prioritise and communicate information in a diligent and timely manner, disseminating to others as necessary • Seek information, written reports or follow-up from others to complete investigations and close incidents • Deal with matters handed on, or outstanding incidents, to conclusion • Decide on content and most appropriate method to be used prior to beginning any operational communication • Understand levels of empowerment and when acting outside personal control or authority • Understand action to be taken if another member of Control is unable to attend for duty at the booked time	
1.4) Completion of duty	• Create a handover brief for relieving Controller	

Unit 2 –Communications

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
2.1) Safety critical communications	• Conduct all conversations in a manner which is clear, fluent, to the point and at a pace which promotes understanding • Repeat all telephone or radio messages concerning safety to confirm understanding using phonetic alphabet & radio protocols where necessary • Answer the telephone promptly, using the company's business form, including own name & position where appropriate, and identification of who is being spoken to	

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| 2.2) External bodies | • Understand when and how to communicate to relevant bodies (HMRI, DfT, RAIB, RIDDOR etc) | |
| 2.3) Methods of Communication | • Understand information systems available for mass communication and how to use them | |

Unit 3 - Managing Train Service Delivery

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
3.1) Monitoring train service delivery	• Use decision support systems where applicable (CCF/P2) or TRUST to identify potential or actual problems • Monitor departure of ECS from berthing points, depots and sidings to anticipate performance issues for service start up • Keep resource plans (stock, train crew, WTT paths) under review to anticipate performance issues when services are late running or affected by other TOC/FOC late running • Provide proactive management of train service delivery to optimise achievement of performance targets	
3.2) Investigating Delays	• Monitor TRUST incidents and attribution of delays to TRUST incidents following up and investigating as appropriate • Have a full understanding of the DAG and the Delay Attribution process • Make appropriate enquiries at specific locations or of specific staff to ascertain information which assists the investigation • Ensure that all incidents are correctly attributed to root cause and that reactionary delay is closely monitored, validated and correctly attributed. • Take appropriate action where resolution cannot be completed during the shift	
3.3) Management of	• Obtain accurate information to establish the nature, extent and	

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Disruption	location of disruption so that an effective response can be implemented as part of the prioritised planning process of the PIDD procedure.	
	• Invoke service recovery procedures or taking of other appropriate action to correct service perturbations and restore timetabled running as quickly as practicable	
	• Discuss regulation issues with Network Rail Controllers in advance of potential problems, and negotiate altered or additional paths if necessary	
	• Assess implications, including "worst case", using all available information, systems, and contacts, and establishment of the implications of alternative courses of action	
	• Consider all options prior to agreeing with Network Rail implementation of an agreed contingency plan	
	• Liaise with neighbour TOCs to optimise service arrangements	
	• Assess implications, including "worst case", using all available information, systems, and contacts, and establish the implications of alternative courses of action	
	• Review forward resource plan and optimisation of use for duration of contingent operation. Ensure the plan has adequate flexibility to accommodate changing circumstances.	
	• Monitor delivery and adjustment of plan as necessary	
	• Consider the implications on fleet deployment, especially maintenance and fuelling considerations	
	• Consider berthing/stabling strategy when disruption and contingent operation extends, or is likely to extend, beyond the operating day	
	• Formulate an emergency timetable for contingent operation when period of disruption is, or is likely to be, of extended duration	
	• Understand Core requirements of the relevant service recovery or contingency plans	
	• Be aware of locations where turnback can be achieved, or location	

	of emergency cross-overs and signalled reversible working • Be aware of restrictions on fleet route availability and staff (train crew) route knowledge • Be aware of applicable diversionary routes and their availability • Understand the performance implications of special stop/run fast/run ECS orders • Be aware of of priority services, heavily loaded services and heavy customer flows • Identify with Network Rail suitable arrangements for short termination/start up of services in the event of line blockage, and advise all points accordingly • Be aware of locations and available resources for unit changeovers • Understand the Key Route Strategies available • Compile details of service performance of the contingency plan for subsequent review of lessons learnt.	
3.4) Managing Passenger Needs	• Demonstrate a review of and consideration for passengers most seriously affected by actions taken to recover the service following incident • Take account of <u>full</u> passenger implications of decisions affecting the planned train services • Take the initiative to arrange alternatives for disrupted passengers – emergency road transport, special stop orders, pass tickets by other operators, etc. • Mobilise arrangements for customer action and customer support teams • Take action to protect passenger safety and welfare when disruptive events have the potential to create unsafe situations – vulnerable passengers (young, lone females, elderly, disabled), station overcrowding, catastrophic failure of onboard systems etc • Advise on passengers, or groups of passengers, with special needs • Respond to customer complaints	

		Be aware of the means of assessing customer flows/ volumes when organising alternative transport.	

Unit 4 – Business Awareness

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
4.1) Key Business Metrics	• Ensure SRCT claims are made following all relevant incidents • Understand typical TOC penalties resulting from Charter/PPM/ cancellation/seats to plan failures • Understand punctuality, reliability, capacity, Right Time and PPM targets for TOC service groups	
4.2) Understanding the different elements of the business	• Know where to find information relating to STP/VSTP plans. • Understand planning interfaces – short term/permanent timetabling, engineering works, contingency plans, emergency plans, project/new works planning, maintenance planning etc • Understand the process to follow to ensure a 'plan of the day' is in place should disruption be expected to impact the following day's delivery • Understand company commercial objectives / guidelines • Know about excess hours regulations and circumstances in which authority to exceed may be given • Understand disciplinary procedures and how these are enacted • Know about CIRAS arrangements and action to take on advice of a confidential report • Understand the arrangements by which staff report accidents, incidents, near misses and personal injury	
4.3) Managing Key Suppliers	• Have a thorough understanding of Control Centre and current performance interfaces within the relevant Network Rail Regions and/or areas.	

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	• Know the managerial arrangements for stations served and depots utilised by the TOC	
	• Have an appreciation of contractual rights and obligations contained in Access Agreements with key suppliers	
	• Have an appreciation of Company meeting arrangements/forums with key suppliers	
	• Understand the intrusive and authoritative intervention in issues affecting the TOC train service, where key supplier actions are impacting, or potentially impacting, on delivery	
	• Have an appreciation of planning arrangements within key supplier organisations, and the means of influencing future plans	
	• Have an appreciation of key supplier safety responsibilities and their impact on train service delivery capabilities	
	• Know the responsibilities of Network Rail Controls and National Control Room	
	• Ensure there is a regular liaison with Network Rail and neighbour TOCs to ensure contingent arrangements remain appropriate.	
	• Know where to find sources of expert advice within the TOC on issues relating to key suppliers	
	• Understand escalation arrangements for unresolved issues with key suppliers	
	• Understand enforcement arrangements with key suppliers within own or Control Centre authority	

Unit 5 – Understanding & Applying Operating Procedures

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
5.1) Knowledge and application of Reflex (red)	• Deal with the following immediately: ➢ responding to a train incident ➢ responding to a security threat or alert	

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procedures	➢ handling an emergency call ➢ monitoring and interpreting communications	
5.2) Knowledge and application of Reference (yellow) procedures	• Have the ability to locate, or call up, the procedure and any templated report form within a short time period, and be ready to fully enact the procedure including: ➢ train over-running a booked station call ➢ signal passed at danger ➢ defective on train equipment ➢ train reported to be travelling at excessive speed ➢ environmental emergencies	
5.3) Knowledge and application of Background (green) procedures	• Demonstrate a knowledge of the existence and whereabouts of these files, and how to use them should a need arise: ➢ Company Health & Safety/Loss Control Manual; ➢ seasonal preparedness plans; ➢ recovery of defective or damaged rolling stock; ➢ Train crew route knowledge (by link/depot).	
5.4) Other	• Give appropriate instructions when notified of an operational problem that results in isolation or failure of a key safety system • Understand how to use the Operational Documentation Library to gain information promptly	

Unit 6 – Management of Major Incidents

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
6.1) Application of Major Incident Response Plan	• Take immediate action to protect passengers, staff or other persons where a serious threat to safety is apparent. • Know the core rules and regulations relating to emergency response • Arrange for dissemination of urgent information regarding the incident/emergency in accordance with the requirements of the TOC Emergency Manual	

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	• Deal with any trapped trains by rescue, or evacuation
	• Establish an Incident Command Structure to mirror that established by Network Rail.
	• Arrange to appoint a Train Operation Liaison Officer (TOLO) at site if required
	• Establish site access arrangements
	• Complete handover checklist to Emergency Commander, and brief accordingly
	• Understand how to establish an emergency Control Centre Understand the structure and arrangements contained in the TOC Emergency Plan
	• Follow the arrangements for dealing with Security incidents:
	  ➢ following telephone advice/ warning
	  ➢ following advice from Police (civil or BTP)
	  ➢ following advice from train crew, station or depot staff
	
	• Deal with allegations of serious irregularities, or irregular working
	
	• Understand the roles and responsibilities of:
	  ➢ Network Rail RIO
	  ➢ TOLO
	  ➢ Gold/Silver/Bronze Commander
	• Carry out responsibilities for relieving staff of duty after incident
	• Ensure relevant care teams are in place
	• Deal with distressed, shocked, confused or stressed telephone callers in the right way	

Unit 7 – Management of Information

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
7.1) Passenger	• Understand how the Customer Information System, OIS, messaging	

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Information Provision	services and info / help points work, ensuring that agreed processes are followed	
7.2) Internal Stakeholder Information	• Update information and advise management, etc. in line with incident developments	
7.3) External Stakeholder Information	• Advise all agencies and offices of any day to day plan changes, including media, NRES, etc. • Participate in phone conferences when required along with Network Rail, other TOCs, and FOCs etc to review contingent operation and service performance	

7.4) Information During Disruption	• Understand all aspects of the Passenger Information During Disruption (PIDD) A Code Of Practice (ACOP) process including:
	  ➢ Holding message
	  ➢ Declaration of CSL2
	  ➢ Core messaging (content, consistency and frequency of all messages including the communication of the prioritised plan)
	  ➢ Ticket acceptance
	  ➢ Activation of on-call
	  ➢ Checking media sources (Website / NRES etc)
	• Understand where responsibility lies for declaring the incident level
	• Locate the relevant PIDD disruption pack
	• Understand the PIDD category definitions that apply to the train operator
	• Understand what events might trigger more serious forms of disruption and what PIDD levels are appropriate for these events
	• Understand what options are available to control when activating:
	  ➢ Yellow PIDD grade event
	  ➢ Red PIDD event
	• Send out service updates to the business during disruption at the agreed frequency
	• Understand which roles within the office have the most information	

| | specific duties during disruption
• Understand how an incident response disruption plan is created, by whom and how is this communicated to the customer | |

Unit 8 – Caring for Staff Involved in an Accident or Incident

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
8.3) Chain of Care	• Invoke Chain of Care arrangements for affected staff • Arrange train crew relief following report of train crew unable to continue duty • Use "Driver at Risk" records for decision making in respect of post-incident actions involving Drivers • Deal with staff subject to abuse, assault, threat of, or actual, violence, robbery or serious intimidation • Deal with staff arrested by Police, or other authority, during the course of their duties	
8.4) Incident Investigation	• Make arrangements for drivers/guards to be met, interviewed and reports submitted • Arrange "for cause" post-incident drug/alcohol screening for staff/ contractors involved in incident/accident. • Make arrangements with responsible authorities for the recording and preservation of evidence, including immediate "post-incident" interview records, voice tapes, OTMR records, etc	

Unit 9 – Control of Rolling Stock

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
9.1) Control of Rolling Stock	- Management of defects in service, including "critical" (go/no go) defects, and full under-standing of standards/regulations relating to train safety related defects in service - Planning of rolling stock changeover, or stock out of service for repair or exam - Liaison with depots to ensure stock to diagrams or an agreed 'fall back' arrangement - Maintenance of daily "seats to plan" requirements and contingency arrangements for availability shortfalls - Arranging of resources for special moves, inter-depot changeovers, test runs, and works trips as required. - Utilisation, updating and refreshing of fleet management database (GEMINI/ GENIUS) and direct fleet operations in accord with fuel/ mileage/exam constraints. Ensuring safe operating limits are not exceeded. - Appreciation of rolling stock examination cycles & vehicle maintenance requirements, for relevant fleets - Depot Rules" and facilities available for re-fuel/repair/exam - Availability and contact arrangements for outbased/mobile fitters, or Train Riding Inspectors - Mileage/fuel range limits for different stock types	

Unit 10 - Behavioural Capabilities

Element	Performance Criteria	Does the current TOC CMS suitably assess this activity? Record comments here.
10.1) Resilience	Remains calm and self-controlled under pressure, stays positive despite setbacks	
10.2) Empathy	Is empathetic to the needs of colleagues/customers – demonstrates understanding	
10.3) Interpersonal Sensitivity	Cares about people, has others best interests at heart	
10.4) Integrity	Real soundness of moral character, does things for the right reasons	
10.5) Courage	Able to make the right decision often in the face of adversity	
10.6) Honesty	Admits when they are wrong, doing something about it, learning from mistakes	
10.7) Humility	Recognises the role all parties have to play in success acknowledging that no one role is more or less important than any other	

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APPENDIX B: AN EXAMPLE OF COMPETENCY MANAGEMENT DOCUMENTATION

Candidate name   *Date taken*

Unit 7: Management of Information

7.4: Information During Disruption

No.	Demonstrate / Explain	Assessment Criteria	Competent? Comments	Y / N
1	Please locate and produce this desk's relevant PIDD disruption pack.	Q		
2	Please list and explain the Passenger Information During Disruption (PIDD) category definitions that apply to Southern.	O/Q		
3	Please give examples of what events might trigger more serious forms of disruption. What PIDD phrase describes these events	O/Q		
4	Give details of what resources / options are available to control when activating a) Yellow PIDD grade event b) Red PIDD event	O/Q/S		
5	Please locate the relevant Tyrell templates used to describe PIDD events.	O		

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6	How do we communicate information to the route that MAY lead to significant disruption? What the official title of this message?	**Q**		
7	How often should control send out service updates to the route during disruption? minimum times for Yellow PIDD event Red PIDD event	**O/Q**		
8	What train details must be sent out to the route at the beginning of a PIDD graded disruption event?	**Q/O**		
9	Which grades within the office have the most information specific duties during disruption?	**Q**		
10	When a disruption event is confirmed, please detail what PIDD message should be sent to the route?	**O/Q**		
11	Please explain how Southern stands down from a major disruption event	**Q**		

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12	Please list six of the nominated Southern Hub stations. How will you communicate with them?	**O/Q**		
13	Who owns a incident response disruption plan, who can input into this, how is this communicated to our customers?	**O/Q**		
14	How will we ensure all points receive accurate updates from control / stations and conductors etc?	**O**		
15	How and who do we communicate disruption event information to (external stakeholders)	**Q**		

Candidate's Signature	**Assessor's Signature**	Competent?	
		Yes	
		No	

APPENDIX C: GENERIC CONTROLLER JOB DESCRIPTION

Job Title:	Location:
Name:	Reports to:
Date:	Organisational chart attached

JOB PURPOSE: *This section is role specific and should be completed by the TOC concerned.*

KEY SUCCESS CRITERIA:

The post holder will deliver the following results while carrying out the role:

1) *Again, these details are role & TOC specific and should be completed by the functional Manager.*
2)
3)
4)
5)
6)
7)
8)
9)

KEY SKILLS:

- The post holder will have excellent communication skills, both verbal and non-verbal. The post holder will be able to listen both actively and deeply and understand the difference.
- The post holder will be able to motivate themselves and those around them.
- The post holder will be able to negotiate strongly, making their point heard in a respectful yet assertive manner.
- The post holder will have the ability to absorb a large amount of complex and often unrelated data, making sense of it and forming action plans on that basis.
- The post holder will able to prioritise their own workload and that of those around them.
- The post holder will understand the concept of emotional intelligence, demonstrating a personal skill in that area, understanding how others are feeling and adapting their own behaviour as a result of that awareness.
- The post holder will have excellent customer service skills, preferably gained from a front line customer facing experience.
- The post holder will be able to work effectively under intense pressure whilst retaining a high level of attention to detail.
- The post holder will be able to learn from their mistakes, reviewing their actions and building improvement plans from their experiences to avoid a reoccurrence.

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KEY BEHAVIOURS:

- The post holder will be resilient, remaining calm and self-controlled under pressure. The post holder will remain professional and positive even under intense pressure.
- The post holder will have a high level of empathy, demonstrating an understanding of other people's issues.
- The post holder will have innate interpersonal sensitivity. The post holder will care about people, having others best interests at heart.
- The post holder with demonstrate integrity, showing a real soundness of moral character while doing things for the right reasons.
- The post holder will have courage and will be able to make the right decision, often in the face of adversity.
- The post holder will be honest, admitting when they are wrong, learning from their mistakes and doing something about it.
- The post holder will demonstrate humility, understanding and showing that all parties have a part to play in delivering the train service and that no one role is any more or less important than any other.

KNOWLEDGE:

This is role specific and will need to be completed by the functional manager.

EXPERIENCE:

This is role specific and will need to be completed by the functional manager.