This is a RISSB Code of Practice development draft

This document's content is for RISSB product development purposes only and should not be relied upon or considered final published content. Any questions about this document or RISSB's development process should be referred to RISSB.

RISSB Contact details:

Head office:

Phone:	Email:	Web:
(07) 3724 0000 +61 7 3724 0000	info@rissb.com.au	www.rissb.com.au

Standard Development Manager:

Name:	Phone:	Email:
Iaen Hodges	0447619338	ihodges@rissb.com.au

Copyright

Data entry– draft starts next page

Document name	Light Rail – Management of Rail Safety Workers Competencies
Document number	Development Draft 1.7
Version year	2025
Standing Committee	Light Rail Standing Committee
Development group member organizations	PTAWA; SRLA; Transdev; Transport Canberra; Transport for NSW; Viva Health at Work; Yarra Trams
First published	2025
SDM name	Iaen Hodges
SDM phone	0447619338
SDM email	ihodges@rissb.com.au

Development draft history

Draft version	Draft date	Notes
0	3/05/2024	Initial table contents
1.1	23/05/2024	Completion of table contents (DG meeting)
1.2	21/06/2024	Draft of initial content for review and additions
1.3	24/10/2024	DG Combined Comments
1.4	12/02/2024	DG Meeting
1.5	30/01/2025	DG Meeting
1.6	25/02/2025	DG Comments Update
1.7	26/02/2025	DG and Peer Review Update

Table of Contents

Section 1   Scope

This Code of Practice provides industry good practice for the management of tramway and light-rail rail safety worker (RSW) competence in all employment life cycle stages, including recruitment, initial employment training (IET), competence assurance (CA) and ongoing capability and succession development. To support this scope, the information presented in this Code of Practice is designed to assist Light Rail Operators (LRO)

- (a)   Determine competence requirements for RSWs;
- (b)   assess RSW competence, including coaching and mentoring;
- (c)   maintain RSW competence, including periodic and post incident re-certification;
- (d)   record RSW competence information; and
- (e)   identify and maintain competent assessors.

1.1   Objective

This Code of Practice aims to harmonise tramway, LROs, maintainers, including infrastructure and overhead electrical line workers, and contractor RSW competence management.

1.2   Referenced documents

The following documents are referred to in the text in such a way that some or all their content constitutes the requirements of this document:

- *ONRSR Guideline – Identifying rail safety work under the RSNL*
- *ONRSR Policy – Application of the AQF to Rail Safety Worker Competence Assessment*
- *Rail Safety National Law National Regulations 2012*

1.3   Defined terms and abbreviations

For this document, the following terms and definitions apply:

1.3.1
competence assurance (CA)
continuous process that ensures employees maintain and develop the required competencies over time

components of competence
technical and underpinning knowledge, non-technical skills and technical skills

1.3.2
danger zone
defined area that can be impacted by rail traffic

1.3.3
IET
initial employment training

1.3.4
light rail system
passenger-carrying railway system operating with trams or other similar shorter length, lower speed and lower axle-load self-propelled vehicles. Typically used in urban areas and often having a shared right-of-way with road traffic

1.3.5

light rail operator (LRO)

individual that operates a light rail system and is a rail infrastructure manager, a rolling stock operator, or a person who is both a rail infrastructure manager and a rolling stock operator

1.3.6

risk-based training needs analysis (RBTNA)

structured methodology that identifies competence requirements for the employee lifecycle such as recruitment criteria and training needs including the core functions and tasks, the technical and non-technical skills, knowledge and observable behaviours, the systems and tools used in performing the tasks, the context in which the role is performed, and the risks associated with every task and activity as identified

1.3.7

rail safety work

work that may affect railway safety as defined in RSNL

1.3.8

rail safety worker (RSW)

individual (whether employee or contractor) who has conducted, who is carrying out, or who is about to perform rail safety work related to the safety of the rail network and is subject to the requirements of the Rail Safety National Law

1.3.9

RSNL

Rail Safety National Law and Regulations, Also, **The Act**

1.3.10

registered training organization (RTO)

training organization that is registered by the National VET Regulator or another relevant registering body to deliver and assess nationally recognised training and issue nationally recognised qualifications

1.3.11

safety management system (SMS)

policies, standards, procedures, tools, forms, and supporting documents required to improve safety and business performance

1.3.12

tram

vehicle which runs on rails on a highway, road or easement and is specifically designated for use by a tram or light rail vehicle. Also, **light rail vehicle**

1.3.13

verification of competence (VOC)

assessment to confirm that an individual has the necessary skills and knowledge to perform a specific task or operate equipment safely

General rail industry terms and definitions are maintained in the RISSB Glossary. Refer to: https://www.rissb.com.au/products/glossary/

Section 2   Introduction

2.1   General

This Code of Practice focuses on the LRO's role in managing the competence of the RSW, and:

- (a)   is aimed at employees identified as RSWs as defined by the Rail Safety National Law and Regulation (SA) 2012 (RSNL);
- (b)   applies to RSWs who work on the light rail system and rail infrastructure; and
- (c)   supports the application of the RSNL for the competence management of RSWs who undertake rail safety work.

2.2   Legislation

When managing light rail RSW competence, LROs shall comply with the RSNL and relevant federal, state and territory road safety legislation for their jurisdiction.

NOTE:

See the bibliography for reference to some of the federal, state and territory legislation.

The following information is focused on the requirements for LROs to establish and maintain RSW competence.

The RSNL sets out general safety duties to ensure that RSWs are competent and that the system in place minimises risks associated with rail operations.

NOTE:

Rail Safety National Law (NSW) No 82a of 2012, Part 3, Division 6, Subdivision 4, Section 117, Assessment of competence

The RSNL also imposes obligations on rail transport organisations regarding the competence of RSWs.

In summary, these obligations include:

- (a)   competency assessment requirements – RTOs must ensure that each RSW has the competence to perform their duties safely;
- (b)   assessment process:
  - (i)   the assessment should align with relevant qualifications and units of competence under the Australian Qualification Framework (AQF) applicable to the specific rail safety work; and
  - (ii)   the assessment should focus on whether the worker possesses the knowledge and skills needed to perform their duties safely.
- (c)   Alternative assessment approach – If using AQF standards is not reasonably practicable, the operator must demonstrate to the ONRSR that:
  - (i)   the worker has equivalent qualifications and competencies for the specific rail safety work; and
  - (ii)   the worker possesses the necessary knowledge and skills to ensure safety in their role.
- (d)   Compliance with other laws – the RSNL does not override other legal requirements concerning the use of AQF qualifications for licenses or permissions mandated by other laws.

2.3 Rail safety work

LROs shall have a process in place to identify RSWs based on the activities defined by the RSNL as rail safety work. The tasks relating to rail operations process/system shall also be identified and assessed to ensure the competence requirements address the risk associated with that task. For example, an infrastructure maintenance worker would have a different risk profile to that of a worker confined to platforms, station or colleting tickets in a safe place. Appendix C RSW determination matrix may assist in determining rail safety work and rail safety workers.

2.4 Rail safety workers

AN RSW as defined by the RSNL is an individual (whether employee or contractor) who has carried out, who is carrying out, or who is about to perform rail safety work related to the safety of the rail network and is subject to the requirements of the RSNL. Appendix B provides information that can assist in determining rail safety work and rail safety workers.

2.5 Road competencies

Due to the uniqueness of light rail operations, the LRO shall include relevant road-related competencies for RSWs based on the integration of the road with the light rail infrastructure. In designing and operating an at-grade light rail system, it is essential to recognise the requirements of the road safety legislation, road operators and the behaviour of other road users (including pedestrians and other non-motorised users) that influence the safety of the light rail operations.

2.6 Contractors and subcontractors

The LRO remains responsible for operational safety risk irrespective of where its resources come from, either through its employees, contract, subcontract, agency staff, volunteers or the self-employed. All RSWs must be competent to perform the rail safety work that they are required to perform.

The contract between the LRO and the contractor may include arrangements defining the competence management. However, in all cases, the LRO shall verify the competence of all RSWs working on their network.

Contractors should be trained and assessed to the same standards as LRO staff. The LRO should maintain records of competence standards of all RSW working on their network.

2.7 Roles and responsibilities

2.7.1 Trainer and Assessor

The *Standards for Registered Training Organizations (RTO) 2015* sets specific requirements for trainers and assessors to ensure they have the necessary skills and qualifications to deliver quality training and assessment. The key requirements outlined in the Standard include:

(a) the qualifications that trainers and assessors must hold:

  (i) a *Certificate IV in Training and Assessment* (i.e. TAE40122 or TAE40116) or an equivalent qualification;

  (ii) a vocational qualification or competency at least to the level being delivered;

  (iii) current industry skills directly relevant to the training and assessment provided; and

  (iv) current knowledge and skills in vocational education and training (VET), including competency-based training and assessment.

(b) industry relevance:

> (i) maintaining industry currency for rail and road safety laws, regulations, and good practices by engaging in refresher training; and
>
> (ii) participating in regular professional development activities related to VET training and rail safety.

(c) assessment credentials.

If conducting assessment only (i.e. without delivering training), assessors shall hold at least:

> (i) TAE40122/TAE40116, *Certificate IV in Training and Assessment*, or
>
> (ii) *TAE Assessor Skill Set* (which includes units like TAEASS401, TAEASS402, and TAEASS403).

2.7.2 Trainer and assessor requirements

A trainer and/or assessor delivering RSW competence should ensure that workers meet industry and regulatory requirements for safety and operational competence. Their key responsibilities include:

> (d) ensuring training and assessment align with Australian rail industry and regulatory standards, including:
>
> > (i) RSNL;
> >
> > (ii) relevant road safety legislation;
> >
> > (iii) employer and state-specific rail/road safety requirements;
> >
> > (iv) follow ASQA's Standards for RTOs 2015 when delivering accredited qualifications; and
> >
> > (v) ensuring competency aligns with national training packages, such as the Transport and Logistics (TLI) Training Package or equivalent.
>
> (e) delivering effective, structured and engaging training for learners, including theoretical and practical components;
>
> (f) using a mix of classroom, simulated, and on-site training to reflect real-world rail environments;
>
> (g) training rail safety workers in core rail safety competencies, including:
>
> > (i) rail/road safety procedures and communication;
> >
> > (ii) track safety awareness;
> >
> > (iii) emergency response and evacuation; and
> >
> > (iv) safe working systems and control system/signalling awareness.
>
> (h) conducting fair and valid assessments of competence against nationally recognized units of competency and meeting industry standards;
>
> (i) using valid and reliable assessment methods, including:
>
> > (i) practical demonstrations (e.g., working around live tracks/roads);
> >
> > (ii) written and oral questioning;
> >
> > (iii) workplace observation; and
> >
> > (iv) simulated emergency scenarios.
>
> (j) ensuring safe training environments, in both classroom and field settings by:
>
> > (i) conducting risk assessments before practical exercises identifying and managing hazards;
> >
> > (ii) reinforcing safe working practices;
> >
> > (iii) wearing personal protective equipment (PPE); and
> >
> > (iv) working within exclusion or safe zones.

(k) managing records and reporting including:

(i) accurate training records for compliance and audits;

(ii) learner progress, assessment results and feedback; and

(iii) safety incidents or non-compliance issues as per regulatory requirements.

2.7.3 Coaching and mentoring

Coaches and mentors play a crucial role in providing on-the-job training and support to trainees and workers learning new rail safety task, as well as to requalify RSWs returning from extended leave or following incidents. Coaches and mentors should be responsible for collaboratively agreeing on focus areas with the mentee at the start of each shift and recording detailed information about the shift, including the agreed focus areas, observations, and progress made. They should also provide feedback to the mentee and encourage the mentee to share their own feedback about the mentorship process to create a supportive and effective learning environment.

The coach/mentor's shift report may serve as the foundation for planning subsequent shifts, helping to maintain continuity and structure in the mentee's development. Coaches/mentors are required to hold and maintain relevant skill and qualifications for the rail safety work being undertaken. Additionally, mentors are encouraged to obtain TAEDEL414, *Mentor in the workplace*, or an equivalent certification to further enhance their mentoring capabilities.

Section 3 Determine competence requirements

3.1 Introduction

The training and development of RSWs should take into account their previous experience, skills, and knowledge. The RSW competence should be assessed using reliable and valid methods, considering changes in circumstances and equipment for normal and degraded operations.

A qualification or unit of competency issued under the *Standards for Registered Training Organizations* can also be considered as evidence of competency. For the safety-critical nature of the roles performed, most qualifications/units do not expire. However, workers may be required to prove they have maintained the appropriate level of competency against specific units through a verification of competency (VOC) process.

3.1.1 Definition of competence

The Australasian Railway Association defines competence (or competency) as follows:

'Competence (or competency) is the ability to demonstrate knowledge or the application of a task successfully and consistently. It can be demonstrated through qualification, accreditation, validation and re-validation authorization, currency, and certification'.

3.1.2 Developing competence profiles

LROs should work with the RTO using an approved process to develop role-based competency profiles for light rail RSWs, including:

(a) determining the need for safety-related competencies;

(b) conducting risk-based training needs analyses; and

(c) identifying the competencies required for each light rail RSW's role and alignment to the AQF where applicable.

3.2   Risk-based training needs analysis

A risk-based training needs analysis (RBTNA) is a methodology that helps to sequence learning and training needs according to the risks associated with human performance and the characteristics of the tasks (i.e. difficulty, importance, and frequency of task performance).

An RBTNA aims to:

(a)   identify the functions and tasks involved in the role;

(b)   identify the tools and systems used in performing the role;

(c)   understand the context in which the tasks are performed;

(d)   identify the training needs to perform the tasks:

(i)   knowledge;

(ii)   technical skills; and

(iii)   non-technical skills.

(e)   prioritise the training needs for the role.

The RBTNA process should include:

(f)   analysis of the function and tasks required to comply with the network rules and procedures;

(g)   interviews with the relevant RSWs and supervisors;

(h)   development and analysis of operational scenarios, e.g., typical day-to-day life scenarios; and

(i)   a risk analysis of the tasks (usually using the DIF algorithm).

3.3   Courseware

The findings from an RBTNA should be used to develop courseware and supporting learning artefacts.

The course ware; especially assessment, should be informed by the training priority ratings derived from the RBTNA. Tasks in the RBTNA are rated using a difficulty, importance and frequency rating to give training priority ratings (Generally 1-5, 1 being a high training priority rating). These ratings assist in focussing on areas that require robust, and evidence-based assessments. Priority may be classified as high, moderate, low, or similar.

High priority tasks require a robust and evidence-based delivery and assessment ultimately forming a key component of ongoing competence maintenance.

Moderate priority knowledge and performance skills should be delivered and assessed where necessary. Awareness material includes general network control procedures and general light rail knowledge.

Some material deemed low priority should be delivered but may not need to be assessed. This may include reviewing incident reports, site visits, and industry presentations.

3.4   Review of an RBTNA

Any role driven RBTNA should be reviewed for currency when one or more of the following occurs:

(a)   introduction of a new area of control;

(b)   control system changes;

(c)   introduction of new or amended procedures or processes

(d)   corrective actions resulting from investigations or audits;

(e)   issue of safety alerts; and/or

(f)   other changes that could affect the roles and responsibilities of RSWs.

The LRO's safety management system (SMS) process should include:

(g)   a periodic review of the RBTNA; and

(h)   assessing whether a review of the RBTNA is required.

3.5   Australian qualifications framework (AQF)

To ensure RSWs achieve the competence required for the specific work and operating environment, operators may need to supplement any AQF-based qualifications or competencies selected (e.g., enterprise-based in-house training or instruction not covered by the AQF).

Where whole qualifications, skill sets, and/or units of competence do not apply or exist, the LRO can adapt existing units of competence or develop new enterprise standards for their own training and assessment arrangements as per the VET guidelines.

The AQF encompasses higher education, vocational education and training (VET), and schools, recognising prior learning available for those with existing qualifications, skills, or knowledge. Refer to the *ONRSR Policy – Application of the AQF to Rail Safety Worker Competence Assessment* for more information.

The competence will be assessed against the competency requirement of the role to determine the training needs, including requirements for:

(a)   initial safety training, where underpinning skills, knowledge, and attitudes are introduced, practised, and assessed

(b)   continuation training, where refresher training and new skills and knowledge are delivered and assessed, including refresher and ongoing training

(c)   competence assurance assessments to ensure RSW competence is current for safety-related training requirements relevant to a role and/or work task.

3.6   Overview of a competence management system

A competence management system (CMS) establishes an LROs position with regard to developing and ensuring employee competence at all stages of the employee lifecycle; recruitment, initial employment training, competence assurance and ongoing development effected by industry changes (refer to Section 3.4 Review of an RBTNA). This is particularly important for frontline staff and those with safety-related roles. The aim is to ensure that RSWs have received appropriate training, development, and assessment and that competence is maintained or developed over time.

The requirements described above should be managed through a competence management process that, as a minimum, addresses the:

(a)   identification of rail safety work;

(b)   identification of the RSW role to complete the rail safety work;

(c)   competence assessment criteria;

(d)   fitness of the RSW;

(e)   register of the RSW and certification;

(f)   rail safety training and development;

(g)   verification and audit of the competence management process;

(h)   review and feedback on safety performance data and information; and

(i)   maintenance of subject matter specialist competence.

The LRO may nominate authorise delegates to maintain the CMS as required by their safety management system (SMS). The authorised delegates should understand their responsibilities and delegations as described in their SMS, which includes, but not limited to:

(j) monitoring and reassessing RSWs so that competence is consistently maintained, and competence is updated in response to relevant changes, including legislation, standards, and equipment changes;

(k) ensuring systems are in place to identify degraded RSW performance and restore the RSWs' competence; and

(l) ensuring records are maintained and made available when requested.

The authorised delegates should also be aware of the overall impact of their activities on the system and ensure their competencies are maintained.

3.7 Selection criteria and recruitment strategy

Identifying RSW competence through an RBTNA will enable the recruitment and selection of suitable staff that are capable of becoming competent. The strategy and process should consider the candidate has the necessary capability, behaviours and values and will be able to comply with technical and non-technical skill requirements.

The competence criteria for each position should be developed following the identification of:

a) the rail safety work and related tasks (technical and non-technical);

b) the associated rail safety risks;

c) the management and control methods for the associated risks; and

d) the responsibilities of the RSWs, documented clearly in an approved operator position/role description.

Section 4 Assess RSW competence

4.1 Introduction

An assessment of competence is a fundamental service provided by the LRO to its RSWs and is central to the delivery competent staff. Assessments shall ensure that RSWs skills and knowledge are evaluated based on, but not limited to, the following key principles:

(a) assessment decisions are made by evaluating RSWs skills and knowledge, aligned with nationally endorsed training packages or accredited courses where applicable;

(b) industry and operational requirements are appropriately contextualized and integrated into the assessment process;

(c) assessments are conducted in accordance with Principles of Assessment; and

(d) evidence collected adheres to Rules of Evidence.

4.1.1 Principles of assessment

In the context of training and assessment, the Principles of Assessment and Rules of Evidence are essential guidelines that ensure assessments are fair, reliable, and valid.

The design of assessment tools should be developed in line with the following principles:

(a) Validity

(i) An assessment decision of the training provider is justified, based on the evidence of performance of the individual student.

(ii)   Validity requires:

(iii)   Assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;

(iv)   Assessment of knowledge and skills is integrated with the practical application;

(v)   Assessment to be based on evidence that demonstrates that a student could demonstrate these skills and knowledge in other similar situations, and

(vi)   Judgement of competence is based on evidence of student performance that is aligned to the unit(s) of competency and associate assessment requirements.

(b)   Reliability

(i)   Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

(c)   Flexibility

(i)   Assessment is flexible to the individual by:

(ii)   reflecting the student's needs;

(iii)   assessing competencies held by the student no matter how or where they have been acquired, and

(iv)   drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.

(d)   Fairness

(i)   The individual student's needs are considered in the assessment process;

(ii)   Where appropriate, reasonable adjustments are applied by the training provider to consider the individual student's needs; and

(iii)   The training provider informs the student about the assessment process and provides them with the opportunity to challenge the result of assessment and be reassessed if necessary.

NOTE:

Australian Skills Quality Authority www.asqa.gov.au (Standards for Registered Training Organisations (RTOs) 2015) provides details about the principles.

4.1.2   Rules of evidence

Assessments should adhere to the following rules of evidence:

(a)   Sufficiency – The assessor must be assured that the quality, quantity, and relevance of the assessment evidence enable a judgement to be made of a student's competency;

(b)   Validity – The assessor must be assured that the student has the skills, knowledge, and attributes as described in the unit of competency and associated assessment requirement;

(c)   Authenticity – The assessor must be assured that the evidence presented for assessment is the student's own work; and

(d) Currency – The assessor must be assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

NOTE:

Australian Skills Quality Authority www.asqa.gov.au (*Standards for Registered Training Organisations* (RTOs) 2015) provides the rules for reference.

4.2 Competence assessment

Competence assessment shall comply with the rules of evidence and principles discussed in Section 4.1.1 and Section 4.1.2. allowing RSWs to demonstrate their rail safety and operational knowledge and capability by participating in competency assessments.

LROs should consider RSW attributes to conduct rail safety work, including:

(a) knowledge (skills, experience, background, and qualifications);

(b) experience in the role or related tasks;

(c) attitudes and behaviours (safety mindset for RSW and health and safety responsibilities).

(d) physical and psychological fitness to undertake rail safety work.

(e) by any qualification and units of competence recognised under the AQF applicable to rail safety work.

Assessment and certification enable the RSW to demonstrate they have developed the necessary skills and are competent to conduct rail safety work. Assessments shall provide evidence of the demonstration of competence in the role. Assessments should comprise of multiple assessment methods, depending on the RBTNA priority rating, including:

(a) practical demonstrations (e.g., working around live tracks/roads);

(b) written and oral questioning;

(c) workplace observation; and

(d) simulated emergency scenarios.

Competence should be assessed through observing and documenting technical and non-technical performance in a role including normal and degraded operations.

Where observation on the job is not possible owing to the infrequent nature of the task, logistics, or safety implications, the task should be represented in a controlled and authentic simulation and/or satisfied by questioning the task requirements.

4.3 Assessment results

Where an RSW is assessed as competent, they should be issued a certificate of competence as detailed in Section 4.5.

An RSW is deemed as 'not yet competent' should be manage as detailed in Section 4.4.

4.4 Managing candidates 'not yet competent'.

Where an RSW is deemed not competent, feedback from the assessment should state which activities they were not yet competent.

The RSW shall not undertake activities they are not yet competent to undertake unless directly supervised. A decision should be made on the RSW's suitability for further training and development. If agreed, the training and development should be carried out, followed by another assessment. However, there may be some cases where the RSW is considered unsuitable to carry out the activity

and, therefore, will not undertake further training or development and may be reassigned to another suitable role or one that does not qualify as rail safety work.

Where an RSW is assessed as 'not yet competent' and suitable for the rail safety role, the assessor should:

    (a)   document the necessary development, as part of their overall development plan;

    (b)   take remedial action to rectify minor gaps;

    (c)   identify and initiate suitable training, mentoring, or supervision to assist in developing the required competence;

    (d)   list improvements to be undertaken to gain industry experience and technical development; and

    (e)   nominate for re assessment in a timely manner.

4.5   Certification of competence

When issuing a certificate of competence, the assessor shall ensure that the RSW:

    (a)   has sufficient knowledge, skills, responsibility, and aptitude to perform rail safety work; and

    (b)   is in all other respects a fit and proper person to perform rail safety work

Competency validity periods can vary depending on the scope and nature of the RSW role. LRO should have a documented risk-based decision-making process in place to determine validity periods. An RSW competence shall be verified before the competence expires.

A review should be undertaken if the RSW changes positions within the validity period. This may include work outside their usual position, such as secondment, or a leave of absence for a defined period. The RSWs manager shall evaluate this before the employee commences any new position or returns to their substantive position.

In accordance with RSNL, RSWs are required to have a form of ID that records the competency and ID (usually a photo) of a worker that is carrying out rail safety work.

Section 5   Maintain RSW competence

5.1   Managers' responsibilities

Managers directly responsible for the work activity or worker shall:

    (a)   verify the competence of all workers before work begins;

    (b)   sight original or certified copies of certificates relevant to the competency, licenses and/or qualifications;

    (c)   record and track expiry dates of competence; and

    (d)   make sure re-certification training and assessment are coordinated with the RTO before the expiration of the competence.

5.2   Maintaining and developing competence

Where competencies expire within a nominated time frame, RSWs shall be reassessed within a given period to remain competent. All RSW should be monitored or be part of a competence assurance model post IET to ensure that competence is maintained.

If monitoring detects degraded RSW performance, consideration should be given for a development plan (see Section 5.4) to help restore RSW competence.

The LRO should have policy and process to update RSWs on fundamental safety and operational changes. Changes may require updating competencies including changes in:

- (a) legislation;
- (b) mandatory standards;
- (c) operational procedures;
- (d) new and modified vehicles;
- (e) plant and equipment;
- (f) maintenance procedures;
- (g) organizational changes;
- (h) role design environment or location; or
- (i) organizational risk profile.

LROs should include refresher training, briefings (using feedback and open discussions), as a means of updating RSW knowledge will help maintain and update competence

5.3   Monitoring

The LRO should have policies and processes in place to monitor RSW competence based on their competence management system.

Newly qualified RSWs will have been assessed as competent. However, because they are relatively inexperienced, a controlled development of their experience will help to ensure their confidence and skill enhancement as they experience more infrequent events.

Monitoring should take account of situations of highest risk and, where possible, target infrequent events and emergencies.

5.4   Development plan

Development plans are implemented when gaps in competence are observed (deemed 'Not Yet Competent') and a need to retrain through an agreed set of actions is identified. The RSW should be supervised in all RSW tasks undertaken during the development plan period, which may also include coaching and mentoring.

After the development plan, the RSW should be reassessed to gain full competent status.

When complete, the development plan shall be retained in the RSWs' files for future reference. The assessment should follow the process detailed in Section 4.

5.5   Post-incident competence plan

Post-incident competence plans are implemented when an RSW competency breach has been identified during a rail safety investigation. The post-incident competence plan details usually reflect the findings of the investigation report, which are aimed at specific competence standards for the RSW.

The RSW shall be supervised when completing RSW tasks detailed in the post-incident plan, which may also include coaching and mentoring.

Once completed, the post incident plan shall be retained in the RSWs' files for future reference. The assessment should follow the process detailed in Section 4 Assessment of competence.

5.6   Verification of competency following absence from RSW role

Where an RSW has been absent for their RSW role, there may have been changes to various aspects of the role that require training and assessment to verify competence. An LRO should verify RSW

competence before the RSW returns to the rail safety work. Section 5.2 of this Code of Practice provides examples of areas of change that may require verification of competence.

Section 6   Records of RSW competence

6.1   Records

Evidence of completed competency assessments shall be maintained in accordance with the RSNL.

> NOTE:
>
> Refer to 4 Section 30 of the *Rail Safety National Law National Regulations*, 2012 and Section 117(6) of the *Rail Safety National Law* (NSW) No 82a of 2012 for specific details.

The method of recording information on competence assessment should be accurate, reliable, easy to review, and open to audit. Records should be held on an electronic or paper-based system, with acceptable security in place to prevent unauthorised access.

LRO shall have a system to record that the RSW has been assessed as competent to carry out rail safety work, referencing:

(a)   when the training was undertaken and its duration;

(b)   the qualifications and competencies of each RSW, including, if applicable:

(i)   the units of competence attained by the worker;

(ii)   the level of qualification attained;

(iii)   if and when a re-assessment of competence is to be conducted;

(iv)   if and when re-training is due;

(v)   the date any re-training is undertaken;

(c)   the name of the organisation who conducted the training or re-training; and

(d)   the name and qualifications of the person who assessed the competence of the RSW.

The LROs are responsible for maintaining:

(e)   privacy of training and assessment records:

(vi)   adequately validated to prevent fraudulent use; and

(vii)   make them available to others with authorized access, only.

(f)   competency assessment results in the secured system for both initial and continuation training; and

(g)   records for on-the-job workplace competence activities, local safety training, refresher training and training/development plans.

Appendix A ARRM Hazard register

Hazard number	Hazard
2.0 Accreditation	Loss of accreditation; The failure to correctly classify Rail Safety Workers (RSW) The lack of identification of RSW training needs Inadequate knowledge of specific training requirements under the Rail Safety Act.
8.0 Operations	Derailment and or Collision Damage to Rolling Stock and or Infrastructure Third Party Property Damage Injury or Death of an Employee Injury or Death of a third Party Slips, Trips or Falls
10.0 Degraded Working	Rail traffic integrity failure Unsafe Separation between rail traffic "Authority "execution error Overspeed Operation Unsafe Authority Authority communication error Route integrity failure Rail traffic operate over unsafe infrastructure Rail traffic approaching workers / equipment in DZ Interface failure Rail resource management failure (worker interface failure) Unfit worker on duty Incompetent workers

Appendix B RSW Determination Matrix

Under the Rail Safety National Law (RSNL), rail safety work encompasses various tasks directly influencing the safety and operation of railway systems. The table below is a determination matrix derived from RSNL Section 8.

If you answer yes to any of the questions below, then the worker is considered to be an RSW.

Questions		RSNL
1. Is the person responsible for driving or dispatching rolling stock?	Yes/No	s.8(1)(a)
2. Does the person carry out any activity which is capable of controlling or affecting the movement of rolling stock?	Yes/No	s.8(1)(a)
3. Does the person carry out any signalling (including signalling operations)?	Yes/No	s.8(1)(b)
4. Is the person responsible for receiving or relaying communications or any other activity which is capable of controlling or affecting the movement of rolling stock?	Yes/No	s.8(1)(b)
5. Is the person responsible for coupling or uncoupling rolling stock?	Yes/No	s.8(1)(c)
6. Is the person responsible for constructing, maintaining, repairing, or modifying rolling stock or rail infrastructure that may have an impact upon (or is associated with) the safety of operations?	Yes/No	s.8(1)(d)
7. Is the person responsible for monitoring rolling stock or rail infrastructure that may have an impact upon (or is associated with) the safety of operations?	Yes/No	s.8(1)(d)
8. Is the person responsible for inspecting or testing rolling stock or rail infrastructure that may have an impact upon (or is associated with) the safety of operations?	Yes/No	s.8(1)(d)
9. Is the person responsible for checking that rolling stock or rail infrastructure is working properly before being used?	Yes/No	s.8(1)(d)
10. Does the person install components of rolling stock?	Yes/No	s.8(1)(e)
11. Does the person work on or about infrastructure in a danger zone?	Yes/No	s.8(1)(f)
12. Does the person install or maintain a telecommunications system relating to rail infrastructure or used in connection with rail infrastructure that may have an impact upon (or is associated with) the safety of operations?	Yes/No	s.8(1)(g)
13. Does the person install or maintain the electricity supply for rail infrastructure, any rolling stock using rail infrastructure or a telecommunications system that may have an impact upon (or is associated with) the safety of operations?	Yes/No	s.8(1)(g)
14. Does the person carry out any work involving certification of the safety of rail infrastructure or rolling stock or any part or component of rail infrastructure or rolling stock?	Yes/No	s.8(1)(h)

Questions			RSNL
15. Does the person carry out any work involving the decommissioning of rail infrastructure or rolling stock or any part or component of rail infrastructure or rolling stock?		Yes/No	s.8(1)(i)
16. Does the person carry out any work on the development, management or monitoring of safe working systems for railways?		Yes/No	s.8(1)(j)
17. Does the person carry out any work involving the management or monitoring of passenger safety on, in or at any railway?		Yes/No	s.8(1)(k)

Appendix C Examples of RSW Competence Assessment Forms

1. Rail safety worker Information		
Name		**Middle Name**
Position/ Rail Safety Worker Role		**DOB**
Division		**Business unit**
Employee No		**Existing Card No**
Period Card issued:	☐ 4 Years	☐ Other

Core Attributes demonstrated
These are assessed throughout the interview through interaction with the rail safety worker and the questioning outcomes relating to individual skills.

Attributes	Yes	No/ Requires improvement
Communication	☐	☐
Problem solving	☐	☐
Leadership	☐	☐
Behavior	☐	☐
Attitude	☐	☐
Knowledge	☐	☐

Assessment Result	
☐ **Competent**	☐ **Not yet competent** ***Refer to Rail Safety Worker Development Plan**

Assessors
Subject Matter Expert

Name: **Position:**

Signature: **Date:**   /   / 20

Safety Representative

Name: **Position:**
Signature: **Date:**   /   / 20

Assessor

Name: **Position:**

Signature: **Date:**   /   / 20

Rail Safety Worker Response
Notes of the <u>Subject Matter Expert</u>

Each assessor is to take individual notes to be retained as evidence of competency assessment:

Rail Safety Worker Name:	
Subject Matter Expert Name:	

Notes:

Rail Safety Worker Response
Notes of the <u>Safety Representative</u>

Each assessor is to take individual notes to be retained as evidence of competency assessment:

Rail safety worker Name:	
Safety Representative Name:	

Notes:

Rail Safety Worker Response
Notes of the <u>Assessor</u>

Each assessor is to take individual notes to be retained as evidence of competency assessment:

Rail Safety Worker Name:	
Assessor Name:	
Notes:	

Appendix D Rail Safety Worker Development Plan

This plan is for rail safety worker positions that have undergone a Rail Safety Worker Assessment and have been deemed as not yet competent (NYC).

Part A: Employee Details		
Name		
Position/ RAIL SAFETY WORKER Role		
Business unit		**Division**

Part B: Basis to the Development Plan
The rail safety worker will undertake the following professional development schedule.

Note: Rail safety workers deemed NYC, are to be supervised during all rail safety workers' tasks during the timeframe of this development plan.

1. *Take remedial action to rectify shortcomings (set out in this plan)*
2. *Identify and initiate suitable training or mentoring by the worker's manager or nominated supervisor to assist in developing the required competence. To be listed below.*
3. *OR Reassignment to another suitable role that does not qualify as rail safety work.*
4. *Details of any agreed formal training are to be recorded in the employee development plan in Equip.*

Part C: Development Plan details

This plan will commence on ___/___/___ until ___/___/___ (for six (6) months), and in line with Part B, the worker will participate in the following:

What actions about rail safety workers development will the rail safety worker undertake during this development plan?
List relevant training, events, or seminars to gain industry experience and technical development.
……
……
……
……
……

Part D: Agreement
Name: **Position:**
Signature: **Date:**   /   / 20
Assessor
Name: **Position:**
Signature: **Date:**   /   / 20

Appendix E Existing AQF Tram and Light Rail Qualifications

- TLI31421 Certificate III in Light Rail Driving
- TLIW0003 Grind rail on tram/light rail systems
- TLIC0073 Conduct tram/light rail track cleaning operations
- TLIB0019 Inspect, prepare and start an electric tram
- TLI42713 Certificate IV in Tram/Light Rail Control
- TLIC3032 Operate and monitor a passenger electric tram
- TLIL4085 Coordinate tram/light rail traffic movement
- TLIL4084 Control daily tram/light rail operations

Bibliography

- AS 1742.3, *Manual of Uniform Traffic Control Devices Part 3: Traffic Control for Works on Roads*
- *Transport Infrastructure Act 1994*
- *Transport Operations (Road Use Management—Vehicle Standards and Safety) Regulation 2021*
- *Guide to Temporary Traffic Management* (AGTTM) (for Roads)
- *National Standard for Health Assessment of Rail Safety Workers*, National Transport Commission, 2024
- *Road Worker Safety Industry Guideline*, May 2024, Safer Workzone