

## EPA Apprenticeship Guidance

End-point Assessment Apprenticeship Guidance for:

# **Level 2 Rail Infrastructure Operator (Signalling Operator)**

Standard Reference: ST0419

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## About EAL

Since 1964, EAL (Excellence, Achievement and Learning) has been awarding superior vocational qualifications and apprenticeship components for engineering, building services and related sectors.

EAL has been at the heart of new apprenticeship standards development, supporting employer trailblazer development groups for key industry occupations since 2013, when the reforms began. With our long-standing tradition of being closer to industry and designing qualifications that reflect this close partnership, EAL is perfectly positioned to guide the employer development groups' work. Our expertise, knowledge and support ensure the new standards meet the needs of all employers, from SMEs to multinationals, and provide learners with the best possible start to their careers.

EAL is an end-point assessment organisation (EPAO) and is listed on the Register of End-Point Assessment Organisations (RoEPAO).

## Equal Opportunities and Diversity

EAL expects all employers to enable you to have equal access to training and assessment for end-point assessment (EPA) in line with the Equality Act 2010 and protected characteristics. Further details can be found in the EAL Equal Opportunities and Diversity Policy: <http://www.eal.org.uk/centre-support/centre-support/policies-and-important-documents>

## Customer Service and Feedback

Customer service is a fundamental part of EAL's commitment to you. EAL aims to ensure that all customers receive a high-quality efficient service. We are always interested in feedback and if you have any comments or feedback on our qualifications, products or services, please contact the Customer Services Team:

EAL Customer Services

Tel: +44 (0)1923 652 400

Email: [customercare@eal.org.uk](mailto:customercare@eal.org.uk)

## Document Purpose

To ensure a consistent approach when carrying out rail activities, observation and professional discussion supported by portfolio of work of occupational competence across all independent assessment panel members, assessment sites, apprentices and assessment decisions.

This document, and its contents, will be used to **guide** you on the outcome of the assessment decisions. Please read the guidance notes, ensure the correct information is recorded and keep the document securely stored.

It supports the Apprentice Recording Document, which has been developed to record the outcome of the Apprentices portfolio of evidence of occupational competence, observation and professional discussion supported by the portfolio of work. The Apprentice Recording Document is an auditable record of the End Point Assessment (EPA) activity.

This document should be used in conjunction with EAL's End-point Assessment Policies and Procedures Handbook.

## Overview

The EPA is designed to enable you to demonstrate that you are fully conversant in the knowledge, skills and behaviours (KSBs) expected of individuals working at this level. It is designed to provide assessors with a holistic view of the apprentice, and to allow them to assess to what extent the apprentice meets, or exceeds, the Level 2 Rail Infrastructure Operator Apprenticeship Standard. The EPA must be completed after the apprentice has met the EPA gateway requirements.

The Apprenticeship Standard and End-point Assessment Plan defines when, what, who and how the EPA is assessed. All those participating and delivering this EPA, which includes you, assessors and employers, **must** refer to the following principle documents for the full details of the EPA requirements:

### Rail Infrastructure Operator

- Apprenticeship Standard – STO419, approved for delivery 17th August 2017.
- End-point Assessment Plan.

Both of which are currently available here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

Whilst elements of the Apprenticeship Standard and End-point Assessment Plan have been reproduced within this document under the following licence: <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/>, it is the responsibility of the assessors to ensure that you are being assessed against the correct version of the Apprenticeship Standard and End-point Assessment Plan.

## End-point Assessment Gateway

Your employer must satisfy themselves that you are ready for your end-point assessment, which is evidenced by you consistently working at or above the level set out in the occupational standard.

In addition to the employer's confirmation that you are working at or above the level in the occupational standard, the following gateway requirements must be met prior to you starting the EPA:

- Demonstrated competence to operate safely in the rail environment.
- Submitted demonstration of Behaviours expected
- The Apprentice has submitted a completed portfolio of evidence authenticated by employer
- The Apprentice has already achieved Level 1 English and Maths and taken the test for level 2 prior to taking their end point assessment
- Portfolio will have minimum evidence of **all** the core knowledge, skills and behaviours plus **three** examples of planned, unplanned and emergency activities

There must be enough evidence in the form of a reflective portfolio authenticated by the employer to allow you to consistently demonstrate knowledge, skills and behaviours as described in the standard. The Employer will be required to confirm that the reflective portfolio provides accurate representation of work carried out by you is not embellished. The portfolio must include samples of work carried out within the last three months of the on-programme period. **Please refer to the assessment plan for this standard for full details on the type of evidence which can be used in your portfolio of work or (Appendix 5).**

To assist you demonstrating the requirements of the End-Point Assessment Gateway please use **(Appendix 2)** a portfolio matrix recording sheet detailing the apprenticeship standard competencies for which you will need to present evidence. This should be placed at the front of your portfolio with completed End-Point Assessment **Gateway Checklist** document **(Appendix 1)** which has been signed by your employer.

## Portfolio Development and Layout

Each employer will have their own preferred approach and layout of the portfolio. How you present the information to your employer for the Gateway review is important to ensure it meets that requirement of the standard. After all you are using this portfolio to showcase your KSB's you have learnt during your apprenticeship, so presenting a good quality record of the jobs you have completed may be the first impression your Independent Assessor will see from you prior to meeting with you at your professional discussion.

The portfolio will contain a minimum of three holistic examples of your performance in relation to the work you have completed. The evidence will be recorded towards the end of your apprenticeship to meet the level of demand and complexity required by the standard and will include a detailed record of how you completed each task. Your portfolio can be handwritten or electronic and include sketches and technical information you feel appropriate.

## What is a Portfolio of Work?

The portfolio of work allows you to collate and showcase your evidence whilst highlighting the relevant knowledge, skills and behaviours that you have learnt during the training stage in specific work related tasks that you have completed to show how you have achieved core and specific pathway competence. The portfolio of work will also provide valuable evidence of any problems that you may encounter and how these are resolved safely within the organisation's policies. There are examples of evidence that can be included in the portfolio of

work to demonstrate competence in the core knowledge, skills and behaviours in **(Appendix 5)** or **refer to the assessment plan for this standard for full details.**

Regular progress reviews of the portfolio of work are recommended between you, your employer and your training provider to gain a wider understanding of your performance and provide feedback as required (these will not contribute to the end point assessment).

Here are some key features you may wish to include in your portfolio:

**Front page** – Your company name, your name, the title of the apprenticeship

**Index of portfolio**

**A cross reference** to the specific Apprenticeship Standard

**List of witnesses/job titles**

**Page heading** - job reference /title and date of task

**Subheadings**

Job instructions – summarise the activity

Preparation – tools and equipment and safety considerations

Information obtained – drawings /charts/instruction, manuals, permit to work

Safety measures applied

PPE

Planning how the task will be done or following a planned sequence of operations

Method – your report of how you completed the Job

- Include written details for each step of the process you followed
- Key safety checks
- Key steps for quality checks
- Use sketches and photos where appropriate to show detail
- Include technical detail
- Problems you identified and how you resolved them
- Include details of colleagues you sought advice or help from
- Testing and quality checks, you completed
- The records and information you completed and what systems you used

How you restored the area and disposed of any contaminated materials with consideration to the environment

conducted your handover and concluded the job

What you have learnt

- Skills
- Knowledge

What organisational behaviours have you demonstrated?

**Insert name of Company**

**Insert Apprentice name**

**Insert title of the Apprenticeship**

Final certificates for mandatory knowledge and competence qualifications	Page
Demonstration and record of the behaviours expected	Page
Achievement of level 1 English and maths and taken the test for level 2	Page

Example of performance 1, title of job: .....

Job instructions	Page
Preparation	Page
Information obtained	Page
Safety measures applied	Page
PPE	Page
Planning	Page
Method	Page
Testing and quality checks, you completed	Page
Records and information	Page
Restored the area	Page
Handover and concluded the job	Page
Key learning points	Page
Organisational behaviours demonstrated	Page

Example of performance 2, title of job: .....

Job instructions	Page
Preparation	Page
Information obtained	Page
Safety measures applied	Page
PPE	Page
Planning	Page
Method	Page
Testing and quality checks, you completed	Page
Records and information	Page
Restored the area	Page
Handover and concluded the job	Page
Key learning points	Page
Organisational behaviours demonstrated	Page

Example of performance 3, title of job: .....

Job instructions	Page
Preparation	Page
Information obtained	Page
Safety measures applied	Page
PPE	Page
Planning	Page
Method	Page
Testing and quality checks, you completed	Page
Records and information	Page
Restored the area	Page
Handover and concluded the job	Page
Key learning points	Page
Organisational behaviours demonstrated	Page

Finally, you must ask your employer/ mentor to review and check your work and sign it along with any witnesses who can authenticate this is a true record of the work you carried out.

### Details of mentor or witnesses who will authenticate the examples of performance

Name	Position	Contact e-mail/Tel	Signature

## Portfolio of Work Requirements

On commencement of the apprenticeship, you must begin to retain a portfolio of work which forms part of the mandated elements on the programme which will feed into the professional discussion during the end point assessment. The portfolio will need to be completed in the **three months** leading up to the end point assessment which must be finalised before passing through the gateway.

A completed portfolio of evidence is a compulsory EPA gateway requirement that supports the EPA Professional Discussion component.

Employers/training providers are free to devise their own version of the portfolio of evidence, but the portfolio of evidence must contain the following information:

- Your Name
- Details of your workplace.
- Evidence to support the knowledge, skills and behaviours of the apprenticeship standard that are mapped to the Professional Discussion assessment method. Each of these **knowledge, skills and behaviour** (KSB) statements must be evidenced **three times** (evidence can be provided through a range of sources, for example work reviews, department feedback) and mapped to the relevant KSBs. Each piece of evidence will cover multiple KSBs.
- Confirmation from the employer that the tasks evidenced in the portfolio were completed to the required standard of the organisation.
- Document the off-the-job training that has taken place during the on-programme phase, with at least **20%** of their employed time **off-the-job**.
- Copy of English and mathematics certificates.

The **employer** must sign-off the **portfolio** of work which has been devised by you, thereby confirming the demonstration of competence against the KSBs assigned to this assessment component and authenticating its contents.

The portfolio of work will be submitted to the EPAO once you have successfully passed to the employer gateway, and no less than seven days before the professional discussion takes place to EAL as their EPAO when applying for the EPA. An independent assessor will check qualification outcomes and review the portfolio to glean personalised information that will assist the Professional Discussion component of the EPA.

The full details of the portfolio of evidence requirements can be found in the end-point assessment plan for this standard here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>



## Assessment Methods

The end-point assessment is made up of two elements, which are (Pass/Fail):

1. Observation (Practical Skills)
2. Professional Discussion supported by portfolio of work

### Assessment Method 1: Observation (Practical Skills)

#### What is an observation?

The observation will be arranged no less than **seven** days before the observation-taking place. You will be observed carrying out an activity that relates to the specific role that you are working towards (e.g. Signalling operator). The observation will be managed and graded by an independent assessor (technical expert) who has been appointed by EAL as the EPAO. The independent assessor (technical expert) must have no direct connection with you or your employer, unless otherwise agreed in advance by the EPAO by exception as described within the assessment plan for the apprenticeship standard.

The aim of the practical observation is to enable you to showcase the relevant skills by demonstrating your core skills, core behaviours and specific skills as detailed in the end-point assessment plan, on planned, un-planned and emergency working environments in a realistic work situation or where opportunity does not naturally occur simulation will be permitted. This will offer the opportunity for you to bring together and apply your learning. You will be assessed to confirm that you can apply your knowledge of rail activities safely with minimum supervision.

The independent assessor (technical Expert) must brief you on the final practical observation and agree the work activity to be observed. Apart from this verbal briefing the independent assessor (technical expert) must not discuss the activity or provide guidance to you during the activity. The independent assessor (technical expert) may stop the assessment should they observe any unsafe practices being performed by you at any time. The independent assessor (technical expert) must record a factual account of the observation using the EPA documentation.

The final practical observation is graded **Fail** or **Pass**, to achieve a pass for the practical skills observation you must achieve **all** that has been laid out in the Grading Criteria (**Appendix 3**), this will be completed by the independent assessor (technical expert) during the observation, furthermore this can be found in the apprentice recording document.

Additional follow up questions could be asked by the independent assessor (technical expert) as appropriate to confirm your understanding of the rationale taken and choices made to complete the tasks. Where follow up questions are required, they will be recorded and attached to your recording document.

#### Observation requirements

The activity you will undertake will cover at least **one** activity from each category of planned, un-planned and emergency working, for the specific pathway the apprentice is working towards. Planned activities you undertake will be observed in real life in your normal place of work provided the activities scheduled satisfy the assessor. You have the full opportunity to demonstrate your competency in the role. Where such opportunity does not naturally occur for you simulation will be permitted.

Simulation will always be used for un-planned and emergency activities; this is due to the nature of these activities being unpredictable.

The total observation time must provide consistent opportunity for you. Whether simulated or not we expect total observation will take **two** hours and it's for the subject matter expert responsible to ensure you have had the opportunity to demonstrate all knowledge, skills and behaviours being tested.

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

## Assessment Method 2: Professional Discussion and Portfolio of Work

The Occupational Competence professional discussion is an interactive interview focussed on all the components of the apprenticeship Standard, which will enable the Independent Assessor to validate your occupational competence. It is a structured and formal discussion between you and their Employer's appointed independent Assessor. The portfolio will be used as a source of evidence by which you can demonstrate your responses to questions asked by the assessor.

The purpose of the professional discussion is to determine the extent to which you understand the requirements of your role as defined by the standard and to explore them through discussion.

Behaviours and knowledge shall be assessed using this professional discussion (supported by a mandatory portfolio of evidence completed on programme) and the outcome shall be graded as Fail or Pass. These are mapped in the end-point assessment plan for the standard.

The portfolio itself will not be assessed but will be used by the assessor to prepare the questioning for the professional discussion and by you to exemplify your responses to the questions. Follow up questions may be used to probe further into the detail in order to satisfy the independent subject matter expert of the depth of knowledge, skills and behaviours. The independent subject matter expert will document the additional questions and the responses that you have provided during the professional discussion.

### Professional Discussion Requirements and Portfolio of Work:

The professional discussion will be supported by the portfolio of work which will be the final stage of the end point assessment process. The subject matter expert conducting the professional discussion should ideally be the same person who carried out the observation and review of the portfolio of work.

During the professional discussion the independent assessor must look to establish the level of achievement in the following areas:

- The professional discussion will include as a minimum **two** examples of unplanned and emergency activities which were not covered during the observation.
- The portfolio will include as a minimum evidence of **all** the core knowledge, skills and behaviours plus **three** examples of planned, unplanned and emergency activities which you have been involved in during your apprenticeship.
- The professional discussion will be carried out over a **two-hour period**
- The portfolio of work will be submitted to the independent assessment organisation once you have successfully passed the Employer Gateway and no less than **seven days** before the professional discussion takes place
- The independent subject matter expert will review the portfolio prior to the professional discussion taking place

### Professional Discussion Criteria

The professional discussion is graded **Fail** or **Pass** you will answer questions from the key areas of the standard. Questions will only be directed during your professional discussion with the Independent Assessor this will form

part of the Rail Infrastructure Operator Standard requirements. The level of questioning will cover your workplace competences whereby you should be able to discuss using examples from your portfolio. To demonstrate a pass for the professional discussion **all** grading criteria needs to be met by you, this information can be found in **(Appendix 4)** or in the Apprentice recording document with reference to the assessment plan for this standard.

### **The End-point Assessor Must:**

- Plan the professional discussion (supported by the portfolio of evidence) prior to it taking place and ensure that it is relevant to the standard.
- Ensure that you understand the process, the possible outcomes and how it is graded.
- Ensure they take steps to put you at ease.
- Ensure that he/she has the grading criteria and relevant documentation to hand before commencing the professional discussion (supported by portfolio of evidence).
- Complete the relevant documentation prepared by EAL as the EPAO, taking notes of what is said.
- Ensure that the outcome of assessment is notified to EAL as the EPAO within the timescale set by them.
- Ensure any special needs highlighted by the employer and training provider are taken into consideration in line with EAL's Reasonable Adjustments policy.
- Declare any information to the EPAO in relation to any conflict of interests between themselves and the you (this may extend to the organisation you work for or have worked for).
- Make robust assessment decisions based on your review of the evidence considering all of the relevant evidence submitted or presented by you following the marking criteria
- Record assessment decisions, complete reports and maintain assessment records accurately and in accordance with EPAO requirements
- Bring to the EPAO immediate attention suspected cases of malpractice or maladministration and assist the EPAO, if required in malpractice investigations
- Assist the EPAO, if required with appeals from apprentices about assessment decisions
- Provide access to information and records when requesting by internal quality assurance staff who are acting on behalf of the EPAO
- Attend initial and ongoing training events (at least annually) and keep own End Point Assessment knowledge and skills up to date through continued professional development

The full details of the professional discussion requirements can be found in the end-point assessment plan for this standard here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

## Behaviours Assessment

You are expected to demonstrate the behaviors, as detailed within the assessment plan for the standard, throughout the end-point assessment. Furthermore, your portfolio will evidence the required behaviours of the apprenticeship. The behaviour statements **must** be evidenced **three** times. The expectation is that the independent assessor will utilise the professional discussion to assess the behaviours detailed within of the assessment plan here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

## Grading

Independent assessors must individually grade each assessment method according to the requirements set out in the end-point assessment plan for this standard. Restrictions on grading apply where apprentices re-sit/re-take an assessment method – see re-sit/re-take section below.

The two assessment methods outlined are **equally** weighted. EAL as the EPAO will combine the grades of all two assessment methods to determine the overall EPA grade.

To achieve an EPA **pass**, you must achieve a **pass** in the observation and Professional discussion with Portfolio of work.

Overall Apprenticeship will be a binary pass/fail grade

A **fail** in any assessment method will result in an EPA **fail**.

Independent assessors' decisions must be subject to **moderation** by EAL as the EPAO. Decisions **must not** be confirmed until after moderation.

Assessment Method	Area Assessed	Assessed By	Grading
Observation	You will be observed on planned, un-planned and emergency working. The subject matter expert will ask questions about the actions and choices you have made.	EPAO	Pass or Fail
Professional Discussion supported by Portfolio of Work	The Professional discussion is a structured discussion between you and the subject matter expert covering a range of knowledge, skills and behaviours	EPAO	Pass or Fail

The full details of the grading requirements can be found here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

## Re-sits and Re-takes

If you fail one or more assessment method, you will be offered the opportunity to take a re-sit or a re-take. A re-sit does not require further learning, whereas a re-take does.

You should have a supportive action plan to prepare for the re-sit or a re-take. Your employer will need to agree that a re-sit or re-take is an appropriate course of action.

If you fail any of the assessment methods, and therefore the EPA, in the first instance, you will be required to re-sit/re-take those failed assessment methods.

Any assessment method re-sits or re-take must be taken within 16 weeks of the fail notification, otherwise the entire EPA must be taken again, unless, in the opinion of EAL as the EPAO, exceptional circumstances apply outside the control of you or your employer.

**Important Note:**

If you fail **one** or **more** elements, then you may re-take/re-sit one or more elements within **six months** of the endpoint assessment taking place. Re-sits/re-takes **outside** the **six-month** end point assessment period will require all elements to be re-assessed.

If the re-take/re-sit relates to the professional discussion, you must be questioned on the same subject area.

## Roles and Responsibilities

There are four main roles involved in the end-point assessment process: **you**, the **employer**, the employer, EAL as the **EPAO** and the **independent assessor**. A table listing their main responsibilities can be found in the end-point assessment plan for this standard here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

## Mapping of Knowledge, Skills and Behaviours

A table, which provides full mapping of the KSBs, can be found in the end-point assessment plan for this standard here:

<https://www.instituteforapprenticeships.org/apprenticeship-standards/rail-infrastructure-operator/>

## Appendix 1: Gateway Checklist

The EPA must only start once the employer is satisfied that you are consistently working at or above the level set out in the occupational standard; that means you have achieved occupational competence. In making this decision, the employer may take advice from your training provider(s), but the decision must ultimately be made solely by the employer. The following gateway requirements must be met prior to you starting the EPA:

In addition to the employer's confirmation that you are working at or above the level in the occupational standard, the following gateway requirements must be met prior to you starting the EPA:

Apprentice Name:		Employer Name:	
The apprentice has:	Evidence reference	Employer/provider confirmation (v)	EPAO confirmation (v)
Demonstrated competence to operate safely in the rail environment.			
Submitted demonstration of Behaviours expected			
*Achieved level 1 English & Maths			
*Taken the level 2 English & Maths test prior to their end point assessment			
Portfolio will have minimum evidence of <b>all</b> the core knowledge, skills and behaviours plus <b>three</b> examples of planned, unplanned and emergency activities			

\* For those with an education, health and care plan or a legacy statement, the apprenticeships English and mathematics minimum requirement is Entry Level 3. British Sign Language qualifications are an alternative to English qualifications for whom this is their primary language.

Sufficient evidence in the form of a reflective portfolio authenticated by the employer to allow the apprentice to consistently demonstrate knowledge, skills and behaviours as described in the standard. The Employer will be required to confirm that the reflective portfolio provides an accurate representation of work carried out by the apprentice and has not been embellished. The portfolio must include a minimum of 2 and no more than three activities carried out by the apprentice that demonstrates the higher order knowledge, skills and behaviours of the standard. **Please refer to the assessment plan for this standard for full details.**

### Employer declaration

I confirm that the evidence presented is authentic and is an output from the apprentice's own work activity and I am satisfied that they have met all gateway requirements.

Employer Signature: .....

Date: .....

## Appendix 2: Portfolio Matrix Recording Sheet

<p>I confirm the information and evidence contained within this portfolio is my own work, relates to my performance and it is current that fulfils the requirements against the knowledge, skills and behaviours contained in the L2 Rail Infrastructure Operator (Signalling Operator).</p>	
<p>I can confirm that I authorise EAL as the EPAO to make the application for my apprenticeship certificate following successful outcome of End-Point Assessment.</p>	
Apprentice Name:	
Apprentice Signature:	
Date:	
<p><b>Employer details:</b></p>	
<p>I confirm that the information and evidence contained in this portfolio is the work of the apprentice, named above <input type="checkbox"/> (tick)</p>	
Employer Name:	
Employer Job Title:	
Relationship to Apprentice:	
Employer Signature:	
Date:	



Apprentice Name:				
Complete (v)	Evidence reference	KSB code	KSB statement (Observation)	Assessment Method
<b>Core Knowledge (CK)</b>				
		<b>CK1</b>	The general operating principles required to support the operation of rail transport infrastructure and vehicles, including the network as a system, different roles and responsibilities and underpinning processes including normal and contingency planning processes	<b>OE</b>
<b>Specialist Knowledge (SK)</b>				
		<b>SK1</b>	Knowledge of railway operating and signalling principles to underpin the safe operation of signalling systems	<b>OE</b>
		<b>SK2</b>	A good understanding of industry agreed rules and regulations for signalling operations	<b>OE</b>
		<b>SK3</b>	Understand how to monitor and operate signalling equipment in order to deliver a safe and efficient UK rail transport network, in normal degraded and emergency situations.	<b>OE</b>
		<b>SK4</b>	Knowledge of information systems used to support signalling activities including timetables and route contingencies	<b>OE</b>
<b>Specialist Skills (SS)</b>				
		<b>SS1</b>	Operate a safe working environment for normal operating activities taking place on the infrastructure including the management of vehicle movements, network interfaces and supporting testing to restore operational activities to normal after interruption.	<b>OE</b>
		<b>SS2</b>	Provide access to those working on the rail infrastructure as well as members of the public to enable them to move or work safely across the rail network e.g. authorising users at level crossings	<b>OE</b>
		<b>SS3</b>	Be able to operate and control signalling equipment in unplanned and emergency situations e.g. accident, reported fatality on the network, working with stakeholders to facilitate a return to normal working e.g. facilitating access incident responders and other specialists	<b>OE</b>
		<b>SS4</b>	Report infrastructure and train – running incidents to the controller e.g. making the area safe, fault reporting and cautioning trains, to minimise the impact on the rail transport network.	<b>OE</b>

Complete (v)	Evidence reference	KSB code	KSB statement (Professional Discussion)	Assessment Method
<b>Core Knowledge (CK)</b>				
		CK1	Safe and professional working practices, including legislation, statutory operating regulations e.g. Railways and Other Guided transport Systems (safely) regulations, industry procedures and safety requirements and instructions as well as the need to understand and adhere to corporate policies on ethics, equality and diversity.	PD
		CK2	The importance of maintaining a safe working environment and equipment including how to secure the work environment how to take handover duties and the importance of equipment testing/checks	PD
		CK3	The importance of commercial principles applicable to the rail network and the implications of these regarding timetabling, scheduling and performance as well as understanding the impact of events and decisions on customer service and reputation.	PD
		CK4	How to work safely and effectively in routine, non-routine and emergency situations including awareness of the importance of managing non-routine events and emergency situations and the implications for the safe operation of the rail network.	PD
		CK5	The limits of your own authority and the implications of operating outside of this.	PD
<b>Core Skills (CS)</b>				
		CS1	Keep themselves and others safe by adhering to safe working practices – understand and comply with statutory regulations and organisational safety requirements with or without supervision. These may include receiving and relaying communications, protecting persons on or near the track, activities capable of controlling the movement of a vehicle, signalling and signalling operations, operation of level crossing equipment and controlling the supply of electricity to electric traction, signalling systems and other services.	PD
		CS2	Prepare for a high standard of work – gather information from drawings, plans, schedules, safe systems of work and permits, as appropriate to support operating activities. Be mentally and physically prepared for duty and be able to interpret information, including information about the state of the network in support of all other rail transport operating activities.	PD

*Continued on next page*

		<b>CS3</b>	Deliver a high standard of work – undertake planned, unplanned and emergency rail transport operating activities diligently at all times. Communicate and provide accurate information to stakeholders in line with personal role. Continually monitor the situation, even during periods of relative inactivity and maintain focus during peak workload times. Prioritise activities according to the situation and take responsibility for personal actions.	<b>PD</b>
		<b>CS4</b>	Work with others – work effectively and efficiently, individually and as part of a team with colleagues, clients, suppliers and the public. Deliver excellent customer service with the aim of exceeding customer expectations and managing conflict when required.	<b>PD</b>
		<b>CS5</b>	Communicate effectively – use all appropriate methods and systems for accurate and effective communication. Use clear and engaging communication to establish a good rapport with customers and ask the relevant questions to determine their needs. Report and accurately record all required information using correct terms, standards, templates and protocols.	<b>PD</b>
<b>Behaviours (B)</b>				
		<b>B1</b>	<b>Act professionally</b> – demonstrating dependability, determination, honesty and integrity. Be approachable, respect others, act ethically and contribute to sustainable development.	<b>PD</b>
		<b>B2</b>	<b>Be risk aware</b> – in order to reduce risks by checking information, concentrating on the tasks, maintaining an awareness of changing circumstances and remaining calm under pressure.	<b>PD</b>
		<b>B3</b>	<b>Display a self-disciplined, self-motivated, proactive approach to work</b> – the ability to make independent decisions whilst understanding limits and knowing when to ask for help or to escalate.	<b>PD</b>
		<b>B4</b>	<b>Be receptive to feedback</b> – willing to learn new skills and adjust to change. Undertaking professional development necessary in order to maintain and enhance competence.	<b>PD</b>
		<b>B5</b>	<b>Make a personal commitment</b> – to an employer, the industry and its professional standards	<b>PD</b>
		<b>B4</b>	<b>Be receptive to feedback</b> – willing to learn new skills and adjust to change. Undertaking professional development necessary in order to maintain and enhance competence.	<b>PD</b>
		<b>B5</b>	<b>Make a personal commitment</b> – to an employer, the industry and its professional standards	<b>PD</b>

## Appendix 3: Observation (Practical Skills) Grading Criteria

Apprentices will demonstrate <u>ALL</u> the following core and relevant pathway specific grading criteria during the Observation	
Rail Infrastructure Operating Principles	Demonstrates a good knowledge of rail transport infrastructure and vehicles, including the network as a system
Signalling Operator	Demonstrates effective communication, specifically in relation to observing the safety critical communication protocols
	Responds to situation/event in accordance with the relevant rules and regulations
	Demonstrates the ability to maintain personal and other team members safety
	Demonstrates understanding of impact of own actions on others and the train service
	Demonstrate positive and encouraging behaviours to maintain professionalism
	Records/logs details of actions in accordance with laid down procedures
	Act on information in an appropriate and timely manner
	Reaches a clear understanding through appropriate use of questioning, summarising and read backs
	Demonstrates ability to maintain system safely throughout
	Involves all relevant parties in the activity: communicating clearly and working together as required
	Able to operate a safe working environment for planned, un-planned and emergency working
	Able to operate control systems (Signalling Operator and Electrical Controller only)

## Appendix 4: Professional Discussion Grading Criteria

Apprentices will demonstrate <u>ALL</u> the following grading criteria during the Professional Discussion	
Safety	Demonstrates a good understanding of statutory regulations & organisational safety requirements
Quality	Evidence is genuinely attributable to the apprentice
	Demonstrates development over a minimum of 12 months
	Confidently communicates knowledge of their specific pathway and where that sits in the wider rail industry
	Demonstrates specific underpinning knowledge of the activities presented/discussed
	Can demonstrate breadth of experience within the context of their specific pathway
	Can demonstrate an understanding of the roles and responsibilities of other key stakeholders
Customer Service	Uses clear and engaging communication to establish a good rapport with customers
	Able to ask relevant questions to determine customer needs
Act Professionally	Ready shares information is dependable, open and honest
	Attitude is usually respectful and positive
	Is respectful of relevant rules or policies and acts ethically
Be risk aware	Routinely follows standardised procedures
	Concentrates on immediate task in hand
	Remains calm and professional when under pressure
Display a self-disciplined, self-motivated, proactive approach to work	Demonstrates reflective learning
	Recognises and chooses best course of action appropriate to situation or task
	Considers impact of own actions on other people or activities
Be receptive to feedback	Listens to and acts upon feedback
	Carries out and records CPD necessary to maintain and enhance competence
Make a personal commitment	Demonstrates accountability for own learning
	Manages own time and workload to achieve required standards
	Stays motivated and committed when facing challenges

## Appendix 5: Portfolio of Work Evidence Examples

The portfolio of work, the following lists the sort of evidence that should be provided in the portfolio of work. This will demonstrate competence in the core knowledge, skills and behaviours. It is not exhaustive; it is addition to the evidence that must be provided to demonstrate competence in the specialist pathways

Core Knowledge	Apprentice Example Portfolio Evidence
Safe & Professional working practices	<ul style="list-style-type: none"> <li>• Completed company induction, including all appropriate safety policies and procedures</li> <li>• Training sessions relating to legislation, the Rule Book and National Operations instructions</li> <li>• Briefings/training on core company policies (i.e. Diversity and Inclusion e-learning, Business ethics e-learning, social media and information security briefing)</li> </ul>
The Importance of maintaining a safe working environment and equipment	<ul style="list-style-type: none"> <li>• Local induction where it covers site security aspects</li> <li>• Evidence of booking on and off duty</li> <li>• Evidence of conducting shift handovers</li> <li>• Evidence of training covering shift handovers, equipment tests</li> </ul>
The importance of commercial principles	<ul style="list-style-type: none"> <li>• Evidence from training sessions (e.g. Railway Commercials or Customer Service)</li> <li>• Evidence of how to use train running information systems, how to use them to inform decisions about regulating</li> <li>• Examples of where candidate has regulated &amp; can demonstrate the impact this has had on train performance</li> <li>• Examples of where candidates have dealt with service disruption &amp; can explain how their actions have mitigated delays and/or contributed to improved customer service</li> </ul>
How to work safely and effectively in routine, non-routine and emergency situations	<ul style="list-style-type: none"> <li>• On the job training observations or working on the job</li> <li>• Completed on programme knowledge assessment</li> </ul>
The limits of your own authority	<ul style="list-style-type: none"> <li>• Examples of when candidates have escalated decision making</li> <li>• Examples of when candidates have asked for help in managing a situation</li> <li>• Examples of when candidates have to seek permission from others before activities can proceed</li> <li>• Candidates own assessment of areas of development</li> <li>• On programme reviews by line managers and/or trainers</li> </ul>

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Core Skills	Apprentice Example Portfolio Evidence
<p>Safety: Keep themselves and others safe by adhering to safe working practices</p>	<ul style="list-style-type: none"> <li>• On programme observations/assessments</li> <li>• Examples of safety critical communications exchanges</li> <li>• Operational forms that have been completed as part of applying an operations process, plans of work (i.e. safe systems of work, permits to work)</li> </ul>
<p>Quality: Prepare for a high standard of work</p>	<ul style="list-style-type: none"> <li>• Examples of shift handover</li> <li>• Examples of what the candidate does to prepare for work and what steps can be taken in managing their lifestyle that will ensure they are prepared for duty appropriately</li> <li>• Examples of where the candidate has prepared for work a work activity (e.g. engineering works, planned degraded working/reduced service and implementing speed restrictions</li> <li>• Plans of work (i.e. safe systems of work permit to work)</li> </ul>
<p>Quality: Deliver a high standard of work</p>	<ul style="list-style-type: none"> <li>• On programme observations/assessments</li> <li>• Examples of safety critical communications exchanges</li> <li>• Operational forms that have been completed as part of applying an operating process</li> <li>• Non-technical skills assessment(s) demonstrating the candidate’s capabilities in an operational context</li> </ul>
<p>Customer Service: Work with others</p>	<ul style="list-style-type: none"> <li>• Examples of where the candidate has dealt with an incident requiring cooperation with control and other railway stakeholders</li> <li>• Examples of where the candidate has provided protection to others working on the railway</li> <li>• Training sessions relating to working with others and customer service</li> <li>• Reports outlining cross functional visits and lessons learned</li> </ul>
<p>Customer Service: Communicate effectively</p>	<ul style="list-style-type: none"> <li>• On-programme observations/assessments</li> <li>• Examples of safety critical communications exchanges</li> <li>• Operational forms that have been completed as part of applying an operations process</li> </ul>

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Core Behaviours	Apprentice Example Portfolio Evidence
<p>Act Professionally</p> <p>Be risk aware</p> <p>Disciplined, self-motivated, proactive approach to work</p> <p>Receptive to feedback</p> <p>Makes a personal commitment</p>	<p>All the behaviours can be demonstrated through a combination of:</p> <ul style="list-style-type: none"> <li>• On programme assessments</li> <li>• Non-technical skills observations/assessments</li> <li>• Feedback from others (i.e. work colleagues, line manager, briefers, trainers)</li> <li>• Progress reviews and/or action plans</li> <li>• Individual learning plans and records</li> <li>• Self-reflection accounts</li> <li>• Safety Critical communications exchanges</li> <li>• Completed training sessions that are focussed on behaviours as a demonstration that the candidate has required as a minimum, awareness of the skill and how it can be demonstrated</li> </ul>



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