Signals Rail Safety Worker Competence
EST-20-02

Applicability

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<th>ARTC Network Wide</th>
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Document Status

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<th>Version</th>
<th>Date Reviewed</th>
<th>Prepared by</th>
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<td>13 August 2010</td>
<td>Standards</td>
<td>Stakeholders</td>
<td>Chief Operating Risk &amp; Safety Committee</td>
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<td>2.0</td>
<td>November 2012</td>
<td>P. Shinnick</td>
<td>T. Moore</td>
<td>ARTC Worker Competence Steering Committee</td>
<td>Safety and Environment Committee</td>
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Amendment Record

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<td>1.0</td>
<td>20 Apr 09</td>
<td></td>
<td>First issue. Supersedes Engineering Instruction ESI-08-01. Including issues from post Risk &amp; Safety Commission consultation</td>
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<tr>
<td>1.1</td>
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Document Distribution List

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1 Introduction

1.1 Purpose
The purpose of this procedure is to detail ARTC’s signals competency management system, ensuring it has in place a rigorous process that meets its regulatory obligations and accreditation requirements.

1.2 Scope
This procedure covers all signals personnel who carry out rail safety work in support of ARTC’s signalling infrastructure. This includes employees, contractors, subcontractors and supply staff involved in the design, construction, testing, commissioning, project management and maintenance of signalling infrastructure.

1.3 Procedure Owner
The Signals Standard Engineer is the owner of this procedure. Please direct all queries relating to this procedure to competencies@artc.com.au.

1.4 Responsibilities
The Signals Standard Engineer is responsible for the implementation of this procedure. The Project Manager, Worker Competence is responsible for managing the process of ensuring all rail safety workers (RSW) are compliant with this procedure.

Rail Safety Workers are responsible for:
• ensuring their competencies required to work in an ARTC rail corridor are valid, current and relevant to the work that they undertake;
• do not undertake work or tasks for which their competency has not been certified; and
• maintain and make available records of their training and work experience for use in assessing their competency in accordance with this procedure.

Managers and contractors are responsible for ensuring the RSW maintains current competencies whilst completing rail safety work for ARTC.

Signalling contractors and alliance partners are to ensure their staff competencies have been assessed in accordance with ARTC processes, and are endorsed by ARTC in accordance with this procedure before commencing work on ARTC infrastructure.

The card issuing body is responsible for verifying contractor competencies and issuing RSW identification cards.

1.5 Reference Documents
The following documents support this procedure:
• HR04-002 Rail Safety Worker Competency Management Procedure
• HR08-003 Business Rules Handbook for the Contracting Rail Safety Worker
• SP-05-02 Competency/Communication Protocol for Entering Rail Corridor
• RM-01 Risk Management Procedure
• PP-157 Project Management Procedure
### 1.6 Definitions

The following terms and acronyms are used within this document:

<table>
<thead>
<tr>
<th>Term or acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Transcript</td>
<td>Is an official comprehensive verifiable copy of a student’s record of courses relating to their qualification?</td>
</tr>
<tr>
<td>Act or ‘the Act’</td>
<td>Refers to the Rail Safety Act applicable in the relevant state.</td>
</tr>
<tr>
<td>Assessor</td>
<td>Person approved to review rail safety worker’s evidence of competence and issue authorising documents to both the rail safety worker and issuing body.</td>
</tr>
<tr>
<td>Australian Qualifications Framework (AQF)</td>
<td>The national policy for regulated qualifications in Australian education and training.</td>
</tr>
<tr>
<td>Card Issuing Body</td>
<td>ARTC approved external provider of rail safety worker card.</td>
</tr>
<tr>
<td>Competency Management System</td>
<td>ARTC’s system of capturing the competencies of all rail safety workers to meet the requirements of the relevant state Rail Safety Act.</td>
</tr>
<tr>
<td>Contractor</td>
<td>A company or individual engaged by ARTC to undertake a specific project, function or maintenance works in accordance with an agreement (e.g. design, construction, maintenance, installation, commissioning, consultancy, project management and other specialist types of work).</td>
</tr>
<tr>
<td>Functional Categories</td>
<td>Refers to one of the following:</td>
</tr>
<tr>
<td></td>
<td>• Signals engineers</td>
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<tr>
<td></td>
<td>• Signals technicians</td>
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<tr>
<td>Functional Category Expert (or FCE)</td>
<td>ARTC appointment responsible for providing specialist category advice - designated as the Signals Standard Engineer.</td>
</tr>
<tr>
<td>Rail Corridor</td>
<td>The area between rail boundaries where rail infrastructure is located and rail operations may be undertaken. It also includes locations outside the rail boundaries that are used for rail control centres or equipment for the signalling infrastructure.</td>
</tr>
<tr>
<td>Rail Safety Work</td>
<td>Refers to work carried out specific to ARTC’s accreditation.</td>
</tr>
<tr>
<td>Rail Safety Worker (or RSW)</td>
<td>Refers to those carrying out rail safety work under one or more of ARTC’s functional categories.</td>
</tr>
<tr>
<td>Registered Training Organisation (or RTO)</td>
<td>A vocational education and training organisation registered by the Australian Skills Quality Authority (ASQA) to deliver training in accordance with the Australian Qualifications Framework.</td>
</tr>
<tr>
<td>Relevant experience</td>
<td>Any experience presented for assessment needs to be directly related, connected or pertinent to the role.</td>
</tr>
<tr>
<td>Risk</td>
<td>Effect of uncertainty on objectives.</td>
</tr>
<tr>
<td>Risk Management</td>
<td>Coordinated activities to direct and control an organisation with regard to risk.</td>
</tr>
<tr>
<td>Signals Competency Class</td>
<td>Within the signals competency functional category there are 10 competency classes from engineer to tradesman.</td>
</tr>
<tr>
<td>Signals Competency Skills</td>
<td>Within each signals competency class there are a range of competency skills that are separately identified on the signals statement of competency.</td>
</tr>
<tr>
<td>Signals Competency Skills Range</td>
<td>Within each signals competency skill there may be a range statement. This typically covers a range of different technologies that the competency skill may be applicable to.</td>
</tr>
<tr>
<td>Term or acronym</td>
<td>Description</td>
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<td>-----------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Signals Competency Skill Level</td>
<td>Within each signals competency skill there may be a range of skill levels. These levels 0, 1, 2, 3 cover the level of skill achieved by the RSW. RSW may only undertake work for which they have appropriate skill level.</td>
</tr>
<tr>
<td>SME</td>
<td>Subject matter expert. This is a person who can assist the assessor in evaluating the competency skills and levels of a RSW. The subject matter expert has an ARTC signals competency certificate and is able to provide subject matter guidance to the assessor in accordance with the competency assessment process.</td>
</tr>
<tr>
<td>Statement of Competency (SOC)</td>
<td>This is the document which details the signals competency class, skills, range and levels of the RSW.</td>
</tr>
<tr>
<td>Work Experience Record</td>
<td>This is the record of work undertaken by the person involving the application of the signalling competencies. It:</td>
</tr>
<tr>
<td></td>
<td>• shows the extent of tasks performed, responsibilities in undertaking the tasks and the technology applied</td>
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<tr>
<td></td>
<td>• includes information in the referenced form which is part of this procedure</td>
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<tr>
<td></td>
<td>• is verified by an appropriate supervisor or manager.</td>
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2 Identifying and Determining Competencies

As an accredited rail operator under the Act, ARTC has requirements for:
- ensuring RSW have the competence to carry out their work, and
- maintaining records of the competence of RSW.

2.1 Signals Competencies

ARTC has determined that the required signals competencies are to be made up of:
- qualifications or units of competence recognised by the Australian Qualifications Framework (AQF);
- other non-AQF accredited competencies;
- knowledge; and
- demonstrated experience.

Matrices that define the qualifications, skills and experience required for each of the signals engineering and technician roles are listed at Appendix 6.1 and Appendix 6.2. Further information is required for the assessment of the signals competency skills, range and levels. This then determines the suitability of the RSW to carry out signals tasks to prescribed levels of competence.

2.2 Signals Competency Classes

The grouping of competencies within a classification is based on typical grouping within the Australian rail industry, which may not necessarily match those in other industries or regions of the world. RSW should initially select the classification based on criteria detailed in the following table.

<table>
<thead>
<tr>
<th>Design</th>
<th>Control Systems</th>
<th>Field Maintenance/Construction</th>
<th>Field Construction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Signal Engineer</td>
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<td></td>
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<tr>
<td>F01</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signal Design Engineer</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F02</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Control Systems Engineer</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>F08</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signal Engineer Maintenance/ Construction</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>F03</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Signal Engineer Construction</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>F03</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Signal Design Assistant</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>F02</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Control Systems Technician</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F09</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signal Maintenance/Construction</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>F04</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signal Installer/Tester</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F06</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signal Electrical &amp; Mechanical Maintenance/ Construction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F05</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signal Mechanical Maintenance/ Construction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F07</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signals Trades, Assistants &amp; Design Assistants</td>
<td></td>
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<td></td>
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<tr>
<td>F10</td>
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The actual classification achieved by a RSW is based on an assessment of their competency. There is a separate statement of competency (SOC) and assessment checklist for each of these classes.
Descriptors of each classification are captured in the following paragraphs.

- **Senior Signal Engineer Field**
  
  This covers maintenance, construction, signal engineering, and management roles responsible for a major function or group of signals people. The person typically has greater than 10 years engineering experience in railway signalling with at least 5 years in a responsible signal engineering management position.

- **Signal Design Engineer**
  
  This covers those staff involved in signalling design who have a formal qualification from a TAFE, university or equivalent technical institute. Alternatively they may have more than 10 years experience as a signalling designer. It also includes signal design assistants, who are involved in signalling design but do not meet the above criteria.

- **Signal Engineer Maintenance & Construction**
  
  This covers those staff involved in signalling maintenance and construction who have been assessed under an industry based process as meeting requirements covering a broad and detailed understanding of the signalling maintenance and construction practices and the management of staff. Alternatively, they may have a qualification from a university or equivalent technical institute in a discipline related to signalling work. Staff who have the electrical certificate IV and have also completed postgraduate training (diploma) covering electronic or electrical or signal engineering or maintenance management may also attain the signal engineer level.

- **Signal Maintainer – Maintenance / Construction**
  
  This covers those staff involved in signalling maintenance and construction who have completed the electrical certificate IV in rail technology or an equivalent course, and have been assessed under an industry based process as meeting requirements covering a broad and detailed understanding of signalling maintenance and construction.

- **Signal Electrical & Mechanical – Maintenance / Construction**
  
  This covers those staff involved in signalling maintenance and construction who have completed an AQF certificate course or equivalent covering electrotechnology. They have gained an understanding of the signalling maintenance and constructions practices through on-the-job training and industry based training courses.

- **Signal Installer / Tester**
  
  This covers those staff involved in signalling construction activities or signalling maintenance activities who have completed an industry based process of formal training and assessment as meeting requirements covering an understanding of signalling construction and testing practices. This includes signalling training with a non-electrical trades background as conducted in the UK or other overseas jurisdictions.

- **Signal Mechanical – Maintenance / Construction**
  
  This covers those staff involved in signalling maintenance and construction who have completed an AQF certificate course or equivalent, and have been assessed under an industry based process as meeting requirements covering an understanding in the construction, installation, testing and maintenance of signalling mechanical and electrical equipment and the relevant procedures and processes.

- **Control Systems Engineer**
  
  This covers those staff involved in signalling control systems who have a qualification from a TAFE, university or equivalent technical institute. Alternatively they may have more than 10 years experience working on signalling control systems.

- **Control Systems Technician**
  
  This covers those staff involved in signalling control systems who have completed an AQF certificate course or equivalent in a discipline related to the control systems technology.

- **Signals Trades & Assistants**
  
  This covers all other persons with trade certificates or industry based certification for a skill that is applied in the construction or maintenance of signalling infrastructure. It
includes signals cable jointers, signal linesman, signals rack wireman, signals design CAD operator, signals design document administrator and licensed electricians who connect power to signalling infrastructure.

2.3 Working on Signals Infrastructure Competency

The roles detailed in section 2.2 are the principal roles/tasks undertaken by the competent person. The following paragraphs detail additional competencies required for work associated with signalling infrastructure.

2.3.1 Work on Track

Some signalling roles require personnel to work within the rail corridor or work on signalling infrastructure within the rail corridor. In these cases applicants for RSW cards are to apply for the additional role “around the track personnel” – details of which can be found in ARTC’s track and civil matrix. Competencies to be uploaded into the Onsite system for this role include:

- track safety awareness;
- Category 3 rail medical assessment;
- Construction industry white card (if entering a construction site); and
- ARTC Contractor & Hunter Bulk Terminal Induction (if working in NSW).

All contractors applying for RSW cards in the following engineer or technician roles are to select “around the track personnel” as an additional role:

- Signal Engineers:
  - Senior Signal Engineer;
  - Signal Engineer Maintenance, Signal Engineer Construction, Signal Engineer Maintenance/Construction; and
  - Signals Project Engineer or Project Manager.

- Signal Technicians:
  - Signal Electrician, Signal Maintainer;
  - Signal Mechanical & Electrical – Maintenance / Construction;
  - Signal Installer / Tester;
  - Signals Mechanical Maintenance / Construction;
  - Signals Cable Jointer, Signals Linesman; and
  - Signals Trades assistants.

For these roles the competency is detailed on the individual SOC, and include the following:

- Signals Designer/Engineer - for any skills that require work within the rail corridor including signal sighting, signals field testing.
- Control Systems Engineer - for any skills that require work within the rail corridor.
- Communications Engineer - for any skills that require work within the rail corridor.
- Control Systems Technician - for any skills that require work within the rail corridor.

2.3.2 Work in Live Signalling Locations

Signals staff working within live signalling equipment locations require the competency “Work in Live Signal Location”. This is gained either during training for the Cert IV Electrotechnology Rail Signalling or through on-the-job training. Other groups including graduate electrical engineers, control systems engineers and technicians, and communications engineers and technicians require specific training in this competency.
2.3.3 Signals Standards Induction

Signals staff working on ARTC infrastructure are required to undertake the work in accordance with ARTC Standards, Procedures, Work Instructions and practices. It is mandatory that signals staff have a knowledge and understanding of these documents which are readily available on the ARTC website www.artc.com.au.

The ARTC Signals Standards Induction and Assessment provides an introduction to these documents, and provides guidance on how to access them and related forms. Successful completion of the induction and assessment results in the issue of a Signals Standards Induction Certificate which is required for many of the signals roles (detailed in the signals competency matrices).


2.3.4 Work Based Training in Specific Competency

Much of the skills and knowledge obtained in the rail industry is work based and non-accredited, including pre-work briefs, on track plant and equipment operations and minor equipment assessments. Capturing this information is critical to verifying work experience, and certifying the performance of tasks in accordance with ARTC’s procedures and practices.

All work based training is to be documented in log books and corroborated by the supervisor. The updated log books can be used as supporting material for a request to upgrade or extend competencies held.

2.3.5 Safeworking Training and Re-Accreditation

ARTC has courses for re-accreditation of signalling staff involved in certifying signalling infrastructure and signalling safeworking activities. This course is modular and covers refresher training in safeworking processes and updates on changes to signalling procedures. This is required to be undertaken every four years.

The process also includes online briefing and assessment on changes in network rules and signals safeworking processes. These are undertaken annually.

2.4 Signals Competency Skills

Signals staff work on many different items of equipment. The knowledge, understanding and experience in each of these may vary within the same signals competency class. These skills are assessed individually, and are separately identified on the signals statement of competency. Skills may be attained through formal, industry based or on-the-job training and work experience.

2.5 Signals Competency Range

Within each signals competency skill there may be items of equipment which require different knowledge, understanding and experience. In these cases the different technologies will be included as options against the skill, which require specific training and knowledge to achieve competence.

2.6 Signals Competency Levels

Competencies required to work on signalling infrastructure are dependent upon the complexity and range of work, and the competency acquired by RSW will vary according to training and experience.

The following signals competency levels apply in ARTC:

<table>
<thead>
<tr>
<th>Level 0</th>
<th>No certified knowledge on the subject</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1</td>
<td>Training exposure. Basic skill level attained but requires coaching. Has knowledge &amp; understanding of the procedures. Person when performing the competency must be under supervision.</td>
</tr>
<tr>
<td>Level 2</td>
<td>Certified as being able to perform the identified competency in routine activities</td>
</tr>
</tbody>
</table>
## Identifying and Determining Competencies

<table>
<thead>
<tr>
<th>Level 3</th>
<th>Certified as being able to perform the identified competency independently and without supervision in all activities. Can coach others and be a team leader.</th>
</tr>
</thead>
</table>

Level 2 activities are routine or generic, and are detailed in standards, procedures and work instructions. Examples include:

- the performance of maintenance and testing activities that relate directly to the activities detailed in procedures and service schedules; and
- new designs for configurations similar to existing designs - for example automatic signalling or a simple CTC crossing loop.

Supervision may vary depending upon the type of task, and the existing competency, ability and experience of the RSW.

Where a competency relates to a qualification assessed by an independent and suitably qualified organisation, then it will be rated as yes/no based on the production of suitable evidence of attainment of the qualification - for example a certificate IV in rail signalling technology issued by an RTO.

In practice there are many activities that do not align directly with standards. These require the application of the skill and the standards in a unique manner, and require a person with skill level 3.

Skill levels 1 and 2 require supervision by suitably qualified signals staff. The level of supervision is determined according to the skills, experience and competency of the person and the task being performed.

Guidance on levels of supervision is provided at Appendix 6.3.

### 2.7 Non-Practicing Signals Staff

The following procedures apply to non-practicing signals staff:

- Staff who have not worked on railway signalling for a period greater than six months, or have worked on the railway infrastructure of other accredited rail operators, shall undertake a review or briefing on changes to signalling standards and network rules in the period that they have not worked on ARTC infrastructure prior to commencing any activities. They shall keep a documented record of the brief.

- Staff returning to industry who have not had practical involvement in railway signalling activities for more than 24 months shall work under the direct supervision of accredited staff for at least one month for each year, exceeding two years, or part thereof that they have not worked in the signalling industry. They will be assessed at the end of this period.

- Personnel who have not had practical experience in the rail industry during the previous four years will require refresher training and assessment prior to recertification of competencies previously held.

- Personnel who have not practiced a competency in the previous four years will have their competency level reduced commensurate with the level of related skills that have been practiced during that period.

### 2.8 Relevant Past Experience

Past experience in signals or signals related tasks under the supervision and mentorship of suitably experienced staff is taken into account when considering applications for competency upgrades.

### 2.9 Transferring Staff

Where an applicant has a current competency in railway signalling from another organisation, it may be taken into account in determining their level of competence recognised by ARTC.

The applicant shall submit:
• F22 signals competency transfer request;
• F22A signals competency performance review;
• updated, verified work experience records;
• updated track safety awareness certificates, and
• updated rail medical assessment.

The process for transfer includes an assessment by an appropriate person from the outgoing organisation that the person has performed their work at a competency level consistent with that on their SOC.
3 Competency Management

This section defines what evidence is required from a RSW to be assessed as competent for the applicable roles as identified in the signals competency matrices, and the process for obtaining a RSW card for the applicable signals roles.

The flow chart at Appendix 6.4 shows the steps for applying for/obtaining a RSW card.

3.1 Evidence of Competence

To be assessed as competent in all signals roles the evidence to be submitted is:

- qualifications, licences and certifications;
- formal training and assessment of competency for various skills; and
- demonstrated work experience including evidence of current use of competencies.

The evidence, including the ARTC signals statement of competence and related supporting documentation, is identified by a unique ARTC signals competency ID. Prior to assessment, applicants are to obtain an ID by emailing requests to signalcompetencyIDrequests@artc.com.au.

The email is to include the following information:

- first and family name;
- organisation;
- email address;
- contact phone number; and
- if held, RSW ID number.

3.2 Assessment Documentation

To be assessed as competent in all signals roles the required documentation and evidence to be submitted is:

a. ARTC Form F21 - competency assessment request completed, signed and witnessed.

b. ARTC Form F26 - training & educating record and copies of certificates of attainment.

c. ARTC Form F25 - work experience record with verification by applicable supervisor / mentor.

d. Copies of inductions including signals standards induction, and site and state specific contractor inductions.

e. Signals safeworking accreditation – copies of safeworking training certificates including re-accreditation training.

f. ARTC Forms F1 to F10 – (select appropriate form) draft statement of competency with completed details (word format).

g. ARTC Forms F11 to F20 – (select appropriate form) assessment checklists with cross reference to the work experience record and training and education record. External assessments are to include assessor and subject matter expert details.

h. Current SOC and previous SOC for signalling skills from ARTC or other accredited rail operator

All files are to be submitted to the Onsite system when applying for an initial RSW card or a competency assessment, and are to be named in accordance with the file naming convention at Appendix 6.9.

3.2.1 Work Experience Records

Much of the skills and knowledge obtained in the rail industry is work based and non-accredited, including pre-work briefs, on track plant and equipment operations and minor equipment assessments. Capturing this information is critical to verifying work experience, and certifying the performance of tasks in accordance with ARTC’s respective procedures and practices.
All work based training is to be documented in the work experience log book and corroborated by the supervisor. The updated log books can be used as supporting material for a request to upgrade or extend the competencies certified.

The work experience record is essential to demonstrate that the RSW has the skills to work independently. At the completion of formal training an RSW has only achieved Level 1 competency and requires supervision and mentoring. This allows the RSW to gain experience in all the different application of the knowledge gained in training.

Details on signalling work experience records can be found at Appendix 6.5.

### 3.2.2 Training & Education Record

Each applicant must complete the education and training record. This includes providing evidence of having completed the training via graduating certificates and/or statements of attainment.

The record has three sections:

- The Part A education record covers formal education training that is relevant to the role. This includes certificate 3 and certificate 4 training in electrotechnology, signalling or courses related to control systems and communications. It may also include higher education from universities, an engineering degree or post graduate diploma training.
- The Part B industry training record includes any non-AQF courses relevant to railways and signalling. These may be provided by rail industry suppliers and related organisations.
- The Part C record contains specific competencies learnt via on-the-job training.

### 3.2.3 Assessment Checklist

For each signals role there is an assessment record or assessment checklist form. Skills detailed on the assessment checklist form must be reflected on the SOC.

Candidates should initially nominate an expected competency level on the draft SOC. They are required to provide cross-reference to the training and work experience records for each skill detailed in the assessment checklist. This justifies the award of a competency range and level.

Appendix 6.7 provides details of the levels of work experience and training required. If a candidate cannot provide sufficient references to training and work experience the competency level is adjusted to match the available evidence.

### 3.3 Assessment Submission and Approval

#### 3.3.1 Submission of Assessments

Applications for assessment of competency from ARTC employees are to be completed on ARTC forms nominated in section 3.2. Where an alternate form is permitted e.g. the work record, it is to contain all the information nominated on the ARTC form. All documents are to be provided in electronic format.

Applications for assessment from contractors are to be submitted via the Onsite system at www.railsafetyworker.com.au

#### 3.3.2 Draft Statement of Competency

An assessor will review applications by the RSW, and determine whether they have provided sufficient evidence to warrant the proposed competency range and level. Depending on the evidence provided by the RSW the assessor can:

1. assess them as competent to carry out the competency roles and levels applied for; or
2. deem them not yet competent, and advise the ARTC/contractor manager and/or the applicant that they do not yet have the minimum competencies required for the work they have applied for.

Upon successful assessment a draft statement of competency will be completed by the assessor.
3.3.3 ARTC Review of Assessment and Endorsement

The nominated ARTC signalling representative will perform a due diligence review of the submitted draft statement of competency, supporting documents and assessment checklist. If they are satisfied with the assessment, the statement will be endorsed with the appropriate level of competency attached.

If required the ARTC representative may request additional detail from the assessor.

3.4 Authorised Assessors

Special assessment procedures to identify evidence of skills, qualifications and specific experience apply in the signals functional category.

3.4.1 Assessors

Assessments are completed by persons who have the required workplace assessor training and competency, and the appropriate knowledge and understanding of the ARTC signalling infrastructure and standards and practices. The assessor may also team with a subject matter expert to jointly undertake the assessment.

3.4.2 Assessors and Subject Matter Experts

Applicants requesting to become authorised external assessors will require approval from ARTC to enable them to assess competency for their contracting staff to work on ARTC projects.

When the applicant has been deemed competent to be an external assessor, their details will be contained in the Onsite system for the assessment of applications for RSW cards. A subject matter expert will also be similarly nominated and approved by ARTC.

Both assessors and subject matter experts must meet the following requirements:

- Have a current ARTC signals SOC. This shall be valid whenever an assessment is undertaken.
- Have a detailed understanding of the ARTC signals competency assessment process, and the evidence and supporting documentation requirements.
- Demonstrate the knowledge and understanding of the signals subject matter for each of the ten classes for which the candidate is evaluated.
- Meet the assessor requirements detailed at Appendix 6.8

The flow chart at Appendix 6.6 shows the steps for applying to become an external assessor.

3.4.2.1 Obligations of External Assessors

ARTC expects that external assessors will:

- apply ARTC’s competency standards and procedures;
- promptly advise the relevant ARTC functional category expert where standards cannot be applied and seek resolution;
- use external assessor delegations in an appropriate way for the intended purposes;
- create and maintain full and accurate records of signal assessments performed in Onsite;
- keep up to date with advances and changes in signal expertise, and where appropriate advise the ARTC functional category expert of any likely impact upon ARTC job tasks; and
- maintain the integrity and security of ARTC’s documents or information.

External assessors should be aware that they can be held accountable if they do not perform their duties in accordance with ARTC standards and procedures.

3.4.2.2 External Assessor Re-certification

Review and re-certification of an external assessor’s competency can occur at any time however this shall not exceed three years.
3.5 Dispute Resolution

Disputes may arise with contractors when complying with ARTC’s competency management system. Further information on dispute resolution can be found in HR04-002 Rail Safety Worker Competency Management Procedure.
4 Recording of Competence

The competency management system records the competencies required for each of the roles in the signals engineering and technician matrices.

4.1 Capturing Competencies

ARTC will record a RSW’s competencies in the Onsite system. This will verify attainment of the qualifications and link them to the relevant signals role they have applied for.

4.2 Issuing RSW or Certificate of Competence

Upon successful lodgement and verification of competencies, payment of fees and completion of a 100 points identification check the card issuing body generates and despatches a RSW card to contractors.

An ARTC certificate of competence (COC) is issued to ARTC RSW’s. These are issued by the relevant People, Culture and Development representative.

ARTC employees, contractors and external party employees must carry their current COC or RSW card traceable to their competency records that are appropriate to the reason for their completion of work for ARTC.
5 Risk Management

An essential element in identifying and developing RSW competencies is ensuring systems are in place for the identification and management of all risks. RM-01 Risk Management Procedure details ARTC’s risk management approach, and is to be read in conjunction with this procedure.

5.1 Register

Risks in the implementation of ARTC’s competency management system have been identified and recorded in the company’s central risk register.

It is the responsibility of each division or alliance to review their risks on a regular basis and within guidelines in RM-01 Risk Management Procedure. The aim is to review existing risks including their controls, identify new or additional risks and ensure changes to risk profiles are reflected in the registers.

Project specific risks are managed by the project until it is complete. At this time, the risks shall be reviewed and ongoing risks entered into the appropriate risk register. Further information is contained within PP-157 Project Management Procedure.

5.2 Auditing

ARTC auditors and safety officers are responsible for checking competencies of personnel within the rail corridor during their audit process or during any unplanned visits.

Employees or contractors performing the role of work site protection officer are responsible for checking employees and contractors on site for validity of RSW cards held by employees and contractors on a worksite.

Audits which will focus on the level of compliance with this procedure, compliance to safe working rules and RSW record management. Audits will be conducted on the basis of the status and importance of the rail safety work and associated risk in accordance with RM-01 Risk Management Procedure.

5.2.1 Auditing of Documents

An ARTC assessor may on any occasion undertake an audit of the supporting information and assessment documentation for an RSW. The assessor may request further information from the RSW with regard to the audit. The RSW shall provide the further information within a reasonable time.
## 6 Appendices

### 6.1 Signal Engineer Competency Matrix

<table>
<thead>
<tr>
<th>National Unit Of Competency (Unit code and descriptor)</th>
<th>Rail Safety Work Descriptor</th>
<th>Senior Signal Engineer (includes Design, Field, Construction)</th>
<th>Signal Design Engineer</th>
<th>Signal Designer</th>
<th>Assistant Signal Project Engineer</th>
<th>Signal Project Manager</th>
<th>Signal Project Assistant</th>
<th>Signal Engineer - Maintenance/Construction</th>
<th>Signal Team Manager Maintenance/Construction</th>
<th>Signal Work Group Leader</th>
<th>Signal Project Manager Construction</th>
<th>Signal Project Manager Maintenance</th>
<th>Signal Project Manager Construction</th>
<th>Control Systems Engineer</th>
<th>Communications Engineer</th>
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<tbody>
<tr>
<td>Diploma of Engineering (Electrical, Communications, Information Technology or similar discipline)</td>
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</tr>
<tr>
<td>Certificate IV (or equivalent) in Electrical, Communications, Information Technology or similar technology</td>
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<td>Post Graduate Diploma Railway Signalling and Telecommunications</td>
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<tr>
<td>Diploma Systems Engineering</td>
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<tr>
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<tr>
<td>Work in Live Locations</td>
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</tr>
</tbody>
</table>

### Essential Relevant Experience

- **1 YEAR**
- **2 YEAR**
- **3 YEAR**
- **5 YEARS**
- **7 YEARS**
- **10 YEARS**
- **OTHER**

X required competency,
# Optional - May require this competency dependent on skills endorsed
* require one of these competencies

"Around the Track Personnel" requires the following National Unit of Competencies

- TLF2080B Safely Access the Work Corridor
- CPCCOHS1001A Work Safely in the Construction Industry

---

*This document is uncontrolled when printed. See ARTC Intranet for latest version.*
### 6.2 Signal Technician Competency Matrix

**Signals Technicians**

<table>
<thead>
<tr>
<th>National Unit Of Competency (Unit code and descriptor)</th>
<th>Rail Safety Work Descriptor</th>
<th>Statement of Competency Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate III Transport and Logistics (Signal Mechanical)</td>
<td>F04 Signal Electrician / Maintainer</td>
<td># * X</td>
</tr>
<tr>
<td>Electrical Licence</td>
<td>XX XX X</td>
<td>X</td>
</tr>
<tr>
<td>Certificate III (or equivalent) in Information Technology</td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Certificate III (or equivalent) in Electrical or Electrotechnology or equivalent</td>
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<td>X</td>
</tr>
<tr>
<td>Certificate III (or equivalent) in Electronics and Communications</td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Certificate IV in Electrical - Rail Signalling (or equivalent)</td>
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<td>*</td>
</tr>
<tr>
<td>Certificate IV (or equivalent) in Information Technology</td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Certificate IV (or equivalent) in Electrical</td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Certificate IV (or equivalent) in Electronics and Communications</td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Industry Specific Training for Cable jointing or Linesman or Rack wiring</td>
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<td></td>
</tr>
<tr>
<td>Signals Standard Induction</td>
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<td>Signals Safeworking Accreditation</td>
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<td>Around the Track Personnel</td>
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<td>Work in Live Locations</td>
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</tr>
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<td>Approved SOC for Role</td>
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<td></td>
</tr>
<tr>
<td>Work Experience Records</td>
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<td>X X</td>
</tr>
</tbody>
</table>

### Essential Relevant Experience

<table>
<thead>
<tr>
<th>Experience</th>
<th>1 YEAR</th>
<th>2 YEAR</th>
<th>3 YEAR</th>
<th>5 YEAR</th>
<th>7 YEAR</th>
<th>10 YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 YEAR</td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>2 YEAR</td>
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<tr>
<td>3 YEAR</td>
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<td></td>
<td>X</td>
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<td></td>
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<tr>
<td>5 YEAR</td>
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<tr>
<td>7 YEAR</td>
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<tr>
<td>10 YEAR</td>
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<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

**OTHER**

- X - required competency
- XX - generally required but may be waived
- # - optional competency
- * - require one of these competencies

"Around the Track Personnel“ requires the following National Unit of Competencies

- TLIF2080B Safely Access the Work Corridor
- CPCCOHS1001A Work Safely in the Construction Industry
## 6.3 Levels of Supervision

<table>
<thead>
<tr>
<th>Supervision Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direct Supervision</strong></td>
<td>The person is supervised by a competent supervisor/mentor who is at the same equipment location (or position where the activity is performed) as the person and checks the work at least once a day.</td>
</tr>
<tr>
<td><strong>Indirect Supervision</strong></td>
<td>The person is supervised as part of a team which is under the control of a supervisor/mentor. The supervisor/mentor is in the same general location as the person but may be at a different equipment position - for example at opposite ends of a crossing loop. The supervisor provides a pre-work briefing to the person, communicates with them at the start and at end of the shift, and is available at all times via communications link.</td>
</tr>
<tr>
<td><strong>Remote Supervision</strong></td>
<td>The person is at a remote location performing the task under the supervision and mentorship of the supervisor at a different location. Communication is by radio or phone service. The supervisor will discuss the task with the person prior to commencement, and a review will be undertaken after completion and prior to the end of a shift of work.</td>
</tr>
<tr>
<td><strong>Remote Mentor</strong></td>
<td>The person is performing the tasks at a different location to the supervisor/mentor. The supervisor is available for advice and mentoring by radio or phone service during the undertaking of tasks, but does not necessarily do a pre-work briefing every shift. The supervisor reviews performance at least weekly.</td>
</tr>
<tr>
<td><strong>Task Supervisor/Mentor</strong></td>
<td>This would generally apply for design, construction activities where the results of the activities are not in service. The supervisor is available for advice and mentoring by radio or phone service or in person during the undertaking of tasks, but does not necessarily do a pre-work briefing every shift. The supervisor reviews performance at least weekly.</td>
</tr>
</tbody>
</table>
6.4 Process for a Signals Contractor applying for a RSW card.

1. Contractor requires a RSW card.
2. Contractor refers to competency and assessment criteria.
3. Contractor uploads to Onsite:
   a. qualifications, licences and certifications,
   b. formal training and assessment of competency for various skills,
   c. demonstrated work experience including evidence of current use of competencies
4. Assessor reviews documentation against criteria.
5. After review of paperwork, decision made by assessor, and contractor advised whether further assessment is required.
6. Further assessment or evidence required.
6b. After reviewing the gap assessment the assessor will deem whether the contractor is competent or not. The contractor to be informed of the decision.
7. Assessor completes assessment and issues draft SOC.
8. ARTC endorses assessment and completes authorising document and uploads it to Onsite. Contractor advised to complete 100 points of identification check.
6.5 Work Experience Records

The signalling work experience record has the first page providing detail of the verification supervisors. This includes a declaration regarding the items verified.

The remaining pages contain details of the work performed by the RSW. This includes the following items:

- **Dates** - Provide the month and year for the start of the work and the finish of the work. Records are organised in order of start dates.
- **Employer/client & infrastructure owner & project or role** - These three details to be included e.g. world consultants for ARTC – design project.
- **Description of task** - This must firstly detail the role of the person. This should indicate if a major role or a support role e.g. test team leader or design team member. Details of the project to provide context and technical complexity e.g. Hillsborough new level crossing protection for double track on main south line.
- **Reference** - This is numbered from one onwards without repeating. A separate number for each project. May provide separate numbers for separate tasks within a project. For example level crossing drafting CWP, tester in charge, design document update to as-built could have three reference numbers.
- **Equipment or system** - This detail the technology used on the works e.g. types of track circuits, types of CBI, types of power supplies.
- **Verification signature, name & ARTC competency ID** - The verifier to sign against each entry that is verified. Verifier to print name and ARTC competency ID. Work experience from the past or on other networks does not require ARTC competency ID but requires position title of the verifier.
- **Supervisor may make comments regarding the work performance.**
### 6.6 Process to become an External Assessor

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Contractor wanting to become an external assessor.</td>
</tr>
</tbody>
</table>
| 2.   | Contractor provides:  
|      | a. Certified copies of qualifications transcripts and a signed  
|      | b. Record of Relevant Experience  
|      | c. Current Resume  |
| 3.   | Contractor has relevant qualification and/or relevant experience as set out against the relevant criteria Internal assessor to assess competence. |
| 4.   | After review of paperwork, decision made by assessor, and contractor advised whether further assessment is required. |
| 4b.  | Relevant advisory panel informs the internal assessor of the contractor’s gap requirements or contractor does not yet have the minimum required competencies to carry out the work they have applied for. |
| 5.   | Relevant advisory panel informs the internal assessor of the contractor’s gap requirements or contractor does not yet have the minimum required competencies to carry out the work they have applied for. |
| 5b.  | After reviewing the gap assessment the relevant Advisory Panel will deem whether the contractor is competent or not. |
| 6.   | Internal Assessor verifies External Assessor Assessment Approval Form and forwards it to the contractor along with a registration number (to be used when signing off on documents) this number is also recorded in an internal register. |
| 7.   | ARTC forwards External Assessor registration number to Issuing Body as the point of identification verification. |

*Diagram*:
- **1.** Consultant currently carrying out RSW for ARTC and wanting to become an external assessor
- **2.** Consultant to provide documentation to Internal Assessor
- **3.** Internal Assessment of Documentation against criteria.
- **4.** Consultant holds relevant competency to become an external assessor
- **4b.** Relevant advisory panel informs the internal assessor of the consultant’s gap requirements or consultant denied the ability to be an external assessor.
- **5.** Further Assessment required by relevant advisory panel
- **5b.** Relevant Advisory Panel deems consultant Competent
- **6.** Assessor verifies assessment approval form and forwards it to the Consultant along with a registration number (to be used when signing off on documents) this number would also be recorded in an internal register.
- **7.** External Assessor takes their Registration Number and documentation sent to Australia Post
6.7 Work Experience Requirements for Competency Levels

**Level 1**

Level 1 competence is demonstrated in two ways:

- Successful completion of training in the activity, proved by a Statement of Attainment.
- Verified work experience showing on-the-job training covering as much supervised experience as would be gained by attending a training course. This is detailed in Part C of the Education & Training Record.

**Level 2**

To attain a Level 2 competence an individual must be able to demonstrate verified work experience carrying out the activity a minimum of four times, separately and completely from other staff in a simple or routine task. This is to be supervised and mentored by a supervisor who has the required skill level. The supervisor is responsible for performance and co-signs certification of the task. This shall be recorded in the work experience record and endorsed by the supervisor/mentor.

Where a competence is a broadening of a similar well experienced activity it is acceptable to gain a level 2 by providing evidence of carrying out the activity a minimum of two times in a simple or routine task in the manner detailed above. An example would be where an individual has 4 verified experiences in DC track circuits and 2 verified experiences on HVI track circuits. The individual would be able to gain a Level 2 in both activities due to the similar technologies.

**Level 3**

Level 3 can only be gained through verified experience including within the ARTC Network.

To attain a Level 3 competence, an individual must be able to demonstrate verified work experience carrying out the activity a minimum of five times, separately and completely from other staff in a complex task. This is to be supervised and mentored by a supervisor who has the required skill level. The supervisor is responsible for performance and co-signs certification of the task. This shall be recorded in the work experience record and endorsed by the supervisor/mentor.

Where a competence is a broadening of a similar well experienced activity it is acceptable to gain a level 3 by providing evidence of carrying out the activity a minimum of three times, in a complex task in the manner detailed above. An example would be where an individual has 5 verified experiences in DC track circuits and three verified experiences on HVI track circuits. The individual would be able to gain a Level 3 in both activities due to the similar technologies.

Half of the minimum number of work experience activities shall be performed on the ARTC network demonstrating a high level of understanding of ARTC standards and practices.
### 6.8 Assessor Competencies

The following table summarises the pre-requisite competencies for ARTC and contractor staff assessing engineering competencies.

<table>
<thead>
<tr>
<th>ARTC Assessor Competencies</th>
<th>Comments</th>
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</table>
| Hold formal recognition of competence in the following units. | • TAEASS402B Assess Competence - compulsory for all assessing staff.  
• Other AQF and non-AQF competencies to the level of those being assessed (can be waived at discretion of ARTC functional category expert). |
| Demonstrate current knowledge of the industry, industry practices, and the job or role against which performance is being assessed. | • Relevant work experience in the areas being assessed.  
• If relevant, attendance at professional development/training and education activities focusing on good practice in the relevant industry competencies.  
• If relevant, participation in professional/industry networks. |
| Demonstrate current knowledge and skill in conducting assessments in a range of contexts. | • Familiarity with the competency standards in the training package to be used by the candidate as a basis of assessment.  
• Have conducted or reviewed an equivalent assessment in the previous 12 months. |
| Demonstrate the necessary interpersonal and communication skills required in the assessment process. | • Participate in one professional development activity with a group in the previous 12 months. |
| Licencing and registration requirements. | • All licences, registrations, competencies current. |
6.9 Supporting Documents and Filenames

The documents uploaded to the Onsite system are to be in accordance with the following file naming convention and format:

- Scanned files shall be in .pdf format in the correct portrait or landscape orientation;
- B&W scanned files shall be 400dpi;
- Colour scanned files shall be 300dpi;
- Individual files shall not exceed 5 MB in size; and
- Named in the following format: <Competency ID>-<first name>-<surname>-file type.pdf
e.g. 0123CON Fred Tester – training certificates.pdf.

The following files are to be uploaded:

   <Competency ID>-<first name>-<surname>-assessment request .pdf

b. ARTC Form F26 - training & educating record – Black & White scanned .pdf files.
   <Competency ID>-<first name>-<surname>-training record.pdf
   * scanned training and education certificates – colour scanned .pdf files.
   <Competency ID>-<first name>-<surname>-training certificates.pdf

c. ARTC Form F25 - work experience record with verification by applicable supervisor / mentor – Black & White scanned .pdf file.
   <Competency ID>-<first name>-<surname>-work experience record.pdf

d. Copies of inductions including signals standards induction, and site and state specific contractor inductions – Colour scanned .pdf file.
   <Competency ID>-<first name>-<surname>-induction certificates.pdf

e. Signals safeworking accreditation – copies of safeworking training certificates including re-accreditation training - colour scanned .pdf file.
   <Competency ID>-<first name>-<surname>-safeworking certificates.pdf

f. ARTC Forms F1 to F10 – (select appropriate form) draft statement of competency with completed details (word format).
   <Competency ID>-<first name>-<surname>-Draft SoC.doc

g. ARTC Forms F11 to F20 – (select appropriate form) assessment checklists – Black & White scanned .pdf file.
   <Competency ID>-<first name>-<surname>-assessment checklist.pdf

h. Current SOC and previous SOC for signalling skills from ARTC or other accredited rail operator request – colour scanned .pdf file.
   <Competency ID>-<first name>-<surname>-competency cert <mmmyyyy of issue>.pdf