

Train Driver (Level 3) End-Point Assessment Plan

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Train Driver Level 3 End-Point Assessment

1. Summary of Assessment

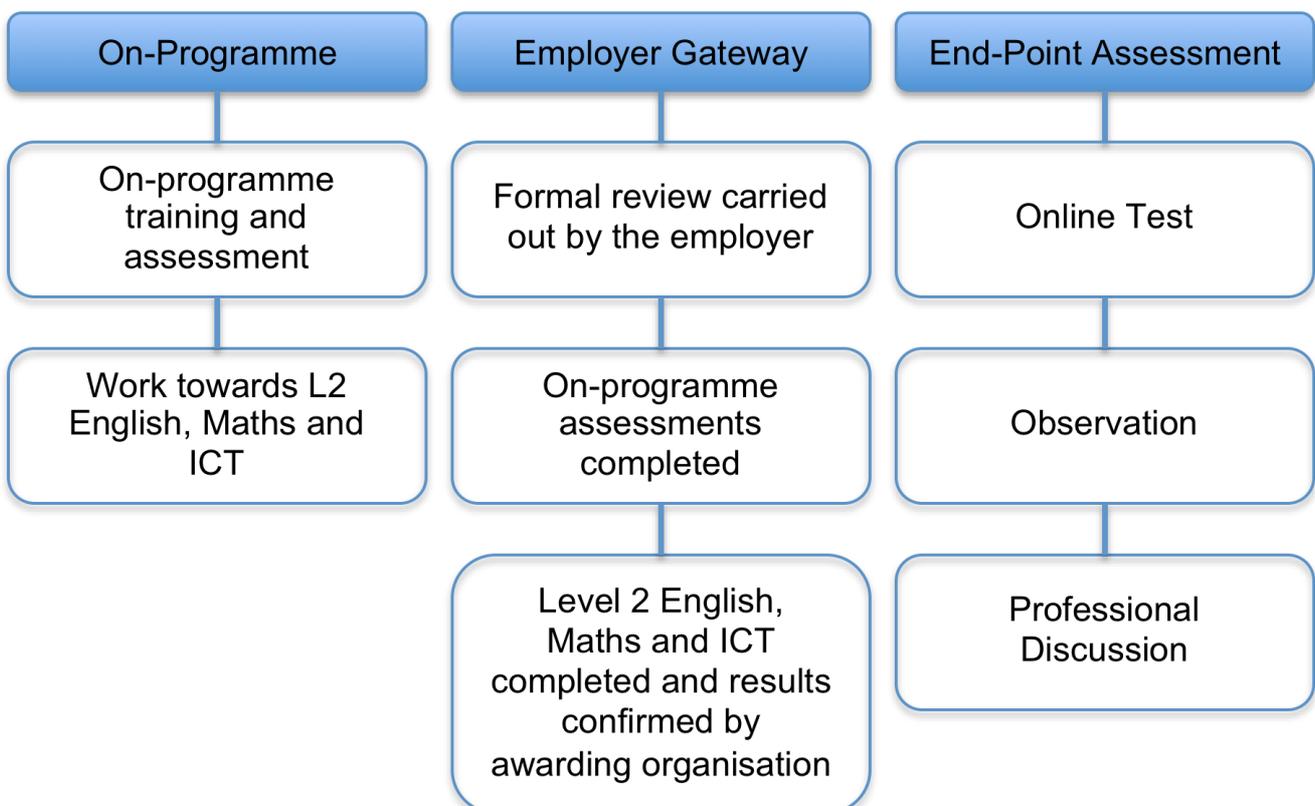
This document sets out the requirements for the independent end-point assessment for the Train Driver Level 3 apprenticeship standard. This end-point assessment plan explains the end-point assessment requirements in determining whether an apprentice has developed the knowledge, skills and behaviours required of a competent train driver.

The detail in this plan has relevance to a wide range of people including train driver apprentices, employers, training providers and end-point assessment organisations (EPAOs), as it provides information about the assessment requirements and the respective roles and responsibilities of those involved in the end-point assessment process.

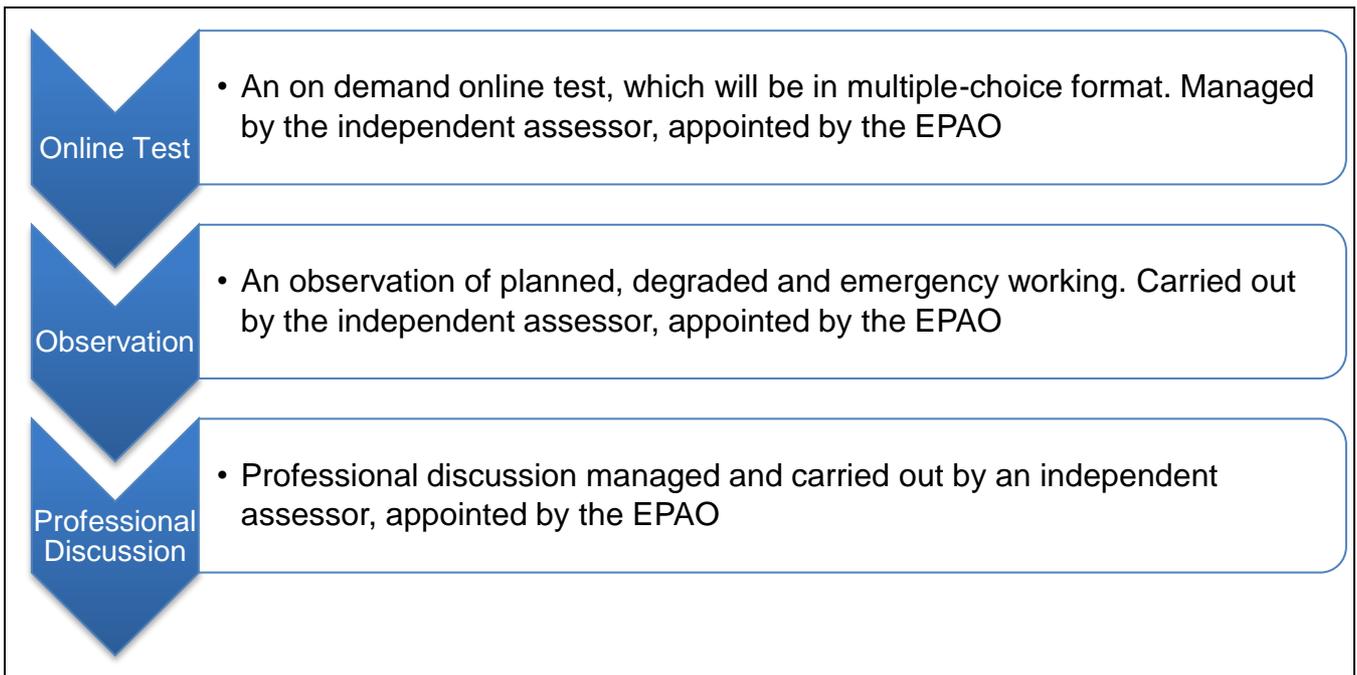
The apprenticeship comprises of two stages:

- On-programme stage that develops the underpinning knowledge, skills and behaviours of an apprentice, and
- End-point assessment stage

The train driver apprenticeship will typically take 12-18 months to complete, with the end-point assessment being undertaken during the final six months of the apprenticeship.



2. EPA Overview			
Assessment Method	Area Assessed	Assessed by	Grading
Online Test	Multiple choice test split into Safety & Security and Driving, covering a range of knowledge and skills.	End-Point Assessment Organisation	Pass or Fail
Observation	Apprentices will be observed on planned, degraded and emergency working. The independent assessor will ask questions about the actions and choices the apprentice has made.	End-Point Assessment Organisation	Pass or Fail
Professional Discussion	The professional discussion is a structured discussion between the apprentice and the independent assessor covering a range of knowledge, skills and behaviours.	End-Point Assessment Organisation	Pass or Fail
3. Assessment Gateway			
<p>A formal review between the employer, apprentice and the training provider will take place at the Employer Gateway stage.</p> <p>During the formal review employers will make the decision whether the apprentice is ready for the end-point assessment. During the formal review the employer will ensure the apprentice consistently demonstrates the relevant knowledge, skills and behaviours as described in the standard.</p> <p>Prior to taking the end-point assessment the apprentice must have achieved at least level 2 qualifications in English, maths and ICT and obtained a valid Train Driver Licence and Certificate.</p>			
4. End-Point Assessment			
<p>The end-point assessment (EPA) comprises of the following assessment methods, which are undertaken in the order shown; it is anticipated the observation and the professional discussion will take place on the same day:</p>			



Apprentices must pass each of the above end-point assessment methods to successfully complete their apprenticeship. All assessment methods must be successfully completed within a three-month period of each other, after the employer gateway.

The requirements for the online test, observation and professional discussion as outlined in this plan, must be carried out by an independent EPAO, selected by employers from those registered and detailed on the Register of End-Point Assessment Organisations (RoEPAO).

The selected EPAO will be responsible for coordinating and carrying out the end-point assessment. EPAOs must appoint appropriately qualified and experienced independent assessors to conduct the end-point assessment, as defined in this plan.

Independent assessors involved in the end-point assessment must not have had direct involvement with the apprentice as their mentor, coach, direct trainer or direct supervisor/line manager.

Successful achievement of the end-point assessment will lead to final certification of the apprenticeship and will demonstrate that the apprentice is a fully competent Train Driver.

Online Test

The independent assessor appointed by the independent EPAO will manage the online test. The online test will be arranged no less than seven days before the online test-taking place.

- The online test will ensure the apprentice is competent in a range of knowledge and skills identified in Annex A
- The online test will be an on demand test, in a multiple-choice format and computer marked ensuring validity and reliability and which allows for consistent, efficient and timely allocation of marks
- Apprentices will complete their tests on-screen unless individual assessment needs dictate a suitable alternative method, such as paper based, away from the day-to-day pressures of work and in a 'controlled' environment, which may be on or off the

employers' premises. If on demand tests are paper based, they must be sent back to the EPAO for automated marking and the independent end-point assessor will be notified of the results

- The online test will be for one hour and forty minutes; 50 multiple-choice knowledge and scenario-based questions, and split into two sections with 25 questions in each. The test will be marked out of 50 points, with each of the 50 questions worth one point.
 - Safety & Security
 - Driving
- There will be a minimum overall pass level of 85%, the apprentice must achieve a score of 80% or above in each individual section
- The question bank will cover the knowledge and skills identified in Annex A
- EPAOs must develop 'practical specification banks' of sufficient size to prevent predictability and review them regularly (and at least every twelve months) to ensure they, and the specifications are fit for purpose
- Each question will have four options but only one option will be the correct answer
- This will be a closed book test
- The EPAO will identify a suitable person to invigilate the online test
- As this test is externally set and marked it may be invigilated by the on-programme assessor, alternatively it may, but does not have to be, the assessor conducting the observation and professional discussion
- Tests will be invigilated in line with the requirements set out by the EPAO
- There will be a maximum of 15 candidates per one invigilator
- Questions will be written using the language, tone and style expected for the level of the standard
- Apprentices taking the test will be given a proportional sample of these questions which reflect general coverage of the standards to demonstrate competence within the given time constraints
- The online test will be conducted in a 'controlled environment' away from the normal place of work and will consider other requirements such as lighting, space, privacy and the requirements for an invigilator to follow a best practice process
- The results of the online test will be communicated to the apprentice and employer at the end of the end-point assessment process

Observation

The observation will be managed and assessed by an independent assessor appointed by the independent EPAO. The observation will be arranged no less than seven days before the observation taking place.

- The observation will cover: planned, degraded and emergency working, the assessment criteria can be found in Annex B

- Planned: Prepare a train for service at a depot or stabling point
 - Degraded: Identify and respond to a simulated infrastructure hazard or defective equipment
 - Emergency working: Conduct a simulated emergency call
- Planned activities will be observed in real life in the apprentices normal place of work provided the activities scheduled satisfy the independent assessor the apprentice has the full opportunity to demonstrate competency in the role. Where such opportunity does not naturally occur simulation is permitted
 - Simulation will always be used for degraded and emergency activities; this is due to the nature of these activities being unpredictable
 - Whether simulated or not, total observation will take two hours (+/- 10%) and it is for the independent assessor to ensure the apprentice has had opportunity to demonstrate all of the knowledge, skills and behaviours being tested
 - The observation assessment will synoptically assess the knowledge, skills and behaviours identified in Annex A
 - During the observation the independent assessor will ask questions about the actions the apprentice has taken and the choices they made to complete the tasks to assess knowledge and understanding; EPAOs will provide a standard template upon which to record the observation outcomes
 - The results of the observation will be communicated to the apprentice and employer at the end of the end-point assessment process.

Professional Discussion

The professional discussion is a synoptic assessment testing knowledge, skills and behaviours together to ensure competence; it will be the final stage of the end-point assessment process. The assessor conducting the professional discussion should ideally be the same person who carried out the observation.

The professional discussion will include planned, degraded and emergency working

- The professional discussion will synoptically assess the knowledge, skills and behaviours identified in Annex A
- The professional discussion will be carried out over a one-hour period (+/- 10%)
- Independent assessors will select ten questions from a bank of forty standardised scenario based questions to ensure a consistent approach is adopted, as well as ensuring all required areas of the standard are appropriately covered
- The apprentice will not be allowed to use or bring any reference materials into the professional discussion
- A structured brief and question bank will be developed by EPAOs to support independent assessors in reaching a consistent judgement
- A standard question template will be developed by the EPAO and will be used to ensure consistency and allow independent assessors to focus on key areas for

confirmation of performance and effective appraisal of the evidence base. This will ensure that consistent approaches are taken and that all key areas are appropriately explored

- The independent assessor will document the questions asked as well as the apprentice's responses on the standard question template.
- The professional discussion will be conducted in a 'controlled environment' i.e. a quiet room, away from the normal place of work. If for any reason it is not possible for the apprentice and independent assessor to meet in the same place, independent assessors must ensure adequate controls are in place to maintain fair and accurate assessment. The professional discussion may be conducted using technology, as long as fair assessment conditions can be maintained. Acceptable means of remote assessment include video conferencing / video calling and must include a two-way visual and audio link
- EPAOs must develop 'practical specification banks' of sufficient size to prevent predictability and review them regularly (and at least every twelve months) to ensure they, and the specifications are fit for purpose
- After the professional discussion the independent assessor will make a judgement as to whether the apprentice successfully met the requirements of the end-point assessment
- The results of the professional discussion will be communicated to the apprentice and employer at the end of the end-point assessment process

5. End-Point – Final Judgement

The EPAO will be responsible for carrying out the end-point assessment. Independent end-point assessment assessors will review the outcomes from all end-point assessment methods and decide if the apprentice has met the competence required by the standard and award a pass or fail grade.

The independent assessor is responsible for the final judgement for the overall grade.

6. Independence

The results for each of the three end-point assessment methods require independent assessment and judgement. Independence and impartiality is achieved during the end-point assessment by the EPAO appointing assessors who are independent of apprentices and their employers.

Employers are not permitted to make any grading judgements within the end-point assessment process. EPAOs will be responsible for the recruitment and performance of the independent assessors who will conduct the train driver end-point assessments. Any appeals regarding the outcome of the end-point assessment grading will be dealt with in accordance with the EPAOs stated appeals policy.

All EPAOs must be on the Education and Skills Funding Agency's Register of End-point Assessment Organisations.

7. End-Point Grading

Due to the safety critical nature of the Rail industry the train driver apprenticeship will be graded pass or fail. The pass or fail will be determined by collective performance in all three-assessment methods in the end-point assessment.

The final grading is based on the evidence provided by the apprentice during each of the three end-point assessment methods undertaken.

The decision is to be communicated to the apprentice within ten working days of the final element, the professional discussion, taking place.

A successful pass of the end-point assessment leads to final apprenticeship certification.

The apprentice needs to pass all three of the end-point assessment methods to pass. If an apprentice fails one of the assessment methods they will be given a further opportunity to re-sit the assessment within three months of their first attempt. A re-sit does not require further learning, whereas a re-take does.

If the apprentice fails more than one assessment method the apprentice will need to undertake a period of further learning. The apprentice must have a supportive action plan in place to prepare for the re-take.

Further re-takes will be at the discretion of the employer following a formal review with the apprentice to determine if the apprentice is ready for further assessment.

If the apprentice is unable to complete one of the assessment methods due to reasons beyond their control, such as assessor absence, the assessment method missed should be rescheduled and the potential grade the apprentice could achieve would not be affected in these circumstances. Whether or not there are extenuating circumstances is for the Independent Assessor to decide.

If the retakes are not passed within six months of the Employer Gateway the apprentice will need to retake the whole end-point assessment.

Grading criteria is set-out in Annex C

Any appeals regarding the outcome of the end-point assessment grading will be dealt with in accordance with the assessment organisation's stated appeals policy.

8. Professional Body Recognition

The Institution of Railway Operators and the Chartered Institute of Logistics and Transport support the development of this apprenticeship standard. Successful completion of the apprenticeship programme allows them to progress to the Associate or Affiliate level of professional registration.

9. End-Point – summary of roles and responsibilities	
Role	Responsibilities
Employer	<p>Select the independent EPAO from those listed on the Register of End-Point Assessment Organisations (RoEPAO) and inform training provider of this.</p> <p>Decide whether the apprentice has achieved the competence required to progress through the employer gateway and is ready to undertake the end-point assessment. Recommended that this is undertaken in discussion with the apprentice, and where appropriate the training provider.</p> <p>Liaise with the training provider and independent EPAO in the scheduling of an apprentice's end-point assessment and releasing apprentices to attend the end-point assessment at the appropriate time.</p> <p>Monitor progression of an apprentice and ensure that the apprentice is aware of required assessment dates and submission.</p>
Training Provider	<p>Support the employer in the training and on-programme assessment of the apprentice, as agreed between employer and training provider and decision for apprentice to progress through required gateway to end-point assessment.</p> <p>Liaise with the independent EPAO regarding booking the apprentice on to end-point assessment, adhering to the EPAOs processes regarding notice period for assessment allowing the EPAO to plan, schedule and send out required notification for end-point assessment dates.</p> <p>Play no part in the end-point assessment itself.</p>
Assessors undertaking the end-point assessment on behalf of the independent end-point assessment organisation	<p>Plan, schedule and advise apprentices of when and where they will undertake their end-point assessment</p> <p>Communicate outcome to EPAO and complete relevant paperwork, as directed by EPAO.</p> <p>Contribute in any appeals against end-point assessment outcomes, in accordance with the independent EPAOs appeals process.</p> <p>Take part in standardisation and moderation meetings/events, as required to ensure consistency of approach across train driver apprentices' end-point assessment.</p>

10. Internal Quality Assurance

The EPAO will be responsible for carrying out the end-point assessment. Independent assessors involved in the end-point assessment must not have had direct involvement with the apprentice as their direct trainer or direct supervisor/line manager.

All EPAOs must be on the Education and Skills Funding Agency's Register of End-point Assessment Organisations.

The EPAOs primary role will be to ensure that all decisions are consistent, credible and undertaken with integrity, it will:

- Provide documentation and guidance in relation to the requirements of the apprenticeship
- Monitor assessors and provide remedial support to ensure consistency and reliability of judgements on a risk basis, for example, those newly qualified
- Approve assessors for the purposes of conducting assessments, based on a check of knowledge, experience, assessment qualifications and independence
- Provide training for assessors in terms of the requirements of the apprenticeship, online exam, observation and professional discussion
- Provide training for assessors in undertaking fair and impartial assessment and making judgements about performance and the application of knowledge and behaviours within a workplace setting
- Hold at least one standardisation event every six months for assessors to ensure consistent application of the guidance
- Ensure EPAO staff are trained in assessment and moderation processes and undertake regular continuing professional development
- Develop and manage a complaints and appeals procedure

Minimum requirements of Assessors

Assessors must:

- Be registered and recognised by the EPAO
- Be competent to make qualitative judgements about the occupations they are assessing, illustrations of competence could include the assessor;
 - Having substantial demonstrable experience in the job roles they are assessing
 - They must be currently working in the industry and be occupationally competent, with a valid Train Driver Licence and Certificate
 - Being in a day-to-day line management, training or quality assurance role in the area they are assessing
- Carry out their duties in accordance with the current national occupational standards for assessment, and in line with current guidance on assessment practice issued by the EPAO

- Be in possession of or working towards the assessment qualifications or hold the A1/A2, D32/33 award
- Maintain appropriate evidence of development activities to ensure their assessment skills and occupational understanding are current (CPD)
- Have a working knowledge of the apprenticeship standard and a full understanding of that part of the apprenticeship standard for which they have responsibility. The EPAO will confirm this through examination of relevant CVs supported by relevant references
- Be approved by the EPAO that must maintain records demonstrating how they meet the requirements. The appointment of assessors may require the prior approval of the EPAO
- Meet any additional requirements as specified by the EPAO

11. External quality assurance (EQA)

External quality assurance arrangements will ensure that EPAOs delivering EPA for this apprenticeship operate consistently and in line with this plan.

External quality assurance for this apprenticeship standard will be undertaken by The National Skills Academy for Rail.

12. Implementation

Affordability:

The end-point assessment process developed is both efficient and cost effective. It builds on the processes in place. It is affordable for employers of all sizes.

Consistency:

This assessment plan is designed to produce outcomes that are consistent and reliable across apprentices employed in different sizes of organisation with different specialisms.

There has been a collaborative approach across the rail sector in developing the standard and the end-point assessment plan.

EPAOs will produce guidance for apprentices, employers and training providers to ensure consistency and accuracy. Any other guidance/information produced will be made freely available through the EPAOs and the National Skills Academy for Rail website.

Volumes:

The number of Train Driver apprentices for this apprenticeship standard is estimated to be in the region of 1000-1300 per annum across train and freight operating companies.

Annex A – End-point assessment methods table

Key: OT = Online Test, OB = Observation, PD = Professional Discussion

Knowledge and understanding to be assessed		Method of Assessment		
K1	A good understanding of relevant health and safety legislation, statutory operating regulations within own role and organisation and how to monitor it. E.g. industry procedures and safety requirements and instructions.	OT		
K2	Requirements and process for ensuring rail safety and security on the line, trains and at stations and depots. E.g. evacuation points.	OT		
K3	Knowledge of legislation, in-depth understanding and competency in the rules applicable to rail operation, safety and licensing and certification of train drivers.			PD
K4	Know and understand procedures and methods to ensure transfer of information to different stakeholders e.g. using report forms, phonetic alphabet, codes and numbering.		OB	
K5	Understand the importance of making accurate, timely decisions and know how to lead and manage operational incidents and emergencies during degraded and emergency working. Understanding of their role within the incident response teams and emergency services.			PD
K6	A sound awareness of the specific professional and personal demands, such as working alone, with others, shift work over a 24-hour cycle, individual protection and security, reading and updating documents.	OT		
K7	An in-depth working knowledge of the trains to be driven e.g. bringing a train into service, shunting operations, operating, stopping and taking a train out of service. An in-depth understanding of how to mobilise and immobilise, identify faults or errors and any remedial action to be taken.		OB	
K8	A thorough knowledge of the procedures associated with train dispatch.	OT		
K9	A thorough knowledge of the principles of route learning	OT		
K10	Recognise when to report a train fault or failure, infrastructure hazard or defective equipment on track or at a station. Fully understand the actions, responsibilities and reporting procedures necessary to minimise the impact to services.			PD
K11	A good understanding of dangerous goods relevant to a range of rail operations and how to convey and deal with them effectively in an emergency	OT		
K12	Good knowledge and understanding of the special conditions of carriage relevant to your role.			PD
K13	Awareness of how the rail industry works, such as; franchising			PD

	arrangements, railway organisations, rail specific terminology, business goals, personal impact within the company.			
K14	A good understanding of professional development planning and responsibilities for maintaining personal competency.			PD
K15	Understand the risk of ill health and the impact of wellbeing on the safety of an individual, others at work and the public. Understand strategies for fatigue management e.g. sleep quality and environment, healthy lifestyle, diet, time and stress management.			PD
K16	A good understanding of information relating to company products and services. Understand how to recognise both company internal and external customers, focusing on the manner in which the message is delivered.			PD

Skills to be assessed		Method of Assessment		
S1	Continuously monitor area of responsibility to ensure compliance with rail legislation and organisational procedures. Overall responsibility of passengers, staff and goods to enable compliance with regulations through safe and effective rail operation. Constructively challenge unsafe practice at all levels and report through the necessary channels.	OT		
S2	Constantly maintain a secure environment and respond to security issues and take appropriate action in the event of a breach of security and review how effective the methods and actions have been e.g. safe systems of work, closing gates and doors when entering secured premises, securing cab doors when leaving trains on main lines and stations.	OT		
S3	Monitor compliance with legislation, procedures and regulations in a rail environment within own area of responsibility. Keep up to date with all relevant train legislation and retaining vast amounts of information			PD
S4	Clearly and accurately carry out verbal communications, face to face and by using written methods and procedures e.g. using the PA system or train radio.		OB	
S5	Follow procedures to lead and manage incidents and emergencies until incident response teams arrive onsite e.g. overall responsibility for protecting passengers, other staff the train when deciding which line/s are blocked and making a decision as to which line/s to protect first.			PD
S6	Considers and responds appropriately to the needs and safety of themselves and others e.g. wears appropriate personal protective equipment, uses authorised walking routes, informs all relevant parties of hazards when these are observed. Supports other colleagues in demanding work situations e.g. be cooperative and give guidance to colleagues and managers and communicate effectively.	OT		
S7	Make instant complex autonomous decisions during normal, degraded and emergency working. Check and monitor rail systems effectively, diagnosing and resolving problems upon identification of faults or errors in a timely manner to minimise risk and a delay to services. Remain alert at all times and have the ability to perceive any hazards, which may occur during the journey. Locate and prepare trains for service, marshal and shunt trains, drive trains on main lines, depots and sidings, deal with operational incidents, emergencies and berth trains.		OB	
S8	Dispatch trains under different circumstances e.g. Driver only operated services and guard operated services from staffed and unstaffed stations.	OT		

S9	Ability to learn and memorise routes features within required timescales e.g. signalling types, principle junctions, tunnels, names of running lines and line-speeds.			PD
S10	Make autonomous decisions and work through altered methods of working when in operation, communicate details of the hazard/defective equipment to necessary stakeholders using appropriate methods. Ensure the safe operation of the train in degraded situations and carry out any necessary protection arrangements according to the situation.	OT		
S11	Effectively manage dangerous goods in own area of competency, report and protect other lines in a dangerous goods emergency.	OT		
S12	Able to identify and comply with relevant special conditions of carriage e.g. speed restrictions, heavy axle weight, dangerous goods, tunnels and bridges			PD
S13	Identify and manage individual development needs, maintain and develop skills, knowledge and behaviours, in compliance with the competency management system			PD
S14	Manage own fitness and lifestyle to enable work to be carried out competently in order to reduce the risk to health and safety to self and all stakeholders			PD
S15	Deal with customer enquiries promptly and politely Redirect customer complaints and/or enquiries to the appropriate personnel when unable to personally deal with them			PD
S16	Manage the speed, braking and driving of trains to optimise fuel economy, reduce maintenance costs and minimise financial penalties for late or wrong time arrivals or departures and fail to call at scheduled stops.			PD

Behaviours to be assessed		Method of Assessment		
B1	Act professionally, demonstrating dependability, determination, honesty and integrity			PD
B2	Display a self-disciplined, self-motivated, proactive approach to work and your own health and wellbeing			PD
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure		OB	
B4	Willing to learn new skills and to adjust to change			PD
B5	Be approachable, respect others, act ethically and contribute to sustainable development		OB	
B6	Always seeks to support business goals and maintain an awareness of economic challenges			PD

Annex B – Observation Criteria

	Planned Working	Criteria
K7	An in-depth working knowledge of the trains to be driven, understand how to mobilise and immobilise, identify faults or errors and any remedial action to be taken	<p>1. Prepare a train for service at a depot or stabling point</p> <p>2. Ensure the train is safe to enter service</p> <p>3. Check all safety systems are operating correctly</p> <p>The assessor must observe:</p> <ol style="list-style-type: none"> 1. Setting up and testing cab radio systems 2. Purpose and location safety and emergency equipment on train type operated 3. Testing safety systems and equipment 4. Brake continuity tests required for train type operated 5. Know what fault indications during preparation can affect the train types fitness for service 6. Know what action to take if safety equipment is not working correctly 7. Procedure for reporting and recording train faults 8. Key systems and equipment that must be operational to enter service from a depot, siding or station 9. Action to take if train is unserviceable 10. How to enter and exit train in a safe manner
S7	Check and monitor rail systems effectively, diagnosing and resolving problems upon identification of faults or errors in a timely manner to minimise risk and a delay to services. Locate and prepare trains for service, marshal and shunt trains, drive trains on main lines, depots and sidings, deal with operational incidents and emergencies, berth trains	
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure	
B5	Be approachable, respect others, act ethically and contribute to sustainable development	
	Degraded Working	
K4	Know and understand procedures and methods to ensure transfer of information to different stakeholders	<p>Identify and respond to a simulated infrastructure hazard or defective equipment, one of the following:</p> <ul style="list-style-type: none"> • Broken line or track defect • Signals incorrectly displayed or obscured • Missing line side signage, displayed incorrectly or obscured • Failed level crossing • Obstruction of the line such as large animals within the boundary fence <p>The assessor must observe:</p> <ol style="list-style-type: none"> 1. Identification of infrastructure hazards, defective equipment or failures 2. Details of the hazard/ defective
S4	Clearly carry out verbal communications, face to face and by using written methods and procedures, choosing the appropriate form of communication for the situation	
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure	

B5	Be approachable, respect others, act ethically and contribute to sustainable development	equipment communicated to the necessary persons using the appropriate form of communication 3. Actions, considerations and reporting process for infrastructure hazards, defective equipment or failures
	Emergency Working	Criteria
K4	Know and understand procedures and methods to ensure transfer of information to different stakeholders	Conduct a simulated emergency call, one of the following: <ul style="list-style-type: none"> • Emergency brake application • Emergency brake application not applied by the driver e.g. train safety system, passenger emergency alarm • Station overrun • Train passed a signal at danger The assessor must observe: <ol style="list-style-type: none"> 1. Identification and appropriate action for operating incidents 2. Communication of the emergency situation - how, when and to whom to communicate an emergency situation 3. Identification and respond correctly to an emergency situation 4. How to receive and respond to an emergency call 5. Effective communication with customers to mitigate the consequences of the accident /emergency 6. Accurate, brief and clear communication 7. Correct terminology used e.g. phonetic alphabet
S4	Clearly carry out verbal communications, face to face and by using written methods and procedures, choosing the appropriate form of communication for the situation	
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure	
B5	Be approachable, respect others, act ethically and contribute to sustainable development	

Annex C – Grading Descriptors

Apprentices need to meet all pass characteristics in each of the methods in order to pass the apprenticeship overall. Details of both pass and fail characteristics are shown below for each assessment method.

Online Test

The following criteria will demonstrate a **pass** for the online test:

Pass - in order to pass the online test the apprentice will demonstrate 85% or more overall

Fail – if an apprentice scores 79% or less in any one section and the overall score is 84% or less, this will demonstrate a fail

Safety and Security – 25 questions K1, K2, K6, K11, S1, S2, S6, S10	
Pass	Fail
80% or more	Less than 80%
Driving – 25 questions K8, K9, S8, S9	
Pass	Fail
80% or more	Less than 80%
Overall	
Pass	Fail
85% or more	Less than 85%

Observation

The following criteria will demonstrate a **pass** for the observation:

Pass - in order to pass the observation the apprentice will demonstrate all of the criteria, in the pass column

Fail – fails to provide sufficient evidence to meet knowledge, skills and behaviour evidence; fails to provide one or more of the requirements of Annex B. An automatic fail can be awarded during the observation if the apprentice is seen to undertake any action which would endanger themselves or the lives of others and/or which is in violation of any legislation and/or regulation.

	Knowledge, skills and behaviours	Pass
	Planned Working	
K7	An in-depth working knowledge of the trains to be driven, understand how to mobilise and immobilise, identify faults or errors and any remedial action to be taken	Demonstrates a good awareness of staff roles and operating instructions for locations where trains are stabled Able to carryout preparation/ mobilisation/ service safety checks of train unit operated within timescales
S7	Check and monitor rail systems effectively, diagnosing and resolving problems upon identification of faults or errors in a timely manner to minimise risk and a delay to services. Locate and prepare trains for service, marshal and shunt trains, drive trains on main lines, depots and sidings, deal with operational incidents and emergencies, berth trains	Demonstrates a good core safety and protection requirements of trains within a depot, siding or station including the appropriate authority to be gained prior to preparing the train Able to identify potential safety hazards when entering and exiting a train Able to identify safety requirements when carrying out train preparation, service safety check or train mobilisation Able to use reference documents which

		<p>provide information required for preparation, mobilisation or service safety checks</p> <p>Accurately follows the operating instructions for the location where the train is stabled and able to locate train in the allocated time</p> <p>Confidently looks for depot / train protection systems and follows the correct procedures</p> <p>Able to prepare and/or mobilise the train to the required standard in the allocated time in accordance with the specification for the train type</p> <p>Ensures train is formed correctly in accordance with operational requirements</p> <p>Able to identify irregularities with systems and equipment, problems are recorded and promptly reported using approved methods</p> <p>Demonstrates the remedial action to be taken where the train is unserviceable and the appropriate person is informed promptly</p>
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure	<p>Routinely follows standardised procedures</p> <p>Concentrates on immediate task at hand</p> <p>Remains calm and professional when under pressure</p> <p>Recognises signs of loss of attention and proactively addresses</p> <p>Can make rational, logical, and clear decisions under pressure situations and does this proactively</p>
B5	Be approachable, respect others, act ethically and contribute to sustainable development	<p>Proactively shares information, which can be trusted at all times</p> <p>Attitude is respectful & positive and never has a negative impact on other people</p> <p>Maintains a positive approach to requirements</p> <p>Openly supports change and recommends areas for improvement</p> <p>Considers impact of own actions on other people or activities</p> <p>Listens to and acts upon feedback</p>
Degraded Working		
K4	Know and understand procedures and methods to ensure transfer of information to different stakeholders	

S4	Clearly carry out verbal communications, face to face and by using written methods and procedures, choosing the appropriate form of communication for the situation	<p>Demonstrates effective communication, specifically in relation to observing the safety critical communication protocols</p> <p>Responds to a situation/event in accordance with the relevant rules and regulations</p> <p>Demonstrates a good understanding of incidents that can occur on station platforms or during train dispatch</p> <p>A thorough understanding of actions and reporting procedures when responding to degraded working</p> <p>Demonstrates a thorough understanding of impact of own actions on others and the train service</p> <p>Reaches a clear understanding through appropriate use of questioning, summarising and read backs</p> <p>Involves all relevant parties in the activity; communicating clearly and working together as required</p>
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure	<p>Routinely follows standardised procedures</p> <p>Concentrates on immediate task at hand</p> <p>Remains calm and professional when under pressure</p> <p>Recognises signs of loss of attention and proactively addresses</p> <p>Can make rational, logical, and clear decisions under pressure situations and does this proactively</p>
B5	Be approachable, respect others, act ethically and contribute to sustainable development	<p>Proactively shares information, which can be trusted at all times</p> <p>Attitude is respectful & positive and never has a negative impact on other people</p> <p>Maintains a positive approach to requirements</p> <p>Openly supports change and recommends areas for improvement</p> <p>Considers impact of own actions on other people or activities</p> <p>Listens to and acts upon feedback</p>
Emergency Working		
K4	Know and understand procedures and methods to ensure transfer of	

	information to different stakeholders	Responds to a situation/event in accordance with the relevant rules and regulations
S4	Clearly carry out verbal communications, face to face and by using written methods and procedures, choosing the appropriate form of communication for the situation	<p>Demonstrates the ability to maintain personal and other team member's safety</p> <p>Can demonstrate breadth of experience within the context of a competent train driver</p> <p>Able to control an incident and identify the correct type of response</p> <p>Able to operate a safe working environment for emergency working</p> <p>Uses clear and engaging communication to establish a good rapport with stakeholders</p>
B3	Be risk aware, mitigate risks by checking information, concentrating on the task, maintaining an awareness of changing circumstances and remaining calm under pressure	<p>Routinely follows standardised procedures</p> <p>Concentrates on immediate task at hand</p> <p>Remains calm and professional when under pressure</p> <p>Recognises signs of loss of attention and proactively addresses</p> <p>Can make rational, logical, and clear decisions under pressure situations and does this proactively</p>
B5	Be approachable, respect others, act ethically and contribute to sustainable development	<p>Proactively shares information, which can be trusted at all times</p> <p>Attitude is respectful & positive and never has a negative impact on other people</p> <p>Maintains a positive approach to requirements</p> <p>Openly supports change and recommends areas for improvement</p> <p>Considers impact of own actions on other people or activities</p> <p>Listens to and acts upon feedback</p>

Professional Discussion

The following criteria will demonstrate a **pass** for the professional discussion:

Pass - in order to pass the professional discussion the apprentice will demonstrate all of the criteria, in the pass column

Fail – if an apprentice fails to demonstrate all of the pass criteria, this will be a fail

	Knowledge, skills and behaviours	Pass
	Planned Working	
S9	Ability to learn and memorise routes features within required timescales	Demonstrates a full understanding of route features and risks applicable to the routes

B4	Willing to learn new skills and to adjust to change	signed by the apprentice Demonstrates how to maintain route knowledge and process for requesting refresh
K13	Awareness of how the rail industry works, such as; franchising arrangements, railway organisations, rail specific terminology, business goals, personal impact within the company	Demonstrates sound knowledge of the company structure, franchise length, owning company and their role within the company Demonstrates understanding of specific railway terminology e.g. TOC, FOC, IRO, RSSB, BTP etc.
S16	Manage the speed, braking and driving of trains to optimise fuel economy, reduce maintenance costs and minimise financial penalties for late or wrong time arrivals or departures and fail to call at scheduled stops.	Adopts the correct driving techniques to maximise efficiencies and reduce costs whilst maintaining safety as a priority Is cooperative and helpful to colleagues and managers
B6	Always seeks to support business goals and maintain an awareness of economic challenges	
K16	Understand information relating to company products and services Understand how to recognise both company internal and external customers	Able to ask relevant questions to determine customer and stakeholder needs Confidently communicates knowledge of their occupational role and where that sits in the wider rail industry
S15	Deal with customer enquiries promptly and politely Redirect customer complaints and/or enquiries to the appropriate personnel when unable to personally deal with them	Uses clear and engaging communication to establish a good rapport with customers Able to ask relevant questions to determine customer needs
K14	Understand professional development planning and responsibilities for maintaining personal competency	Demonstrates a good knowledge of the opportunities for progression from the Driver grade (to Driver Mentor/Instructor, Driver Manger etc.) and the skills and qualifications needed to do so
S13	Identify and manage individual development needs, maintain and develop skills, knowledge and behaviours, in compliance with the competency management system	Continuously reflects on opportunities for continuous improvement e.g. records/logs details of actions in accordance with written down procedures
K15	Understand the risk of ill health and the impact of wellbeing on the safety of an individual, others at work and the public. Understand strategies for fatigue management	Demonstrates a good understanding of the company fatigue policy Able to recognise the common signs and symptoms of fatigue A good understanding of the causes of fatigue and associated risks
S14	Manage own fitness and lifestyle to enable work to be carried out	Recognises potentially serious situations and

	competently in order to reduce the risk to health and safety to self and all stakeholders	chooses the best course of action appropriate to the situation or task
B2	Display a self-disciplined, self-motivated, proactive approach to work and your own health and wellbeing	Considers impact of own actions on other people or activities Demonstrates reflective learning Knows own limitations, and when to ask for help or escalate Shares learning points
B1	Act professionally, demonstrating dependability, determination, honesty and integrity	Proactively shares Information, which can be trusted Goes out of their way to represent the business Promotes value of core behaviours Openly supports change and recommends areas for improvement
Degraded Working		
K10	Recognise when to report a train fault or failure, infrastructure hazard or defective equipment on track or at a station. Actions and reporting procedures necessary to minimise the impact to services	Demonstrates good knowledge of their company's Defective On Train Equipment (DOTE) policy for three different on-train faults Adopts a safe and systematic approach to identify, diagnose or rectify faults/ failures in systems and equipment using approved methods and procedures
K12	Know and understand the special conditions of carriage relevant to your role	Demonstrates a good understanding of the different types of special conditions of carriage
S12	Able to identify and comply with relevant special conditions of carriage	Demonstrates the different types of special conditions of carriage within their area of responsibility
Emergency Working		
K3	Knowledge of legislation, in-depth understanding and competency in the rules applicable to rail operation and safety, requirements and procedures regarding the licensing and certification of train drivers	Demonstrates in-depth knowledge and understanding of the Train Driver Licences and Certificate Regulations A good ability to comply and monitor with legislation, procedure and regulations, such as, The Railway and Other Guided Transport Systems Regulations (ROGS)
S3	Monitor compliance with legislation, procedures and regulations in a rail environment within own area of responsibility. Keep up to date with all relevant train legislation and retaining vast amounts of information	Ensures awareness of changes to rules/ regulations and operating instructions
K5	Understand the importance of	

	<p>making accurate, timely decisions and know how to lead and coordinate operational incidents and emergencies</p> <p>Understanding of their role within the incident response teams and emergency services</p>	<p>Understands how to lead and control an incident or emergency and identify the correct type of response until incident response teams arrive</p> <p>Involves all relevant parties in the activity: communicating clearly and working together as required</p>
S5	<p>Follow procedures to lead and coordinate incidents and emergencies until incident response teams arrive onsite</p>	<p>Demonstrates ability to maintain system safety throughout</p>