

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

## Level 3

### Work Instruction

### Monitoring of Spoken Safety Communications

#### Approvals

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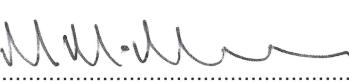
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Ref:	NR/L3/MTC/MG0173
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## User information

This Network Rail document contains colour-coding according to the following Red–Amber–Green classification.

### **Red requirements – *no variations permitted***

- Red requirements are to be complied with and achieved at all times.
- Red requirements are presented in a red box.
- Red requirements are monitored for compliance.
- Non-compliances will be investigated and corrective actions enforced.

### **Amber requirements – *variations permitted subject to approved risk analysis and mitigation***

- Amber requirements are to be complied with unless an approved variation is in place.
- Amber requirements are presented with an amber sidebar.
- Amber requirements are monitored for compliance.
- Variations can only be approved through the national variations process.
- Non-approved variations will be investigated and corrective actions enforced.

### **Green guidance – *to be used unless alternative solutions are followed***

- Guidance should be followed unless an alternative solution produces a better result.
- Guidance is presented with a dotted green sidebar.
- Guidance is not monitored for compliance.
- Alternative solutions should be documented to demonstrate effective control.

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

## Compliance

This Network Rail standard/control document is mandatory and shall be complied with by Network Rail Infrastructure Limited and its contractors if applicable from 01 September 2018.

Where it is considered not reasonably practicable<sup>1</sup> to comply with the requirements in this standard/control document, permission to comply with a specified alternative should be sought in accordance with the Network Rail standards and controls process, or with the Railway Group Standards Code if applicable.

If this standard/control document contains requirements that are designed to demonstrate compliance with legislation they shall be complied with irrespective of a project's Governance for Railway Investment Projects (GRIP) stage. In all other circumstances, projects that have formally completed GRIP Stage 3 (Option Selection) may continue to comply with any relevant Network Rail standards/control documents that were current when GRIP Stage 3 was completed.

**NOTE 1:** *Legislation includes Technical Specifications for Interoperability (TSIs).*

**NOTE 2:** *The relationship of this standard/control document with legislation and/or external standards is described in the purpose of this standard.*

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<sup>1</sup> *This can include gross proportionate project costs with the agreement of the Network Rail Assurance Panel (NRAP).*

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

### Issue record

Issue	Date	Comments
01	December 2010	Initial issue
02	March 2018	Updated process for monitoring spoken safety critical communications. RAG status applied to document and Spoken Communications Monitoring Form introduced.

### Reference documentation

SMF/MG/467	Spoken Communications Monitoring Form
NR/L2/OPS/037	Management of Spoken Safety Communications
NR/L3/OPS/045/2.16	Voice Recording Checks – Messages Concerning Safety

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

## Contents

<b>1 Purpose .....</b>	<b>6</b>
<b>2 Scope.....</b>	<b>6</b>
<b>3 Procedure.....</b>	<b>6</b>
3.1 Frequency of proactive communications monitoring.....	6
3.2 Communications monitoring .....	6
3.2.1 Management reviews.....	6
3.2.2 Additional monitoring .....	7
3.2.3 Bespoke reviews .....	7
3.2.4 CRG reviews .....	7
3.3 Management of records for employees subject to communications monitoring....	7
3.3.1 Documentation .....	7
3.3.2 Competence .....	7
3.3.3 Records .....	7
3.4 Communications Monitoring Process .....	8
3.4.1 Simulated conversations.....	8
3.4.2 Assessment.....	8
3.4.3 Completing the spoken communications monitoring form .....	8
Table 1 – Assessment outcome and actions .....	9
3.4.4 Scoring .....	9
3.4.5 Outcome .....	10
3.4.6 Personal development plan .....	10
3.5 Reporting on communication monitoring .....	10
3.5.1 Periodic reporting .....	10
3.5.2 HoMD review .....	10

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

## 1 Purpose

This document supports the delivery of NR/L2/OPS/037 and provides a process to mitigate risks to Network Rail caused by inadequate communication.

## 2 Scope

This document details the arrangements for the monitoring and assessment of spoken safety critical communications in Infrastructure Maintenance.

The document specifies the frequencies for assessments, arrangements for recording assessment outputs and the process for the following types of monitoring:

- a) voice recordings extracted from current electronic systems in use – proactively targeted at known times when staff will be in communication with Signal Boxes and / or Route Operations Control;
- b) outputs from Route Businesses England & Wales and Route Business Scotland who lead the Route Communications Review Group (CRG) joint safety critical communications monitoring session;
- c) voice recordings assessed as a result of a post-incident investigation;
- d) work place observation and assessments whilst staff are engaged in safety critical communication which may be undertaken in conjunction with Planned General Safety Inspections (PGSI) or similar; and
- e) simulated conversations conducted in conjunction with the Annual Capability Conversation competency review.

## 3 Procedure

### 3.1 Frequency of proactive communications monitoring

Section Managers shall monitor at least annually staff who carry out safety critical work including Person in Charge of Possession (PICOP), Engineering Supervisor (ES), Controller of Site Safety (COSS), Individual Working Alone (IWA) and Protection Controller (PC), on the quality of their safety communications. Monitoring shall be undertaken by the Section Manager or their immediate deputies.

**NOTE:** Safety communication monitoring delivered in conformance with this standard is additional and supplementary to Annual Capability Conversation Safety Critical Communications competence modules and the associated underpinning knowledge tests.

### 3.2 Communications monitoring

#### 3.2.1 Management reviews

For employees in a Delivery Unit (DU) or Route in a role of Section Manager and above that are required to be monitored:

- a) Section Manager of the functional Maintenance Engineer – the functional Maintenance Engineer shall deliver monitoring.
- b) Functional Maintenance Engineer and all other support DU personnel – the Infrastructure Maintenance Engineer (IME) shall deliver monitoring.

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

c) IME, Infrastructure Maintenance Delivery Managers (IMDM), Route Head of Maintenance Delivery (HoMD) and all other Route personnel – the Route Workforce Health, Safety & Environment Advisor (WS&EA) shall deliver monitoring.

### 3.2.2 Additional monitoring

Additional or increased frequency safety communications monitoring shall be undertaken on an individual basis.

**NOTE:** This is usually as part of a corrective action or development plan (see 3.4.2).

### 3.2.3 Bespoke reviews

Where safety critical voice recordings have been assessed as a result of a post-incident investigation, the outputs from these assessment(s) shall be forwarded to the employee's line manager and included in the communication records held for that employee.

These assessments may be counted toward the minimum required frequency of checks.

### 3.2.4 CRG reviews

Where safety critical voice recording assessments of Maintenance employees are undertaken as part of the CRG, the appointed Maintenance representative shall forward full details of assessments to the employee's Section Manager(s) for inclusion in the communication records held for that employee.

These assessments may be counted toward the minimum required frequency of checks.

Details of the CRG process can be found in NR/L3/OPS/045/2.16.

## 3.3 Management of records for employees subject to communications monitoring

### 3.3.1 Documentation

Section Managers shall forward summary details of all safety critical communication monitoring of their employees to their DU Competence Delivery Specialist.

### 3.3.2 Competence

The DU Competence Delivery Specialist shall update the Monitored Safety Critical Communications (M-SCC) record for all employees who have been the subject of proactive communications monitoring. Records detailing the results from all monitoring shall be held in the employee's log book together with details of any actions arising.

### 3.3.3 Records

Records of the output from each individual safety communication monitoring exercise together with any associated voice recordings and summary monitoring records maintained by the DU Competence Delivery Specialist shall be retained for three years.

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

## 3.4 Communications Monitoring Process

### 3.4.1 Simulated conversations

When only the simulated conversation method of monitoring has been employed, one of the other methods shall be used on the next occasion that monitoring is undertaken.

When planning the delivery of communications monitoring for their team, Section Managers may use any of the methods described below:

- a) voice recordings extracted from electronic systems in use – pro-actively targeted at known times when employees will be in communication with Signal Boxes and / or Route Operations Control;
- b) outputs from CRG joint safety critical communications monitoring session;
- c) voice recordings assessed as a result of a post-accident or incident investigation;
- d) work place observation and assessments whilst employees are engaged in safety critical communication which may be undertaken in conjunction with PGSI or similar; and
- e) simulated conversations conducted in conjunction with the ACC competency review.

### 3.4.2 Assessment

Section Managers shall make a decision in accordance with Table 1 about an individual's spoken communications competence annually. The decision about the individual's spoken communications competence shall, as a minimum, be based on:

- a) three spoken conversations from communications monitoring; and
- NOTE 1: This may be undertaken as a result of being involved in joint monitoring exercises or specifically undertaken to monitor that individual.*
- b) an emergency spoken communications assessment.

*NOTE 2: Where the facility to record spoken communications does not exist, the assessor can use spoken communications from other activities, such as simulations, face to face communications and witness testimony.*

*NOTE 3: A judgement about whether this is sufficient to identify that the procedures are being applied consistently across all spoken communications will need to be made depending on the outcome.*

*NOTE 4: An emergency communication can be part of one of the three or could form all three if there are three communications in that emergency situation.*

Evidence of this may come from on the job or simulations undertaken as part of the Annual Capability Conversation.

Complete SMF/MG/467 to record the assessments.

### 3.4.3 Completing the spoken communications monitoring form

SMF/MG/467 is designed to be used for monitoring spoken communications.

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

Additional monitoring might need to be used either to obtain further evidence of consistency or to identify where an individual is deficient and requires development.

Each communication reviewed shall be rated as per Table 1 within SMF/MG/467.

	CRITERIA	ACTION
<b>Competent</b>	All of the communications protocols have been followed. The communication content was delivered in a concise, and a clear manner applicable to the parties involved. A clear and positive understanding was reached.	NO ACTION REQUIRED – It is recommended that the candidate is given feedback during the next Annual Capability Conversation.
<b>Competent with Development</b>	Some of the communications protocols have been followed; the likelihood was that a clear understanding was reached.	FEEDBACK REQUIRED – Area for development falls within the candidate's behaviours, feedback to be given as part of their capability assessment.
<b>Not Yet Competent</b>	Some of the communications protocols have been followed, but with significant variations and with a possibility of a misunderstanding occurring.	DEVELOPMENT ACTION PLAN REQUIRED WITHIN SEVEN DAYS OF REVIEW – Area for development includes some safety criteria therefore remedial action required as soon as possible (no later than seven days).
<b>High Risk</b>	No attempt has been made to follow any of the communications protocols. A very high possibility of a misunderstanding occurring.	IMMEDIATE ACTION REQUIRED – The manager is required to speak to the candidate immediately and suspension of their track safety competencies may be considered and refresher training required.

**Table 1 – Assessment outcome and actions**

#### **3.4.4 Scoring**

When scoring communications, a rule, process or other procedural violation heard or observed during communication monitoring shall not influence the safety communication score / rating and separate corrective action shall be taken.

Ref:	NR/L3/MTC/MG0173
Issue:	02
Date:	03 March 2018
Compliance date:	01 September 2018

Each individual not identified as competent shall be provided with feedback from their line manager when their safety critical communications have been monitored.

### 3.4.5 Outcome

Where an individual has been rated / scored below competent the line manager shall implement a personal development action plan.

For this see form SMF/MG/467.

### 3.4.6 Personal development plan

Personal development plans shall be shared with the individual concerned.

Corrective actions may include:

- a) additional training and / or briefing;
- b) additional monitoring and assessment;
- c) coaching / mentoring in the work place;
- d) development and use of job aids (e.g. reminder cards) to remind the individual how communications should be conducted; and
- e) temporary or permanent removal of relevant competencies.

Action plans shall identify specific improvements required.

Further monitoring shall be undertaken at least every three months until the improvement plan has been delivered and a competent rating achieved.

## 3.5 Reporting on communication monitoring

### 3.5.1 Periodic reporting

On a period basis, the DU Competence Delivery Specialist shall issue reports:

- a) to the IMDM summarising the status of communication monitoring within the DU;
- b) to Section Managers detailing the status of monitoring of all employees who are required to be the subject of proactive communications monitoring together with details of the results from all monitoring and any actions arising; and
- c) to the DU WS&EA summarising the number and results of reported monitoring assessments reported in the preceding four weeks.

Following review of the report submitted by the Competence Delivery Specialist, the DU WS&EA shall forward a copy to the Route WS&EA.

**NOTE:** This is for reporting nationally and for inclusion in the periodic route Safety, Health, Environment and Performance Report (SHEP).

### 3.5.2 HoMD review

IMDM shall include details of the outputs from their DU monitoring as part of the period DU review with the HoMD. At this review trends in safety critical communications shall be identified and improvement action plans developed.

## Standard and control document briefing note

Ref: NR/L3/MTC/MG0173	Issue: 2
<b>Title:</b> Monitoring of Spoken Safety Communications	
<b>Publication date:</b> 03 March 2018	<b>Compliance Date:</b> 01 September 2018
<b>Standard/Control Document Owner:</b> Head of Maintenance, Tim Flower	
<b>Non-compliance rep (Approver of TRACKER applications):</b> Tim Flower	
<b>Technical lead/contact for briefings:</b> Ian Griffiths, Engineering Expert	<b>Tel:</b> 07802892276
<p><b>Purpose:</b>  <i>This document supports the delivery of NR/L2/OPS/037 and provides a process to mitigate risks to Network Rail caused by inadequate communication.</i></p>	<p><b>Scope:</b>  <i>This document details the arrangements for the monitoring and assessment of spoken safety critical communications in Infrastructure Maintenance.</i></p> <p><i>The document specifies the frequencies for assessments, arrangements for recording assessment outputs and the process for the following types of monitoring:</i></p> <ul style="list-style-type: none"> <li>a) <i>voice recordings extracted from current electronic systems in use – pro-actively targeted at known times when staff will be in communication with Signal Boxes and / or Route Operations Control;</i></li> <li>b) <i>outputs from Route Businesses England &amp; Wales and Route Business Scotland who lead the Route Communications Review Group (CRG) joint safety critical communications monitoring session;</i></li> <li>c) <i>voice recordings assessed as a result of a post-incident investigation;</i></li> <li>d) <i>work place observation and assessments whilst staff are engaged in safety critical communication which may be undertaken in conjunction with Planned General Safety Inspections (PGSI) or similar; and</i></li> <li>e) <i>simulated conversations conducted in conjunction with the Annual Capability Conversation competency review.</i></li> </ul>

### What's new/ what's changed:

All the content of this standard/control document has been revised.

A summary of the changes can be found in the table below:

**NOTE:** It is the duty of those briefed or notified, to read through this document and familiarise themselves with its content.

<u>Section/clause</u>	<u>Amended/ deleted/ new</u>	<u>Summary of changes</u>
All	Amended	To bring in line with current organisation. RAG status applied.
3.1.1	Amended	Frequency of reviews increased to yearly to more align with the ops process
3.3.3.	New	New scoring process to bring in line with Ops L3 Process

### Reasons for change:

The East Langton recommendation 6.2 asked for consideration for one company standard on the monitoring and assessment of safety communications. Following the review it is suggested to create one standard for the monitoring, review and management of safety communications for Network Rail Operations and Maintenance functions. This will create one consistent method, one company way of managing safety communications for front line employees.

SMF/MG/467 has been introduced for monitoring safety comms and is associated with NR/L3/MTC/MG0213.

**Affected documents:**

Reference	Impact
NR/L3/MTC/MG0173 ISSUE 1	Superseded

**Briefing requirements:**

*Technical briefings are given to those who have specific responsibilities within this standard/control document.*

*Awareness briefings are given to those who might be affected by the content but have no specific responsibilities within the standard/control document.*

*Details of the briefing arrangements are included in the associated briefing programme.*

Briefing (A-Awareness/ T-Technical)	Post	Function	Responsible for cascade briefing? Y/N
T	HoMD	Maintenance	Y
T	IMDM's	Maintenance	Y
T	IME	Maintenance	Y
T	Functional Engineers	Maintenance	Y
T	Section Managers	Maintenance	Y
A	Supervisors	Maintenance	Y
A	Team Leaders	Maintenance	Y
A	Technicians	Maintenance	Y
A	Operatives	Maintenance	Y

**NOTE:** Contractors are responsible for arranging and undertaking their own Technical and Awareness Briefings in accordance with their own processes and procedures.