

The Competence Management System described in this guidance consists of 15 principles linked under 5 phases. A summary of the 15 principles is reproduced below:

PHASE 1 Establish requirements for CMS	Principle 1: Identify activities and assess risks Identify the work activities and assess the associated risks to determine those that have the potential to affect the safe operation of the railway or other guided transport system or that affect occupational health and safety.	1
	Principle 2: Select standards Select or develop standards to ensure that the identified risks are controlled consistently.	
PHASE 2 Design CMS	Principle 3: Develop procedures and methods Quality assurance processes, procedures and methods should be developed which are designed to ensure the CMS consistently achieves the intended results.	2
	Principle 4: Decide how to meet the standards Establish the most suitable methods for the development and assessment of staff in order to meet the required levels of competence.	
	Principle 5: Establish requirements for training, development and assessment Establish the training and development needs and competence assessment requirements of staff, recruits and managers and developed.	
	Principle 6: Maintain managers' competencies Maintain the competence of managers operating the system and ensure that they understand their responsibilities.	
PHASE 3 Implement CMS	Principle 7: Select and recruit staff Staff should be selected and recruited using suitable selection standards and methods.	3
	Principle 8: Train, develop and assess staff Train, develop and assess the competence of staff and recruits using methods appropriate to the relevant competence standards.	
	Principle 9: Control activities undertaken Control processes should be established to ensure that staff and contractors are only asked to undertake work for which they are competent.	
PHASE 4 Maintain and develop competence	Principle 10: Monitor and reassess staff performance Monitor and reassess the competence of staff to ensure performance is being consistently maintained and developed.	4
	Principle 11: Update the competence of individuals Update the competence of individuals in response to all relevant changes.	
	Principle 12: Manage sub-standard performance Identify sub-standard performance and restore competence.	
	Principle 13: Keep records Maintain adequate records of assessments and make them available when requested.	
PHASE 5 Verify, audit and review CMS	Principle 14: Verify and audit the CMS Verify and audit the competence management system.	5
	Principle 15: Review and feed back Review and analyse safety performance data and feed back into the competence management system.	

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