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.
  - **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.
  - **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.
  - **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.
  - **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.
  - **Principle 15:** Review and feedback
    Review and analyse safety performance data and feed back into the competence management system.


www.humanfactors101.com