

Engineering, Design and Project Management Identification of Competence Procedure

EGP-01-03

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1 Introduction

1.1 Purpose

The purpose of this procedure is to ensure that ARTC meets its regulatory obligations and accreditation requirements by having in place a rigorous engineering design and project management competence assessment and recording procedure.

1.2 Scope

This procedure provides the requirements and description of Rail Safety Worker (RSW) (also known as Rail Industry Worker (RIW)) competence for ARTC's engineering design, engineering management and project management categories. It details the required competencies, assessments of engineering designers, engineering managers and project managers, and method of recording these competencies.

The procedure also describes the process for ARTC to approve contractors to assess their own engineering and project management staff.

This procedure covers all RSW (as defined in section 1.6) who will carry out roles associated with ARTC's engineering, design and project management categories on ARTC's network specific to the roles defined in the roles matrix EGP0103F-01. This includes other organisations engaged by ARTC, contractors, subcontractors and suppliers.

1.3 Procedure Owner

The General Manager Technical Standards is the owner of this procedure.

Please direct all enquiries to: ARTC General Manager Technical Standards at RIWengineering@artc.com.au.

1.4 Responsibilities

The General Manager Technical Standards is responsible for the implementation of this procedure.

ARTC managers and contractors are responsible for ensuring the RIW maintains current competencies whilst completing rail safety work for ARTC. This is confirmed:

- prior to works commencement – ARTC staff confirm contractors hold RIW cards which contain current competencies for the roles being performed; and
- at commencement and during works by ensuring contractors have a RIW card in their possession.

RIW are responsible for:

- ensuring their competencies required to complete rail safety work 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.

The assessor is responsible for reviewing the RIW's evidence of competence and issuing an authorising document to both the RIW and to the issuing body.

The issuing body is responsible for administering and verifying competencies and issuing the RIW card.

1.5 Reference Documents

The following documents support this procedure:

- PEO-GL-001 – Business Rules for Working in ARTC Rail Corridor
- RLS-PR-003 – Protocol for Entering the ARTC Rail Corridor
- RSK-PR-001 – ARTC Risk Management Procedure
- EGP-20-01 – Project Management Procedure

1.6 Definitions

The following terms and acronyms are used within this document:

Term or acronym	Description
Academic Transcript	Is an official comprehensive verifiable copy of a student's record of courses relating to their qualification.
Act or 'the Act'	Refers to the Rail Safety Act applicable in the relevant state
Assessor	Person approved to review RIW's evidence of competence and issue authorising documents to both the rail safety worker and issuing body.
Australian Qualifications Framework (AQF)	The national policy for regulated qualifications in Australian education and training.
Authorising Document	Approval by an assessor of a submitted competency.
Civil Design	To engineer the design of civil works including track formations, rail to road interfaces, environmental and drainage works.
Civil Designer	Person who participates in the civil design of the railway system.
Civil Design Verifier/Approver	Person who is independent of the civil designer and acknowledges the civil design meets the required specification and approves the civil design on behalf of their engineering design organisation.
Civil Engineering Representative (CER)	ARTC employee with track-related civil engineering knowledge appointed by Technical Standards with a delegation of authority to determine engineering responses to track faults within the allowable limits of the ARTC Track and Civil Code of Practice.
Civil Scoping/Acceptance of Design	ARTC engineer with relevant engineering Bachelor's Degree responsible for the approval of the civil project scope and accepts the civil design ensuring all requirements of the civil project scope are satisfactorily completed.
Contractor	A company or individual engaged by ARTC to undertake a specific project, function or maintenance works in accordance with an agreement (e.g. construction, maintenance, installation, commissioning, consultancy and other specialist types of work).

Term or acronym	Description
Construction	Is the building or establishment of a new asset. Activities whose definition includes this term will always be capital works.
CPEng/NER/RPEQ	Recognition levels for Professional Engineers required for certain role paths. The alternatives are: <ul style="list-style-type: none"> • Current Chartered Professional Engineer (CPEng) as recognised by Engineers Australia • Being currently registered on the National Engineer Register (NER) • Being currently registered as a Registered Professional Engineer Queensland (RPEQ) by the Board of Professional Engineers of Queensland
Design	The process by which systems, devices and processes useful to society are created.
Design Manager	ARTC employee responsible for an engineering design scope within a project.
Engineering	The application of science and mathematics by which the properties of matter and the sources of energy in nature are made useful to people.
Electrical Design	To engineer the design of electrical systems for the railway system that are not associated with signalling systems.
Electrical Designer	Person who participates in the electrical design of the railway system.
Electrical Verifier/Approver	Person who is independent of the electrical designer and acknowledges the electrical design meets the required specification and approves the electrical design on behalf of their engineering design organisation.
Electrical Scoping/Acceptance of Design	ARTC engineer with relevant engineering Bachelor's Degree responsible for the approval of the electrical project scope and ensuring all requirements of the electrical project scope are satisfactorily completed.
Functional Categories	Refers to one of the following: <ul style="list-style-type: none"> • engineering design • engineering management
Functional Category Expert (FCE)	The appointed ARTC manager responsible for providing specialist advice on the nominated functional category.
Geotechnical Design	To plan out in systemic, usually graphic form, earthworks and structures foundations.
Geotechnical Designer	Person who participates in the geotechnical design of the railway system.
Geotechnical Design Verifier	Person who is independent of the geotechnical designer and acknowledges the geotechnical design meets the required specification and approves the geotechnical design on behalf of their engineering design organisation.
Geotechnical Scoping/Acceptance of Design	ARTC engineer with relevant engineering Bachelor's Degree responsible for the preparation of the project scope and accepts the geotechnical design ensuring all requirements of the geotechnical project scope are satisfactorily completed.
Geotechnical Engineering	The branch of civil engineering concerned with the engineering behaviour of earth materials.

Term or acronym	Description
ICT Design	To engineer the design of information and communications technology (ICT) systems in the rail industry by designing and modifying complex software systems and computer hardware, not associated with signalling systems.
ICT Designer	Person who participates in the ICT design of the railway system.
ICT Design Verifier/Approver	Person who is independent of the ICT Designer and acknowledges the ICT design meets the required specification and approves the design on behalf of their engineering design organisation.
ICT Scoping/Acceptance of Design	ARTC Engineer with relevant engineering Bachelor's Degree responsible for the approval of the ICT project scope and accepts the ICT design ensuring all requirements of the ICT project scope are satisfactorily completed.
Independent Competent Person (Rail Vehicles) ICP(RV)	Person appointed by ARTC to attest that Rail Vehicles that are owned or accredited by ARTC have had all regular maintenance recorded in accordance with the requirements of the ARTC Rail Vehicle Manual.
Issuing Body	Refers to RIW, an ARTC approved external provider of RIW site access card. https://www.riv.net.au
Maintenance	The targeted activity of keeping an asset in normal or expected operating condition. Activities whose definition includes this term will always be RCRM or MPM specific to the roles defined in the matrix.
Major Construction Verifier	Person who through investigation, comparison with a standard or reference to the facts, tests or checks the accuracy of correctness of a major construction.
Medium Construction Verifier	Person who through investigation, comparison with a standard or reference to the facts, tests or checks the accuracy of correctness of a medium construction.
Minor Construction Verifier	Person who through investigation, comparison with a standard or reference to the facts, tests or checks the accuracy of correctness of a minor construction.
MPM (Major Periodic Maintenance)	Is generally characterised as cyclical/planned activity that maintains the level of routine inspections and reduces the level of reactive or corrective maintenance. These activities can also give rise to the renewal of the original useful life of an asset.
Mechanical Design	To engineer the design of mechanical and kinematic items used in railway systems, including rail vehicles, rail infrastructure mechanisms, pipework, and rail infrastructure thermal design.
Mechanical Designer	Person who participates in the mechanical design of the railway system.
Mechanical Design Verifier/Approver	Person who is independent of the mechanical designer and acknowledges the mechanical design meets the required specification and approves the design on behalf of their engineering design organisation.
Mechanical Scoping/Acceptance of Design	ARTC engineer with relevant engineering Bachelor Degree responsible for the approval of the mechanical project scope and accepts the mechanical design ensuring all requirements of the mechanical project scope are satisfactorily completed.
Project	A task requiring the allocation of resources outside of normal maintenance, operations or contract administration activities. A project has a start and finish date. Alternatively, a project can be defined as "a temporary organisation that is created for the purpose of delivering one or more business products according to a specified business case".

Term or acronym	Description
Project Director	<p>The project director is responsible for balancing the needs of the business, including technical, quality and operational requirements. The project director is a part of the steering committee with the following specific responsibilities:</p> <ul style="list-style-type: none"> • Approving project expenditure within approved budget and delegation and ratifying the selection of the approval authority with ARTC corporate management. • Monitoring project finance on behalf of ARTC. • Constraining user and supplier excesses. • Ensuring that the project gives value for money. • Maintaining the project direction in accordance with the objectives (EGP-20-01).
Project Engineer	<p>The person who is responsible for a significant technical role on the project. The role at times can also perform some duties of a project manager and must hold an engineering degree.</p>
Project Management	<p>The planning, monitoring and control of all aspects of a project and the motivation of all those involved in it to achieve the project objectives on time and to the specified cost, quality and performance (EGP-20-01).</p>
Project Manager	<p>The person who is responsible for the planning and monitoring, administration and control of a project works (EGP-20-01).</p>
Project Officer/Technician	<p>The person who is responsible to the Project Manager for planning the project schedule, programming project objectives, identifying deliverables and making supporting plans, usually within defined stages, and with designated resources.</p>
Rail Safety Work	<p>Refers to work carried out specific to ARTC's rail safety accreditation.</p>
Rail Safety Worker (RSW)	<p>Refers to those carrying out RSW under one or more of ARTC's functional categories. An equivalent term is Rail Industry Worker (RIW).</p>
Rail Industry Worker Card	<p>Card that electronically captures competencies of those carrying out RIW under one or more of ARTC's functional categories.</p>
RCRM (Routine Corrective Reactive Maintenance)	<p>Is characterised as scheduled activities used to inspect or service asset condition on a routine basis. The characteristics extend to include reactive or corrective activities that are required as a result of the inspections or unscheduled discovery of defects.</p>
Registered Training Organisation (RTO)	<p>A vocational education and training organisation registered by the Australian Skills Quality Authority (ASQA) to deliver training in accordance with the Australian Qualifications Framework.</p>
Relevant experience	<p>Any experience presented for assessment needs to be directly related, connected or pertinent to the role.</p>
Senior Project Manager	<p>The person who is responsible for the planning and monitoring, administration and control of a project works on larger and more complex projects.</p>
Structure	<p>Generally, includes bridges, culverts, tunnels and miscellaneous structures. Please refer to section 9 of the ARTC Track and Civil Code of Practice for further details on what is considered a 'structure'.</p>
Structures Design	<p>To plan out the design of railway, road and pedestrian bridges and other significant structures by reference to relevant Australian Standards.</p>

Term or acronym	Description
Structures Designer	Person with bachelor degree who undertakes design and capacity rating of structures in accordance with ARTC Structures Code of Practice Section 9.
Structures Design Verifier/Approver	Person who is independent of the structural designer and acknowledges the structural design meets the required specification and approves the design on behalf of their engineering design organisation.
Structures Scoping/Acceptance of Design	ARTC engineer with relevant Bachelor's Degree responsible for the approval of the structures project scope and accepts the structures design ensuring all requirements of the structures project scope are satisfactorily completed.
Systems/Safety Engineering	The engineering competency associated with systems engineering or safety engineering activities (including Safety Case development).
Systems/Safety Engineering Designer	Person who participates in the system/safety engineering design of the railway system.
Systems/Safety Engineering Verifier/Approver	Person who is independent of the systems/safety engineering designer and acknowledges the systems/safety engineering design meets the required specification and approves the design on behalf of their engineering design organisation.
Systems/Safety Engineering Scoping/Acceptance of Design	ARTC engineer with relevant Bachelor's Degree responsible for the approval of the systems/safety engineering project scope and accepts the systems/safety engineering design ensuring all requirements of the systems/safety engineering project scope are satisfactorily completed.
Supervisor of Major Construction	Person who efficiently manages the overall elements of construction in accordance with the design. A major construction can be considered a new or multidisciplinary design. A single fatality could occur as a potential result of faulty construction/maintenance or the track could be closed for greater than or equal to 2 days, but less than 5 days as a result of faulty construction/maintenance.
Supervisor of Medium Construction	Person who efficiently manages the overall elements of construction in accordance with the design. A medium construction can be considered unique or multidisciplinary e.g. Asset Renewals. A serious injury is a potential as a result of faulty construction or maintenance, or the track could be closed for greater than or equal to 24 hours but less than 48 hours as a result of faulty construction or maintenance.
Supervisor of Minor Construction	Person who efficiently manages the overall elements of construction in accordance with the design. A minor construction is not considered unique but can be multidisciplinary e.g. RCRM or MPM projects. An LTI or medical incident could occur as a result of faulty construction or maintenance or the track could be closed for greater than or equal to 6 hours but less than 24 hours as a result of faulty construction or maintenance.
TAFE	Technical and Further Education
Track Design	To design in systematic, usually graphic, form a rail or set of parallel rails upon which railroad cars or other vehicles run.
Track Designer	Person who participates in the track design for the railway system.
Track Design Verifier/Approver	Person who is independent of the track designer and acknowledges the track design meets the required specification and approves the design on behalf of their engineering design organisation.

Term or acronym	Description
Track Scoping/Acceptance of Design	ARTC engineer with relevant Bachelor's Degree responsible for the approval of the track project scope and accepts the track design ensuring all requirements of the track project scope are satisfactorily completed.

2 Identifying and Determining Competence

As an accredited rail operator under the Act, ARTC has requirements for the following:

- Competence of RIW – ensuring they have the competence to carry out their work.
- Recording competence – maintaining records of the competence of RIW.

The Act requires that competence should be assessed with reference to the Australian Qualifications Framework (AQF), which is the national policy for regulated qualifications in Australian education and training. It is ARTC's responsibility to record and determine the competencies gained through the AQF, as well as the competencies required for those areas outside the AQF.

The competencies that apply to engineering design, engineering management and project management roles are set out in the competence matrix EGP0103F-01 on the [ARTC Website](#).

ARTC has determined that the competencies required are to be made up of:

- Qualifications or units of competence recognised by the AQF. These include qualifications issued by schools, vocational and education providers (including TAFE and private RTO's), and the higher education sector (including universities).
- Knowledge.
- Experience.

2.1 Engineering Design

Persons responsible for making design decisions on the rail infrastructure and creating rail infrastructure designs are regarded as RIW and will have their design competencies assessed.

2.2 Engineering Management - Infrastructure Construction/ Maintenance

The infrastructure construction/maintenance competence is linked to the size of the infrastructure task (major, medium and minor) and is set out in specific skills matrices that define the qualifications, skills and experience required to carry out these tasks to prescribed levels of competence.

2.3 Civil Engineering Representative

ARTC Business Unit engineering staff who are responsible for making engineering decisions within the scope of the ARTC Track and Civil Code of Practice that consider the science and standards that align with certifying a section of track are designated as Civil Engineering Representatives (CER). They are RIW and will have their design competencies assessed.

The CER role is an in-house ARTC role for track maintenance engineers. Further information can be found in the Business Rules for Working in the ARTC Rail Corridor PEO-GL-001 located at the [ARTC Website](#).

2.4 Project Management

Persons responsible for project management roles that have been defined as RIW will be required to have their project management competencies assessed.

2.5 Independent Competent Person (Rail Vehicles)

Persons appointed by ARTC to carry out initial certification of Rail Vehicles or annual maintenance documentation certifications for Rail Vehicles that are owned or accredited by ARTC. The ICP(RV) may be an internal ARTC staff member or an external contractor and are considered to be RIW.

3 Assessment of competence

ARTC is required to ensure that each RIW has the competence to carry out that work. This section defines what evidence is required from a RIW to be assessed as competent for the applicable roles identified in the engineering design and project management competency matrix, and the process for obtaining a RIW card for the applicable engineering roles.

Overseas-based workers are required to meet the assessment requirements but are not able to obtain an RIW Card due to the personal identification requirements. See section 3.2.3 and section 4 for further details.

All Engineering, Design and Project Management roles are to be reassessed or confirmed every four years from the original application date to show continued currency of skills and knowledge. Reassessment requires an authorised assessor to conduct a full assessment of the role, including review of the competency evidence. In contrast, roles that are confirmed each four years only require written evidence that the person wants to continue to hold that role and their Business Unit agrees.

The steps for applying for/obtaining a RIW card for the first time go to <https://www.riw.net.au>

3.1 Evidence of competence required

To be assessed as competent in engineering, design and project management roles the required evidence is to be submitted, such as tertiary qualifications, current resume, as well as a Record of Relevant Experience and Assessment Form (available from the ARTC website).

3.2 Assessment Documentation

3.2.1 Tertiary Qualifications

A certified copy of an academic transcript from an institution issuing the qualification is required as supporting evidence and to verify the attainment of the qualifications that an individual is presenting. The transcript must include the name of the institution where the qualifications were gained and the date when the qualifications were achieved.

3.2.2 Current Resume

A copy of the applicant's current resume is required as supporting evidence to assist in validating their skills, knowledge and experience. Included in the resume should be the following information:

- Contact information: Include name, address, telephone number and email address.
- Experience and Employment Summary: List employment (including internships) in reverse chronological order with position title, name and location of employer and dates of employment by year. Include a summary of accomplishments in each job.
- Education: Educational credentials should be prominent including full qualification title (Bachelor of Engineering not B.E.), graduation date, and name of institution issuing qualification.
- Recognition and Awards: Record any formal recognition or awards received that validate skills and experience.

- References: Include 2 to 3 referees/supervisors who can verify work experience and skills. Include the referee's name, title, organisation, email address and work number.

3.2.3 Record of Relevant Experience and Assessment

The applicant is required to demonstrate relevant experience in line with the defining skills and activities as set out in the discipline specific engineering design and project management RIW descriptors, per matrix EGP0103F-01 on the ARTC website.

The record of relevant experience will support the defining activities required by the role in the engineering competency matrix. Supporting documentation should be attached to the record of relevant experience and include the following:

- Information on previous designs undertaken, including their complexity and feedback received from clients on completed designs.
- Assessments conducted by an external organisation on previous designs undertaken for this organisation.
- Training courses undertaken, memberships, and any other documentation that supports competence.

Candidates that provide evidence of holding currency in any of CPEng/NER/RPEQ are not required to submit a Record of Relevant Experience and Assessment, as their current CV will be deemed sufficient. In the case of Project Management practitioners, certification through either PMI or AIPM can be recognised, and only a current CV needs to be submitted. Such candidates will need to meet the relevant years of experience requirements, per the ARTC Engineering, Design and Project Management Matrix EGP0103F-01. GM Technical Standards will confirm the acceptability of alternate qualifications and registrations obtained overseas.

3.2.4 Intellectual Property as Evidence

In the case of providing evidence for engineering roles, ARTC would not expect applicants to upload to RIW details the organisation sees as Intellectual Property.

Any evidence provided needs to be sufficient for the assessor to deem the person competent. In some instances, the assessor may require to conduct an interview to confirm competence.

3.3 Assessment Approval

An assessor will review the evidence provided by the RIW to determine whether they will be approved for the engineering role applied for. There may also be a requirement for an interview to fill any gaps identified.

Depending on the evidence provided the assessor can:

1. Assess them as competent to carry out rail safety work for ARTC.
2. Deem the RIW not yet competent and advise the ARTC manager and/or the applicant that the applicant does not yet have the minimum required competencies to carry out the work they have applied for.

Upon completion of an assessment, the assessor issues an authorising document to progress the applicant's submission. A copy of the authorising document is to be uploaded into RIW for Australian-based workers, or held in Technical Standards records for overseas-based workers.

Where relevant, the assessor must also complete and sign the candidate's Record of Relevant Experience and Assessment Form and upload the signed form to the RIW website.

3.3.1 Internal Assessors

ARTC has identified internal SMEs to complete staff competency assessments of the engineering functional category. Identifying ARTC internal assessors is managed and authorised by the General Manager Technical Standards. Overseas-based workers shall only be assessed by the General Manager Technical Standards.

3.3.2 External Assessors

ARTC allows contractors to be accredited as authorised external assessors which enable them to assess the competence of their staff (internal assessment) and the staff of other organisations (external assessment) to work on ARTC projects. The process involves contractors completing the **Record of Relevant Experience and Assessment Form** Part B and obtaining a Rail Industry Worker (RIW) card.

External assessors seeking to assess roles outside of those identified in their profile, may act in an assessment team with a Subject Matter Expert in the particular role. The Subject Matter Expert (SME) needs to be identified in the application identifying their RIW card number and shall be registered in RIW in the role that is to be assessed. If the External Assessor is using a third party to support the assessment process a copy of the qualified assessor's training and assessment qualification is to be loaded into the SME's role in RIW.

Enquiries to become an external assessor are to be submitted to RIWengineering@artc.com.au and are managed by ARTC's engineering FCE. When an applicant has been deemed competent to be an external assessor they will be formally advised and issued with unique external assessor identification for use in RIW. This will be a reference to the individual, be their authorisation to assess, and assure the card issuing body of their assessment verification.

Candidates can choose an External Assessor from the list provided on the RIW website. Costs associated with the assessment are a matter between the candidate and the External Assessor.

The flow chart at Appendix 1 shows the process to become an external assessor. Assessor criteria is identified in Appendix 2.

3.3.3 Obligations of External Assessors

ARTC expects that external assessors will:

- Agree to provide current contact details, which are posted on the ARTC website for third parties to access. For assessors only conducting internal (own organisation) assessment, details will not show on ARTC website unless requested;
- apply ARTC's competency standards and procedures;
- promptly advise the relevant ARTC Functional Category Experts 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 engineering assessments performed in RIW;
- keep up to date with advances and changes in engineering expertise and advise the ARTC Functional Category Experts of any likely impact upon ARTC job tasks;

- maintain the integrity and security of ARTC's documents or information;
- keep up to date with relevant ARTC engineering standards and procedures
- reply to all external parties, other than own organisation, enquiries for assessment services within 48 hours;
- complete third-party assessments within 5 working days from agreed date;
- any fees and charges for third party assessment are not excessive; and
- ensure any practices do not restrict trade.

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 and will be required to sign the **External Assessor Agreement**. External Assessors should ensure that they, or the company that employs them, hold relevant insurance coverage for liabilities arising from the conduct of external assessments. ARTC accepts no liability arising from the conduct of external assessments by any External Assessor.

3.3.4 Dispute Resolution

Disputes may arise with contractors when complying with ARTC's competency management system. Further information on dispute resolution can be found in Business Rules for Working in the ARTC Rail Corridor, PEO-GL-001.

3.4 Reassessment Approval

3.4.1 Role Reassessment

All Engineering, Design and Project Management roles are to be reassessed (or reconfirmed as appropriate) every four years from the original application date to show continued currency of skills and knowledge. In the case of role reassessment, this is achieved by uploading current evidence of continued experience in the chosen roles.

This will include uploading:

- Current resume/CV, and
- Part A of the Record of Relevant Experience.

NOTE: For applicants with evidence of current CPEng/NER/RPEQ, Part A will be considered complete by providing such evidence against Part A, Item 1 Evidence only.

In the case of role reconfirmation, written evidence of the candidate's willingness to continue to hold the role and their Business Unit's continuing acceptance of them holding the role must be uploaded to RIW.

3.4.2 External Assessor Reassessment

All Engineering, Design and Project Management External Assessor roles are to be reassessed every four years from the original application date to show continued currency of skills and knowledge. This is achieved by uploading current evidence of continued experience in the assessor role and a re-signed assessor agreement.

This will include uploading:

- A current signed copy of the assessor agreement, and
- Part B of the Record of Relevant Experience and Assessment Form.

4 Recording of Competence

The competencies that apply to engineering design, engineering management and project management roles are set out in the competence matrix on the ARTC Website and in the case of Australian-based workers are to be uploaded into the RIW system. Overseas-based workers should submit their evidence (inclusive of witnessed personal identification equivalent to the Australian 100 points of identification) to RIWEngineering@artc.com.au.

4.1 Capturing AQF and Non AQF qualifications in RIW

Evidence of all competencies for roles, which are being applied for, need to be provided at the time of RIW card application. This information can be uploaded on the website <https://www.riw.net.au>.

4.2 Assessment of competency

An assessor will review the documentation against criteria. If successful the applicant will be provided documented approval, which is to be uploaded into RIW for approval. In the case of overseas-based workers, a letter will be provided by the assessor as a statement of competency.

4.3 Competency noncompliance

If the competencies uploaded against a role do not comply with the relevant role requirement's, the applicant will be notified by the assessor of any application gaps.

5 Risk Management

An essential element in identifying and developing RIW competencies is ensuring systems are in place for the identification and management of all risks. ARTC's Risk Management Procedure, RSK-PR-001 is to be read in conjunction with this Procedure.

5.1.1 Register

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

It is the responsibility of each division or contractor to review their risks on a regular basis and within guidelines in ARTC Risk Management Procedure RSK-PR-001. 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 the Project Management Procedure EGP-20-01.

5.1.2 Auditing

ARTC risk & compliance auditors and investigators 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 RIW 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 RIW 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 ARTC Risk Management Procedure RSK-PR-001.

5.1.3 Auditing of Documents

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

Appendix 1 - Process to become an External Assessor

1. Contractor wanting to become an external assessor.

2. Contractor provides:

- a. copies of qualifications and transcripts
 - b. record of relevant experience
 - c. current resume
 - d. external assessor criteria
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3. ARTC internal assessor to assess competence.

4. After review of application, decision made by internal assessor, and contractor advised whether further assessment is required.

4b. Internal assessor advises the contractor of gap requirements or contractor does not yet have the minimum required competencies to carry out the work they have applied for.

5. Internal assessor determines further assessment required. This may include an interview.

5b. After reviewing the gap assessment, the internal assessor will deem whether the contractor is competent or not.

6. Internal assessor verifies external assessor assessment approval form and uploads it to RIW.

7. ARTC forwards external assessor details to issuing body as the point of identification verification and external assessor approved to assess in RIW system.

Appendix 2 - Assessor Criteria

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

ARTC Assessor Competencies	Comments
Hold formal recognition of competence in the following units.	<ul style="list-style-type: none"> • TAEASS402 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • Participate in one professional development activity with a group in the previous 12 months.
Licencing and registration requirements.	<ul style="list-style-type: none"> • All licences, registrations, competencies current.