Sydney Trains

Engineering System Integrity
Engineering Procedure
Signalling and Control Systems

PR S 43026

ETCS Level 1 Limited Supervision (LS) System Certifier

Version 1.0

Date in Force: 19 June 2025

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| Approved by: | Professional Head Signalling and Control Systems Engineering System Integrity | Authorised by: | Engineering Technical Publications Manager System Integrity |

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Document control

Version	Date	Author	Summary of change
1.0	19 June 2025	David Mulley	First issue as a Sydney Trains document

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1 PR S 43026 ETCS Level 1 Limited Supervision (LS) System Certifier

This unit covers the procedures and the current requirements for the authorisation of personnel to Plan and manage ETCS level 1 certification.

1.1 Item	1.2 Details
1. **Prerequisites**	Refer to Engineering Standard Signalling & Control Systems Competency Standards ST S 43026
2. **Application**	Candidate submits request for authorisation for ETCS Level 1 (LS) System Certifier
	Prior to assessment, candidates will submit
	• Portfolio of documentary evidence of appropriate training and qualifications held, and
	• Copies of log book pages showing relevant experience (or in default, a verified CV extract showing when relevant experience was achieved) as described in MN S 41412
3. **Assessment requirements**	The candidate shall be able to:
	• Demonstrate Technical competencies as described in Engineering Standard Signalling & Control Systems Competency Standard ST S 43026
4. **Assessment**	The assessment is in three parts
Desktop Assessment	• By review of the Candidate's portfolio of Evidence and by responses to questioning by the assessor, they demonstrate knowledge and understanding of ETCS Level 1 (LS) System Certifier, and
Behavioural Assessment	• Candidate meets the requirements of the selected behavioural competencies survey by completing the on line Occupational Behavioural Survey Questions (Occupational Personality Questionnaire)
Hands on Assessment	• Candidate demonstrates ability to undertake ETCS Level 1 (LS) System Certifier as described in Engineering Manual Signalling & Control Systems Competency Assessment Tool MN S 43026
5. **Competence Assessor**	These requirements shall be assessed and certified by persons having the requisite assessment qualifications (i.e. Cert IV TAE 40116 or equivalent)

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1.1 Item	1.2 Details
6. Assessment Outcomes	Based on the evidence provided in the documentary materials and the assessment, the candidate is assessed to be • Not ready for assessment The candidate was not adequately prepared for the assessment, lacks, prerequisites or requires significant additional training and experience. These deficits should be addressed before re-applying for assessment • Not yet competent The candidate lacks one or more elements to be assessed competent The candidate may be reassessed on the missing elements as soon as they can be prepared • Not yet competent to work independently, but competent to work under supervision The candidate has demonstrated all prerequisites and skills at a basic level, but has not shown a sufficient level of mastery to be able to perform effectively without guidance Unrestricted competence can be granted on the basis of a satisfactory supervisor's report, following a period of work under supervision • Competent The candidate has satisfied all requirements
7. Candidate debriefing	Assessor debriefs the candidate on the outcomes of the assessment, the elements (if any) in which they were found to be not yet competent, and their options for reassessment after completing further development, or appealing the outcome
8. Reporting & records	Assessor notifies candidate and candidate's supervisor by forwarding to each a copy of the Competency Assessment Record Sheet, which is part of the Assessment Tool and, if the candidate was assessed competent, a copy of the Record Sheet to the Principal Engineer Signalling Integrity for updating of RG S 41415

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1.1 **Item**	1.2 **Details**

9. Reference Documents	• *SPG0711 Inspection and Testing of Signalling*
	
	• *MN S 4000 Signalling Safe working Procedures* – Manual J
	
	• Rail Safe Network Rules and procedures – 'Work on Track' (NWT) requirements
	
	• Sydney Trains and OEM equipment manuals:
	   – *MN S 41604 Alstom ETCS Trackside Maintenance Manual*
	   – *MN S 41605 Alstom ETCS Set to Work Testing and Commissioning* Manual
	   – *MN S 41606 Balise Installation Constraint* Manual
	   – *PR S 40028 ETCS L1 Alstom Trackside Equipment*
	   – *PR S 47120 Inspection and Testing of Signalling: ETCS Level 1 Limited Supervision Integration of Trackside Alterations*
	   – *GL S 47121 ETCS Master Simulator Level 1 Limited Supervision Onboard Simulation User Manual*
	
	• Sydney Trains Health Assessment Categories of Rail Safety Workers Version 1.3

2   PR S 43015B Behavioural Competency Assessment (SCP15B)

The behavioural competency assessment process is to be used in conjunction with the Technical competency assessment process for ETCS Level 1 System Certifier.

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3 Behavioural competencies

The behavioural competency requirements for ST S 43xxx are as follows:

Competency	Descriptor	Benchmarked Score
Deciding and Initiating Action	Makes prompt, clear decisions which may involve tough choices or considered risks; Takes responsibility for actions, projects and people; Takes initiative, acts with confidence and works under own direction; Initiates and generates activity	3 or higher
Applying Expertise and Technology	Applies specialist and detailed technical expertise; Develops job knowledge and expertise through continual professional development; Shares expertise and knowledge with others; Uses technology to achieve work objectives; Demonstrates appropriate physical co-ordination and endurance, manual skill, spatial awareness and dexterity; Demonstrates an understanding of different organisational departments and functions	3 or higher
Analysing	Analyses numerical data, verbal data and all other sources of information; Breaks information into component parts, patterns and relationships; Probes for further information or greater understanding of a problem; Makes rational judgements from the available information and analysis; Produces workable solutions to a range of problems; Demonstrates an understanding of how one issue may be a part of a much larger system	3 or higher
Planning and organising	Sets clearly defined objectives; Plans activities and projects well in advance and takes account of possible changing circumstances; Identifies and organises resources needed to accomplish tasks; Monitors performance against deadlines and milestones	3 or higher
Adhering to principles and values	Upholds ethics and values; Demonstrates integrity; Promotes and defends equal opportunities, builds diverse teams; Encourages organisational and individual responsibility towards the community and the environment	3 or higher
Following instructions and procedures	Appropriately follows instructions from others without unnecessarily challenging authority; Follows procedures and policies; Keeps to schedules; Arrives punctually for work and meetings; Demonstrates commitment to the organisation; Complies with legal obligations and safety requirements of the role	3 or higher

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4 Competency rating scale

A five point rating scale is used for the assessment of behavioural competencies.

1	2	3	4	5
Significantly lower than required benchmark Not likely to be a strength	Lower than Benchmark Less likely to be a strength	Meets Benchmark Likely to be a strength	Exceeds Benchmark to be a strength Quite likely to be a strength	Significantly exceeds benchmark to be a strength Very likely to be a strength

5 Assessment methodology

Assessment in this competency is undertaken using one, or a combination of the following methods:

a. Candidate completion of Occupational Personality Questionnaire (Occupational Behavioural Survey Questions). This questionnaire is used throughout the world and has been designed to identify an individual's most likely patterns of behaviour (see the use of Occupational Behavioural Survey Questions in behavioural assessment background document).

b. Behavioural Interview conducted with candidates supervisor

c. Behavioural interview conducted with candidate

6 Behavioural assessment process

6.1 Process stages

The following definitions apply in this document:

a. Candidate completes the online Occupational Behavioural Survey Questions.

b. Normative data is analysed and indicative benchmarks recorded.

c. Indicators that are not consistent with profile benchmarks are explored further with the candidates' current or recent supervisor and data is evaluated accordingly.

d. Where inconsistencies still exist, behavioural interview is conducted with the candidate and results evaluated.

e. Behavioural competencies ae rated and assessment process finalised.

f. If the candidate does not meet the profile benchmarks, a development plan is put in place and the candidate is re-assessed quarterly using supervisor report mechanism.

g. If the candidate meets the profile benchmarks a Behavioural Competency Assessment report is produced and included in portfolio of evidence.

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6.2 Behavioural Competencies and corresponding questions for ETCS Level 1 System Certifier (ST S 43026)

Competency	Descriptor	Supervisor Questions	Candidate Questions
Deciding and Initiating Action	Makes prompt, clear decisions which may involve tough choices or considered risks; Takes responsibility for actions, projects and people; Takes initiative, acts with confidence and works under own direction; Initiates and generates activity	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions
Applying Expertise and Technology	Applies specialist and detailed technical expertise; Develops job knowledge and expertise through continual professional development; Shares expertise and knowledge with others; Uses technology to achieve work objectives; Demonstrates appropriate physical co-ordination and endurance, manual skill, spatial awareness and dexterity; Demonstrates an understanding of different organisational departments and functions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions
Analysing	Analyses numerical data, verbal data and all other sources of information; Breaks information into component parts, patterns and relationships; Probes for further information or greater understanding of a problem; Makes rational judgements from the available information and analysis; Produces workable solutions to a range of problems; Demonstrates an understanding of how one issue may be a part of a much larger system	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions
Planning and organising	Sets clearly defined objectives; Plans activities and projects well in advance and takes account of possible changing circumstances; Identifies and organises resources needed to accomplish tasks; Monitors performance against deadlines and milestones	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions

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Competency	Descriptor	Supervisor Questions	Candidate Questions
Adhering to principles and values	understanding of others; Adapts to the team and builds team spirit; Recognises and rewards the contribution of others; Listens, consults others and communicates proactively; Supports and cares for others; Develops and openly communicates self-insight	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions
Following instructions and procedures	Appropriately follows instructions from others without unnecessarily challenging authority; Follows procedures and policies; Keeps to schedules; Arrives punctually for work and meetings; Demonstrates commitment to the organisation; Complies with legal obligations and safety requirements of the role	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions	Contact ESI Signalling Integrity for Occupational Behavioural Survey Questions

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7 Behavioural competency assessment report

ETCS Level 1 (LS) System Certifier – Behavioural Competency Assessment

Candidate Name:	Joe Blogs
Report Prepared By:	Bee Checker
Role:	System Certifier, Sydney Trains
Date:	Friday 3 December, 2020

This report is provided as evidence of assessment of the behavioural competency of the candidate for ETCS Level 1 (LS) System Certifier.

Occupational Personality Questionnaire was completed on 22 November, 2020 and the outcome of this assessment indicated that the following competencies needed to be validated via a Supervisors report.

Behavioural Competencies assessed – ETCS Level 1 System Certifier

		Candidate Overall Rating
Deciding and Initiating Action	Makes prompt, clear decisions which may involve tough choices or considered risk; Takes responsibility for actions, projects and people; Takes initiative, acts with confidence and works under own direction; Initiates and generates activity	**Exceeds Criteria**
Applying Expertise and Technology	Applies specialist and detailed technical expertise; Develops job knowledge and expertise through continual professional development; Shares expertise and knowledge with others; Uses technology to achieve work objectives; Demonstrates appropriate physical co-ordination and endurance, manual skill, spatial awareness and dexterity; Demonstrates an understanding of different organisational departments and functions	**Meets criteria**
Analysing	Analyses numerical data, verbal data and all other sources of information; Breaks information into component parts, patterns and relationships; Probes for further information or greater understanding of a problem; Makes rational judgements from the available information and analysis; Produces workable solutions to a range of problems; Demonstrates an understanding of how one issue may be a part of a much larger system	**Meets criteria**

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		Candidate Overall Rating
Planning and organising	Sets clearly defined objectives; Plans activities and projects well in advance and takes account of possible changing circumstances; Identifies and organises resources needed to accomplish tasks; Monitors performance against deadlines and milestones	**Meets criteria**
Adhering to principles and values	Upholds ethics and values; Demonstrates integrity; Promotes and defends equal opportunities, builds diverse teams; Encourages organisational and individual responsibility towards the community and the environment	**Meets criteria**
Following instructions and procedures	Appropriately follows instructions from others without unnecessarily challenging authority; Follows procedures and policies; Keeps to schedules; Arrives punctually for work and meetings; Demonstrates commitment to the organisation; Complies with legal obligations and safety requirements of the role.	**Meets criteria**

Supervisors follow up report was conducted with Tee Rex (Commissioning Engineer, Sulphide Junction Project) on Monday 30 November to explore the competency of Planning and Organising Mr Rex provided examples that he had observed of Joe Blogs planning and organising resources required to undertake work tasks and being able to organise his time to complete work.

This competency has been assessed as meeting criteria.

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