

RDG Guidance Note: Rail Emergency Management – Self- Assessment Tool Guidance

RDG-OPS-GN-072
Issue 1.0 – 03.03.2025

About this Document

Explanatory Note

The Rail Delivery Group is not a regulatory body and compliance with Guidance Notes or Approved Codes of Practice is not mandatory; they reflect good practice and are advisory only. Users are recommended to evaluate the guidance against their own arrangements in a structured and systematic way, noting that parts of the guidance may not be appropriate to their operations. It is recommended that this process of evaluation and any subsequent decision to adopt (or not adopt) elements of the guidance should be documented. Compliance with any or all the contents herein, is entirely at an organisation's own discretion.

Other Guidance Notes or Approved Codes of Practice are available on the [Rail Delivery Group \(RDG\) website](#).

Purpose

The UK railway faces a range of threats, hazards and operational challenges that have the potential to jeopardise its ability to run services safely, and securely and to uphold customer confidence. Increased, 'integrated emergency management' (hereafter IEM) capability has never been more critical. In the past few years, Transport organisations have had to show unprecedented levels of resilience. This guidance note has been developed to support recommendations arising from the industry Rail Resilience Project (RRP) Emergency Management Review (completed June 2021) in that it describes the competencies and training requirement together with the associated self-assessment tools for those engaged in Rail emergency Management.

Executive summary

The SAT has been developed for the Rail Delivery Group as a tool that allows Integrated Emergency Management (IEM) Professionals across the UK rail industry to assess their level of competency across five domain in support of the Integrated emergency Management suit of documents. This document provides guidance on how to complete that Self-Assessment Tool (SAT) and should be read in conjunction with that document.

Issue Record

| Issue | Date | Comments |
|-------|------------|---------------------------|
| 0.1 | 24/01/2025 | Draft for Industry Review |
| 1.0 | 03/03/2025 | First Issue |

This document is reviewed on a regular 2-year cycle.

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- Train Operators
- Infrastructure Manager (Network Rail)
- TfL, TfW, Transport Scotland
- BTP
- DfT
- ORR
- GBRTT

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1 How to use the Tool

1.1 Purpose

The SAT has been developed for the Rail Delivery Group as a tool that allows Integrated Emergency Management (IEM) Professionals across the UK rail industry to assess their level of competency across five domains:

1. Principles and Values
2. Meta Skills
3. Foundational Knowledge
4. Planning Knowledge (Domain Specific)
5. Response Knowledge (Domain Specific)

The tool is based on the related IEM Competency Framework. The competency framework should be shared with Rail Entities alongside this SAT, as it includes a higher level of detail on the individual competencies, such as possible indicators that would guide an individual to demonstrate competence.

1.2 Intended Use

The SAT is intended to allow IEM professionals across all UK heavy rail entities to **assess their competency**. The outputs of this tool are then designed to be **used in professional development conversations** with their managers. It is suggested that the tool should be used at least annually to assess competency and therefore has the functionality to **create an evidenced track record of an individual's development in their role**.

The tool includes sections to provide evidence and relevant commentary for each competency and displays an overview of how existing capabilities compare to the scores that are expected within an individual's job grouping.

The tool can also be used to **assess how staff in one job grouping compare to another job grouping e.g. a more senior role**. This can in turn inform career progression conversations.

1.3 Structure

The SAT consists of nine separate tabs and is structured as follows when reading from left to right.

Version Control Tab

- Provides an overview of current and previous versions, and rationales for any changes made.


| | A | B | C | D |
|---|--|------------|------------|---|
| 1 | <div> <div>VERSION CONTROL</div> <div> Rail Delivery Group  </div> </div> | | | |
| 2 | Version | Date | Author | Rationale |
| 3 | 1.0 | 09/01/2025 | Nina Suehs | First Iteration, implementing feedback given by RDG and consulted Rail Entities after first drafts were submitted in October 2024 |
| 4 | | | | |
| 5 | | | | |
| 6 | | | | |
| 7 | | | | |
| 8 | | | | |
| 9 | | | | |

Figure 1 - Version Control Tab

Instructions Tab

- Step-by-step instructions for staff to use the self-assessment tool effectively.

| IEM Competency Self-Assessment Tool | | Rail Delivery Group | |
|-------------------------------------|---|---|--|
| Purpose of the tool | This tool is designed for you to assess yourself against the IEM Competency Framework. It provides an overview of how you compare against expected scores based on your role grouping, and includes space for you and your manager to comment on evidence, progress and development plans against each competency. | Individual Name <input type="text" value="John Blue"/> Organisation Name <input type="text" value="Example Firm Ltd"/> Assessment Date <input type="text" value="31/01/2025"/> Sector <input type="text" value="Transport"/> | |
| How to use the tool | <ol style="list-style-type: none"> Save a local copy of this document and include your name and the date in the file name. Fill in the overarching information (name, job title, manager name etc.) in the Dashboard tab. Select your role grouping in the Dashboard tab. DO NOT MISS THIS, as this will update expected scores across all SAT tabs. Navigate through the five SAT tabs, and for each competency (row): <ol style="list-style-type: none"> Indicate the score that reflects your current level of capability the most. Add evidence for the indicated level of capability where applicable in the evidence column. Add further comments if relevant to support the narrative of your self-assessment. <p>NOTE: Consult the IEM Competency Framework for a detailed view of each competency and suggested indicators that would allow you to demonstrate your capabilities.</p> <ol style="list-style-type: none"> Each SAT tab will give you a count where your competencies lie below the expected score for your respective role group (both in the SAT Tab and in the Dashboard Tab). In the Dashboard tab, you will also be able to view the difference between your scoring and the expected scores in an overview of spider diagrams. You are encouraged to use the present SAT to guide performance and development conversations with your manager, to support you in identifying the best areas to develop your knowledge and know-how to fulfil your role as an IEM professional. | Job Title <input type="text" value="add here"/> Role Grouping <input type="text" value="Resilience Planner"/> Manager Name <input type="text" value="Manager Name"/> | |

Figure 2 - Instructions Tab

Dashboard Tab

- Provides an overview of expected and individual scores across all competencies once the SAT has been filled out.
- This tab also includes the selection of your role grouping to ensure that the expected scores are fitted around your level of seniority and area of responsibility, simplifying the view by removing irrelevant points.
- The dashboard also includes additional space to include overarching comments on your self-assessment.

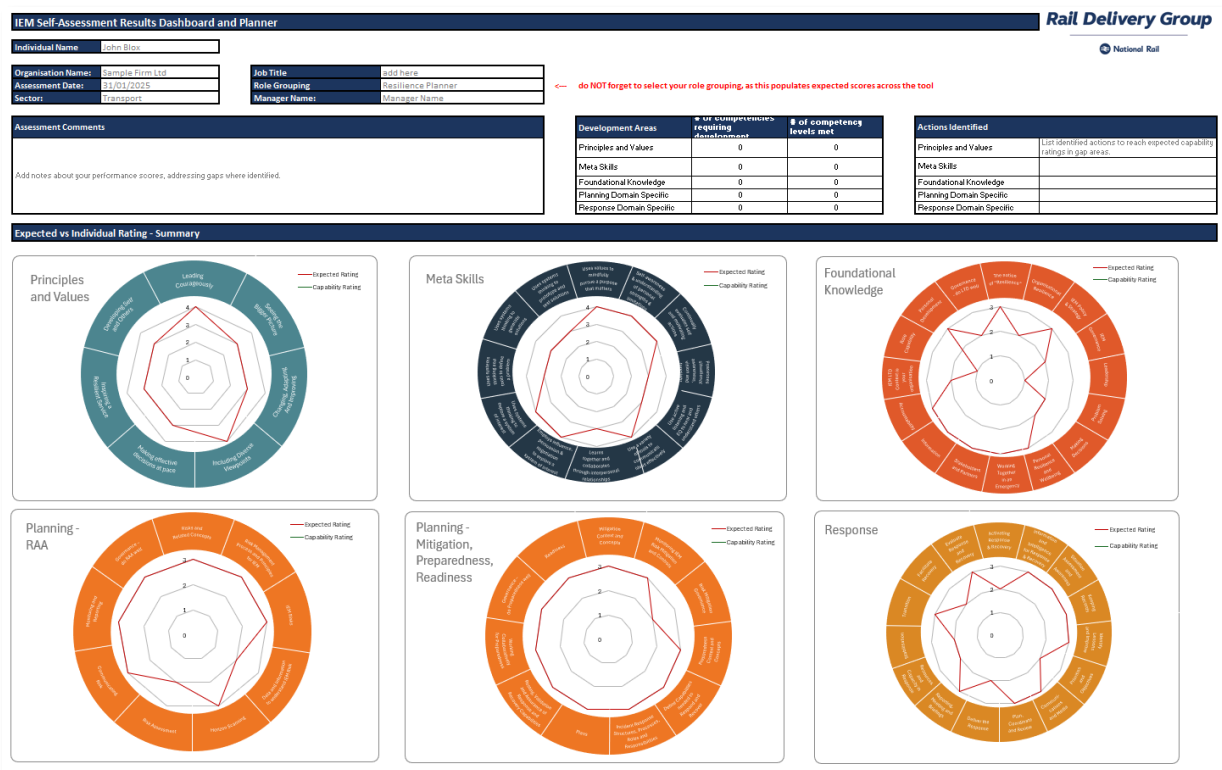


Figure 3 - Dashboard Tab

The next four tabs (reading left to right) are all labelled as SAT Tabs and follow a similar structure.

Self-Assessment Tabs: Principles and Values

- Layout as per figure.

| Values & Principles Self Assessment Tool | | | | | | Rail Delivery Group | |
|--|--|---|---|---|---|---------------------|--|
| Your Selected Role: Resilience Planner | | | | | | National Rail | |
| Topic | Meta Skill | Expected Rating (Based on your role) | Capability Rating (Which rating applies to the below meta skill statements?) | Evidence (What evidence do you have in your learning log to support this?) | Additional Comments (Include any comments that add to the narrative of this competency, i.e. why you are not meeting the expected score yet, or what you are planning to do to continue your development.) | | |
| Leading Consuasively | I believe in effective leadership at all levels, promoting governance, strategy, resilience, diversity, clear communication, and support, while maintaining calm and setting high expectations during crises. | 4 | | | | | |
| Seeing the bigger picture | I engage in horizon scanning, real-time monitoring, and data gathering to enhance risk awareness and decision-making, recognise dynamic risks, understand cumulative consequences, appraise my role in crisis management, implement mitigative actions, and align crisis response strategy with departmental and governmental priorities. | 3 | | | | | |
| Changing, adapting and improving | I proactively identify and evaluate response outcomes, synthesize findings for improvement, ensure accessibility, develop crisis capabilities, hold teams accountable, enhance resilience and flexibility, assess maturity, foster a culture of resilience, and continuously learn to improve and thrive after disasters. | 3 | | | | | |
| Including diverse viewpoints | I engage in inclusive engagement to build consensus and resilience, promote collaboration, extend my network, implement response structures, support crisis teams, balance disciplined working with flexibility, maintain situational awareness, establish effective communications, ensure information infrastructure resilience, share information openly, influence priorities, communicate risks effectively, and provide timely advice and briefings. | 4 | | | | | |
| Making effective decisions at pace | I use foresight to envision future crises, align decision-making with crisis pace, adapt processes, translate priorities into actionable plans, ensure swift tasking, balance evidence with urgency, incorporate stakeholders' views, avoid decision traps, record decisions transparently, and make difficult choices for long-term positive outcomes. | 3 | | | | | |
| Imparting a Resilience service | I proactively develop and maintain crisis management capabilities, review and manage risks, anticipate readiness activities, consider dynamic needs, integrate stakeholder feedback, define and monitor action plans, manage resources, ensure milestones are achieved, and drive continuous improvement by applying BAU learning to crisis skills. | 3 | | | | | |
| Developing self and others | I understand the skill capability gap, advocate for training programs, and take opportunities to practice and improve crisis skills through simulations and exercises, while supporting others to do the same. | 3 | | | | | |

Based on your self-assessment, you need development in **0** competencies. Please discuss this with your manager and take appropriate actions to improve your competencies to levels required for your role.

You are meeting the expected scoring for **0** competencies. Congratulations! Do not forget to include development activities that allow you to maintain or further develop these competencies.

Figure 4 – SelfAssessment Tab (Principles and Values)

Self-Assessment Tabs: Meta Skills

- Layout like the prior section

Self-Assessment Tabs: Foundational Knowledge,

- Layout like the prior section

Self-Assessment Tabs: Planning Competencies

- Layout like the prior section

Self-Assessment Tabs: Response Competencies

- Layout like the prior section

Expected Scores Tab

- This is a List of expected scores across all competencies.
- This is an editable sheet by rail entities to ensure that the expected competency scores suit each entity's role groupings.
- Any changes to expected scoring (and moving away from those recommended) should be subject to the suers internal change control processes and may require a safety validation process to be undertaken, therefore having a clear rationale on the needs for change is essential
- If you do still wish to edit a score to avoid issues with future use, it is advisable to **lock the sheet down immediately after** as to inadvertently change of the expected scores could invalidate any comparison.
- However a member of staff conducting the self-assessment would not normally be required to make such an edit.
- The password can be obtained by emailing railresilience@raildeliverygroup.com.

Rail Emergency Management – Self-Assessment Tool Guidance

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| | | | | | | | | | | National Rail | | | | | | | | | | | | | | | | | | | |
|---|--|---|-----------------------------|--------------------------------|-----------------------------|------------------------------|-----------------------------|------------------------------------|---------------------|---------------|--|--|--|--|--|--|--|--|--|--|---------------------|-----------------------------|-----------------------------|--------------------------------|-----------------------------|------------------------------|-----------------------------|------------------------------------|---------------------|
| <p>PLEASE NOTE This scoring sheet is editable and connected to the Dashboard and SAT tabs in this tool. Rail Entities can edit the expected capability scoring across role groupings and competencies in this document according to their own preferences. The scores in this present sheet will then automatically carry through to the Dashboard and SAT tabs.</p> <p>DO NOT Edit the Role Groupings (cells E2 - M2), as this will not update across the rest of the tool, and these groupings have been set by the Rail Delivery Group. As a Rail Entity, you can decide which Job Roles fall within a certain Role Grouping and communicate this accordingly to all staff.</p> <p>The Expected Scores as recommended by the Rail Delivery Group can be found in the IEM Competency Framework as an ongoing reference.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | <table><thead><tr><th></th><th>Resilience Planners</th><th>Resilience Planning Manager</th><th>Head of Resilience Planning</th><th>Operational Incident Commander</th><th>Tactical Incident Commander</th><th>Strategic Incident Commander</th><th>Head of Incident Management</th><th>Senior Leadership (Director Level)</th><th>Rail Industry Staff</th></tr></thead></table> | | | | | | | | | | | | | | | | | | | Resilience Planners | Resilience Planning Manager | Head of Resilience Planning | Operational Incident Commander | Tactical Incident Commander | Strategic Incident Commander | Head of Incident Management | Senior Leadership (Director Level) | Rail Industry Staff |
| | Resilience Planners | Resilience Planning Manager | Head of Resilience Planning | Operational Incident Commander | Tactical Incident Commander | Strategic Incident Commander | Head of Incident Management | Senior Leadership (Director Level) | Rail Industry Staff | | | | | | | | | | | | | | | | | | | | |
| Principles and Values | Leading Courageously | I believe in effective leadership at all levels, promoting governance, strategy, resilience, and engagement in horizon scanning, real-time monitoring, and data gathering to enhance risk | 4 | 5 | 5 | 4 | 5 | 5 | 5 | 3 | | | | | | | | | | | | | | | | | | | |
| | Seeing the Bigger Picture | I engage in horizon scanning, real-time monitoring, and data gathering to enhance risk | 3 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Championing, Adapting and Including Diverse | I proactively identify and evaluate response outcomes, synthesise findings for | 3 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Making Effective Decisions at | I use foresight to envision future crises, align decision-making with crisis pace, adapt | 3 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Learning a Resilient Service | I proactively develop and maintain crisis management capabilities, review and manage | 3 | 4 | 5 | 3 | 3 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| Meta Skills - Self | Developing Self and Others | I understand the skill capability gap, advocate for training programs, and take | 3 | 4 | 5 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Uses values to mindfully | I know and understand what is important to me and what I want to achieve. I know why | 4 | 4 | 5 | 4 | 4 | 5 | 5 | 4 | | | | | | | | | | | | | | | | | | | |
| Leadership | Possesses a level of self | I am able to look back and reflect on the story of something that's happened in my life. I | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | | | | | | | | | | | | | | | | | | | |
| | Continually evaluates self | I take responsibility for proactively self-evaluating and reflecting on my own learning and | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | | | | | | | | | | | | | | | | | | | |
| | Possesses structural | I am able to use forward thinking and consider the bigger picture to communicate | 3 | 4 | 4 | 3 | 3 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| Meta Skills - Learning | Uses active listening and | I use active deep listening and emotional intelligence to work collaboratively with a | 3 | 4 | 5 | 3 | 3 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Learns a variety of tools | I show awareness and recognition of others' feelings, values and attitudes and use this | 4 | 4 | 4 | 5 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| Relationships | Acts together and | I am open to learning through a variety of relationships with both similar and differing | 3 | 4 | 5 | 3 | 4 | 5 | 5 | 3 | | | | | | | | | | | | | | | | | | | |
| | Employs influence | I demonstrate genuine respect for others working and learning together, role modelling | 4 | 4 | 5 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| Meta Skills - Complex Problem Solving | Uses systems thinking and | I can use a systematic approach to think through and make connections between new | 4 | 4 | 5 | 4 | 4 | 5 | 5 | 3 | | | | | | | | | | | | | | | | | | | |
| | Uses systems thinking and | I demonstrate curiosity through asking questions, understanding connections and | 3 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Uses systems thinking and | I demonstrate curiosity to effectively to dig deeper combined with systems thinking and | 3 | 4 | 4 | 3 | 3 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Combines Learning Power with thinking skills, problem solving skills and knowledge | I combine Learning Power with thinking skills, problem solving skills and knowledge | 3 | 3 | 4 | 3 | 3 | 3 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| Foundations Org | What you need to know | I understand the concept of resilience and the factors that contribute to a resilient | 3 | 4 | 5 | 2 | 2 | 4 | 2 | 1 | | | | | | | | | | | | | | | | | | | |
| | What you need to know | I understand and promote organisational resilience and effective IEM governance, align | 2 | 2 | 4 | 1 | 2 | 2 | 4 | 1 | | | | | | | | | | | | | | | | | | | |
| | What you need to know | I understand and apply IEM principles across all phases (Anticipate, Assess, Prevent, | 3 | 4 | 5 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | What you need to know | I understand and manage the organization's IEM maturity, integrate resilience | 2 | 3 | 4 | 1 | 1 | 2 | 4 | 1 | | | | | | | | | | | | | | | | | | | |
| Foundations | Leadership | I exhibit effective crisis leadership by understanding and addressing challenges, and | 1 | 3 | 4 | 3 | 4 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Problem Solving | I utilize various thinking approaches, including convergent, critical, divergent, creative, | 2 | 2 | 3 | 4 | 2 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Making Decisions | I make timely, effective, and defensible decisions during emergencies by understanding | 2 | 2 | 3 | 4 | 4 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| Working with Self and Others | Personal Resilience & Working Together in Stakeholders and Partners | I recognize the symptoms of tiredness, fatigue, and stress, understand their impacts on | 2 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Communication | I collaborate effectively with partners before, during, and after emergencies, building | 3 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Information | I understand and identify the principles of stakeholder identification and engagement in | 3 | 4 | 4 | 2 | 2 | 3 | 4 | 1 | | | | | | | | | | | | | | | | | | | |
| | Accountability | I understand and identify the information needs of partners and stakeholders across all | 3 | 4 | 4 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Role | I understand the role of accountability in evidencing the effectiveness of stakeholder | 3 | 4 | 4 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| Foundations | The IEM LTD context in your Role | I understand the purpose of IEM LTD standards, competency frameworks, and the | 2 | 3 | 4 | 2 | 2 | 2 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Personal development | I understand and maintain the knowledge, skills, and proficiency requirements for | 1 | 3 | 4 | 1 | 1 | 2 | 4 | 1 | | | | | | | | | | | | | | | | | | | |
| | Governance - do LTD well | I understand the requirement to undertake a periodic assessment and successfully | 3 | 4 | 4 | 3 | 4 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| Developing Self and Others | Governance - do LTD well | I understand governance requirements related to IEM LTD, apply Kirkpatrick's four levels | 2 | 3 | 4 | 2 | 2 | 2 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Risk management process | I understand and consistently use risk terms, recognize the interdependent and dynamic | 3 | 4 | 4 | 2 | 3 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Data & Information | I understand the role of risk assessment in mitigation and preparedness, apply | 3 | 3 | 4 | 2 | 2 | 2 | 3 | 3 | | | | | | | | | | | | | | | | | | | |
| | Horizon Scanning | I understand UK Resilience/Civil Contingencies risks and their potential impacts on the | 3 | 4 | 4 | 2 | 2 | 2 | 3 | 3 | | | | | | | | | | | | | | | | | | | |
| | Horizon Scanning | I understand the role and value of data and information in horizon scanning | 2 | 3 | 4 | 2 | 2 | 2 | 3 | 2 | | | | | | | | | | | | | | | | | | | |
| | Risk Assessment | I understand and apply the principles and processes of horizon scanning to proactively | 5 | 3 | 4 | 2 | 2 | 2 | 3 | 2 | | | | | | | | | | | | | | | | | | | |
| | Communicating risk | I understand and apply the structures, systems, and processes for identifying, analyzing, | 2 | 3 | 4 | 2 | 2 | 2 | 3 | 2 | | | | | | | | | | | | | | | | | | | |
| | Communicating risk | I understand and apply the principles of effective risk communication, visualizing and | 3 | 3 | 4 | 2 | 2 | 2 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Monitoring & Readiness | I understand and apply the role and approaches to monitoring IEM risks for readiness, | 3 | 4 | 4 | 2 | 2 | 2 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Governance - do risk | I contribute to risk monitoring, assessment, and compliance, facilitate risk governance | 3 | 4 | 4 | 2 | 2 | 2 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| Mitigation | Context & Concepts - what | I understand the role of mitigation in reducing risks, the concept of residual risk and | 3 | 4 | 4 | 2 | 2 | 2 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Context & Concepts - what | I understand and contribute to the monitoring of IEM risk mitigation assets and systems | 3 | 4 | 4 | 2 | 2 | 2 | 3 | 2 | | | | | | | | | | | | | | | | | | | |
| | Risk mitigation Governance | I effectively integrate, monitor, and maintain risk mitigation systems, proactively | 2 | 4 | 4 | 2 | 2 | 2 | 3 | 3 | | | | | | | | | | | | | | | | | | | |
| Prepare | Context & Concepts - what | I develop, document, and maintain emergency response plans and procedures, ensuring | 3 | 4 | 4 | 2 | 3 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Context & Concepts - what | I identify and manage common consequences of incidents by ensuring information | 3 | 4 | 4 | 2 | 3 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Incident response | I manage incident response systems, address current impacts, and prevent further risks | 3 | 3 | 4 | 2 | 3 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Incident response | I develop, document, and maintain comprehensive emergency plans based on | 3 | 4 | 4 | 2 | 2 | 2 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Testing, validation and Working collaboratively for Resilience | I assess and enhance organizational capability through effective exercise design and | 3 | 4 | 4 | 3 | 3 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Resilience | I collaborate with various organizations to develop and maintain coordinated | 3 | 4 | 4 | 3 | 3 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I evaluate and enhance IEM capabilities through regular exercises, continuous feedback, | 3 | 4 | 4 | 3 | 2 | 2 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I utilize early warning information to activate readiness actions, balance uncertainty | 3 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I evaluate early information make an initial assessment of the level and tier of the | 2 | 3 | 4 | 4 | 3 | 3 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I assess, gather, analyze, manage and securely share the most reliable information and | 3 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I use available information to create and share timely and effective information | 3 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I maintain and retain concurrent, clear and auditable records of context, decisions | 3 | 4 | 4 | 4 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I actively contribute to debriefs and reviews to identify lessons and recommendations, | 3 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I determine response and recovery priorities, intended outcomes and objectives, | 2 | 3 | 3 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I contribute to an effective communication strategy which ensures timely and accurate | 3 | 4 | 4 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I deliver a response that achieves strategic intended outcomes by meeting needs, | 2 | 2 | 3 | 4 | 4 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I anticipate and prioritize resources for readiness, incident response, and recovery, | 2 | 3 | 3 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I anticipate and prioritize resources for readiness, incident response, and recovery, | 2 | 3 | 3 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I plan and manage the transition from crisis mode to business-as-usual (BAU), ensuring | 2 | 3 | 3 | 3 | 3 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I determine relevant recovery priorities, intended outcomes and objectives, and use a | 2 | 3 | 3 | 3 | 4 | 4 | 4 | 2 | | | | | | | | | | | | | | | | | | | |
| | Initiate Response | I evaluate the resilience and sustainability of recovery interventions, actively | 3 | 4 | 4 | 3 | 4 | 4 | 4 | 3 | | | | | | | | | | | | | | | | | | | |

Figure 5 - Expected Scores (Editable) Tab

2 Instructions for Use

2.1 For Line Managers

Before starting to use the document, please work through these important notes which should be followed:

- Before sharing the tool within your organisation, it is important that you and your team have a shared understanding on the purpose and intent behind the document and that there is transparency on its use and application.
- To ensure clarity in use, an internal mapping exercise may be required to identify individuals with a given job title and defined role and responsibilities to the job groups used within the tool (a cursory matching of job titles may not be sufficient).
- As noted previously, it is possible to amend the 'expected scoring tab' if there is a clear rationale for doing so such as misalignment with real world job descriptions and need. However, should a rail entity decide to change the scores from those recommended then the rationale for the changes should be formally recorded through your organisations change control processes. Making an amendment also risks document control issues and needs to be carefully managed (avoid editing the master version and lock the spreadsheet immediately after editing).
- The recommended industry scoring details can be found in the separate competency framework document.
- Ensure the document to be used is an accessible area by the organisation and that each user downloads a fresh copy to avoid overwriting others work.
- It is not currently possible to compare individuals within a team within this tool however this could be done via comparison of the dashboards outside of the tool.
- The spreadsheet is currently partially locked to avoid any edits of the competencies or role groupings.
- The password can be obtained by emailing railresilience@raildeliverygroup.com.

2.2 For an Individual Staff Member

- To start save a local copy of the document (to identify it you may wish to include your name and the date in the file name.)
- Fill in the overarching information (name, job title, manager name etc.) in the Dashboard tab.
- Select your role grouping in the Dashboard tab, this is an important step as it will update the expected scoring throughout the rest of the documents.
- If there is an ambiguity as to which role group a given job aligns to please discuss with your line manager for standardisation with colleagues.

| | |
|--------------------|--------------------|
| Individual Name | John Blox |
| Organisation Name: | Sample Firm Ltd |
| Assessment Date: | 31/01/2025 |
| Sector: | Transport |
| Job Title | add here |
| Role Grouping | Resilience Planner |
| Manager Name: | Manager Name |

Figure 1: Remember to select the Role Grouping

- Navigate through each of the Self-Assessment Tool tabs and individual a score that indicates the score that reflects your current level of capability the most for each row.
- Add evidence for the indicated level of capability where applicable in the evidence column. This evidence can be informed by the Competency Framework, which includes more information on specific knowledge and knowledge for each competency. Consult the IEM Competency Framework for a detailed view of each competency and suggested indicators that would allow you to evidence your assessment score.
- Add further comments if relevant to support the narrative of your self-assessment.

- One you have completed a tab this will give you a count where your competencies lie below the expected score for your respective Role Grouping, this appears both in the SAT Tab and in the Dashboard Tab.
- In the Dashboard tab, you will also be able to view the difference between your scoring and the expected scores in an overview shown on a radar graph (also known as a spider diagram).
- You are encouraged to use the present SAT to guide performance and development conversations with your line manager, to support you in finding the best areas to develop your knowledge and knowledge to fulfil and develop as an IEM professional.
- It is recommended to conduct this self-assessment at least annually in order that you can compare your development progress against the competencies and recommended score based on your role grouping.

2.3 Exemplar Completed Self-Assessment

- The Role Grouping will be auto populated once you select your Role Grouping in the Dashboard Tab.

| | A | B |
|---|---|---------------------------|
| 1 | MOCK ASSESSMENT - Values & Principles Self Assessment Tool | |
| 2 | | |
| 3 | Your Selected Role Grouping is: | Resilience Planner |

Figure 6 - SAT Tab Heading and Role Grouping

- The Expected Rating column will be auto populated based on your selected Role Grouping.
- The Capability Rating column is where you add in your own scoring according to the scale you can see when hovering over each respective Capability Rating cell showing the 1-5 scoring.

| Topic | Meta Skill | Expected Rating (based on your role) | Capability Rating Which rating applies to the below meta skill statements? | Evidence What evidence do you have in your learning log to support this? | Additional Comments Include any comments that add to the narrative of this competency, i.e. why you are not meeting the expected score yet, or what you are planning to do to continue your development. |
|-------|----------------------------------|---|---|--|---|
| 4 | Leading Courageously | 4 | 2 | ← Select your reflective Capability Score here - where do you score on the outlined scale? | |
| 5 | Seeing the bigger picture | 3 | 3 | | |
| 6 | Changing, adapting and improving | 3 | 2 | | |
| 7 | Including diverse viewpoints | 4 | 4 | | |
| 8 | | | | | |

Figure 7 - Principles and Values Competencies showing the expected rating (auto populated) and the capability rating (filled in by the user)

- Once you added your scores to the Capability Rating column, you can see in the two boxes below how many competencies you meet and don't meet expected scores for.

Based on your self-assessment, you need development in

3

competencies. Please discuss this with your manager and take appropriate actions to improve your competencies to levels required for your role.

You are meeting the expected scoring for

4

competencies. Congratulations! Do not forget to include development activities that allow you to maintain or further develop these competencies.

Figure 8 - Summary Boxes showing where the self-assessed competencies scores is below the expected one to identify areas for development

- The output is also produced as a radar graph (spider diagram) in the Dashboard Tab to visualize how you compare against expected scores in all competencies of a domain.



Figure 9 - Spider diagram outlining comparison between expected and actual ratings.

Rail Delivery Group



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