

## 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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Steve Enright, Independent Chair Rail Resilience Steering Group (RRSG)

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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
<b>Rail Delivery Group</b>				
1				
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.

<b>IEM Competency Self-Assessment Tool</b>										<b>Rail Delivery Group</b>																	
<p><b>Purpose of the tool</b></p> <p>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.</p>										<p><b>Rail Delivery Group</b></p> <p> National Rail</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Individual Name: John Doe</td> <td>Job Title: add here</td> </tr> <tr> <td>Organisation Name: Sample Firms Ltd</td> <td>Role Grouping: Excellence Planner</td> </tr> <tr> <td>Assessment Date: 31/01/2025</td> <td>Manager Name: Manager Name</td> </tr> <tr> <td>Sector: Transport</td> <td></td> </tr> </table>										Individual Name: John Doe	Job Title: add here	Organisation Name: Sample Firms Ltd	Role Grouping: Excellence Planner	Assessment Date: 31/01/2025	Manager Name: Manager Name	Sector: Transport	
Individual Name: John Doe	Job Title: add here																										
Organisation Name: Sample Firms Ltd	Role Grouping: Excellence Planner																										
Assessment Date: 31/01/2025	Manager Name: Manager Name																										
Sector: Transport																											
<p><b>How to use the tool</b></p> <ol style="list-style-type: none"> <li>Save a local copy of this document and include your name and the date in the file name.</li> <li>Fill in the overarching information (name, job title, manager name etc.) in the <b>Dashboard tab</b>.</li> <li>Indicate your current level of capability in the <b>Self-Assessment Tool (SAT) tab</b>, as this will update expected scores across all SAT tabs.</li> <li>Navigate through the <b>five SAT tabs</b> and for each competency (row),</li> <ol style="list-style-type: none"> <li>Indicate the score that reflects your current level of capability the most.</li> <li>Add evidence for the indicated level of capability where applicable in the evidence column.</li> <li>Add further comments if relevant to support the narrative of your self-assessment.</li> </ol> <p><i>NOTE: Consult the IEM Competency Framework for a detailed view of each competency and suggested indicators that would allow you to demonstrate your capabilities.</i></p> <li>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).</li> <li>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.</li> <li>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.</li> </ol>																											

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.

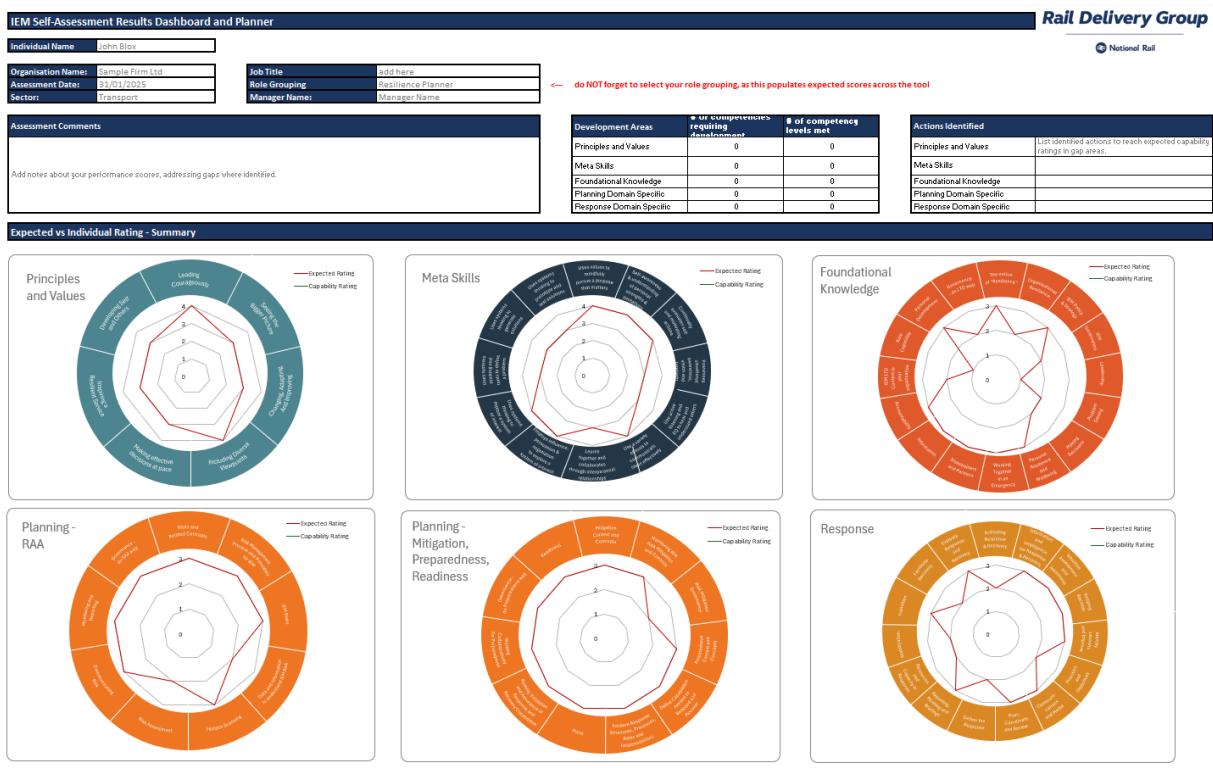


Figure 3 - Dashboard Tab

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		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.
3	Your Selected Role Grouping Is: Resilience Planner				
4	Topic Meta Skill				
5	Leading Courageously	4			
6	Seeing the bigger picture	3			
7	Changing, adapting, and improving	3			
8	Including diverse viewpoints	4			
9	Making effective decisions at pace	3			
10	Inspiring a Resilient Service	3			
11	Developing self and others	3			
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	A	B	C	D	E	F	G	H	I	J	K	L	M			
<b>PLEASE NOTE</b>																
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.																
<b>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.</b>																
The Expected Scores as recommended by the Rail Delivery Group can be found in the IEM Competency Framework as an ongoing reference.																
<b>Resilience Planners</b>	<b>Resilience Planning Manager</b>	<b>Head of Resilience Planning</b>	<b>Operational Incident Commander</b>	<b>Tactical Incident Commander</b>	<b>Strategic Incident Commander</b>	<b>Head of Incidence Management</b>	<b>Senior Leadership [Director Level]</b>	<b>Rail Industry Staff</b>								
1. Principles and Values	2. Seeing the Bigger Picture	3. Leading Courageously	4. Engage in horizon scanning, real-time monitoring, and data gathering to enhance risk	5. Proactively identify and evaluate response outcomes, synthesize findings for	6. Use foresight to envision future crises, align decision-making with crisis pace, adapt	7. Use foresight to envision future crises, align decision-making with crisis pace, adapt	8. Proactively develop and maintain crisis management capabilities, review and manage	9. Proactively develop and maintain crisis management capabilities, review and manage	10. Inspiring a Resilient Services	11. Inspiring a Resilient Services	12. Inspiring a Resilient Services	13. Inspiring a Resilient Services	14. Inspiring a Resilient Services			
15. Metas Skills - Self Leadership	16. Possesses a level of self-motivation	17. Continually evaluates self	18. Possesses a level of self-motivation	19. Continually evaluates self	20. Possesses a level of self-motivation	21. Continually evaluates self	22. Possesses a level of self-motivation	23. Continually evaluates self	24. Possesses a level of self-motivation	25. Continually evaluates self	26. Possesses a level of self-motivation	27. Continually evaluates self	28. Possesses a level of self-motivation			
29. Foundations Org Res, IEM, Gov	30. What you need to know	31. What you need to know	32. Understand the concept of resilience and the factors that contribute to resilience	33. Understand the concept of resilience and the factors that contribute to resilience	34. Understand the concept of resilience and the factors that contribute to resilience	35. Understand the concept of resilience and the factors that contribute to resilience	36. Understand the concept of resilience and the factors that contribute to resilience	37. Understand the concept of resilience and the factors that contribute to resilience	38. Understand the concept of resilience and the factors that contribute to resilience	39. Understand the concept of resilience and the factors that contribute to resilience	40. Understand the concept of resilience and the factors that contribute to resilience	41. Understand the concept of resilience and the factors that contribute to resilience	42. Understand the concept of resilience and the factors that contribute to resilience			
43. Foundations Working with Self and Others	44. What you need to know	45. What you need to know	46. Understand and manage the organization's IEM maturity, integrate resilience	47. Understand and manage the organization's IEM maturity, integrate resilience	48. Understand and manage the organization's IEM maturity, integrate resilience	49. Understand and manage the organization's IEM maturity, integrate resilience	50. Understand and manage the organization's IEM maturity, integrate resilience	51. Understand and manage the organization's IEM maturity, integrate resilience	52. Understand and manage the organization's IEM maturity, integrate resilience	53. Understand and manage the organization's IEM maturity, integrate resilience	54. Understand and manage the organization's IEM maturity, integrate resilience	55. Understand and manage the organization's IEM maturity, integrate resilience	56. Understand and manage the organization's IEM maturity, integrate resilience			
57. Foundations Developing Self and Others	58. What you need to know	59. What you need to know	60. Understand and manage the organization's IEM maturity, integrate resilience	61. Understand and manage the organization's IEM maturity, integrate resilience	62. Understand and manage the organization's IEM maturity, integrate resilience	63. Understand and manage the organization's IEM maturity, integrate resilience	64. Understand and manage the organization's IEM maturity, integrate resilience	65. Understand and manage the organization's IEM maturity, integrate resilience	66. Understand and manage the organization's IEM maturity, integrate resilience	67. Understand and manage the organization's IEM maturity, integrate resilience	68. Understand and manage the organization's IEM maturity, integrate resilience	69. Understand and manage the organization's IEM maturity, integrate resilience	70. Understand and manage the organization's IEM maturity, integrate resilience			
71. RAA	72. What you need to know	73. What you need to know	74. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	75. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	76. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	77. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	78. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	79. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	80. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	81. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	82. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	83. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk	84. Understand and consistently use risk terms, recognize the interdependent and dynamic nature of risk			
85. Risk Management Process	86. IEM Risks	87. Data & Information to	88. Horizon Scanning	89. Risk Identification	90. Making Decisions	91. Communicating risk	92. Monitoring & reporting	93. Mitigation	94. Contingency & what	95. Readiness	96. Initiate Response	97. Delivering Response	98. Recovery			
99. Prepare	100. Define the capabilities	101. Develop, document, and maintain emergency response plans and procedures, ensuring	102. Identify and manage common consequences of incidents by ensuring information	103. Develop, document, and maintain comprehensive emergency plans based on risk	104. Assess and enhance organisational capability through effective exercise design and	105. Work collaboratively for	106. Coordinate to do	107. Readiness	108. Contingency & what	109. Readiness	110. Initiate Response	111. Delivering Response	112. Recovery			
113. Response Strategy & Planning	114. Priorities & objectives	115. Communications & media	116. Plan, coordinate & review	117. Reporting, meeting & Resources & Capability in	118. Transition	119. Facilitate Recovery	120. Evaluate response and	121. Resilience Planners	122. Resilience Planning Manager	123. Head of Resilience Planning	124. Operational Incident Commander	125. Tactical Incident Commander	126. Strategic Incident Commander	127. Head of Incidence Management	128. Senior Leadership [Director Level]	129. Rail Industry Staff

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 rational 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](mailto: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.

- Once 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	<b>MOCK ASSESSMENT - Values &amp; Principles Self Assessment Tool</b>
2	
3	Your Selected Role Grouping is: <b>Resilience Planner</b>

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	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	2	<- Select your reflective Capability Score here - where do you score on the outlined scale?
5	Seeing the bigger picture	I engage in horizon scanning, real-time monitoring, and data gathering to enhance risk awareness and decision-making, recognize dynamic risks, understand cumulative consequences, appreciate my role in crisis management, implement mitigation actions, and align crisis response strategy with departmental and governmental priorities.	3	3	
6	Challenging, adapting and improving	I proactively identify and evaluate response outcomes, synthesise findings for improvement, ensure accessibility, develop crisis capabilities, hold teams accountable, enhance resilience and flexibility, assess and review performance, and align crisis response strategy with departmental and governmental priorities.	3	2	
7	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	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.

<p>Based on your self-assessment, you need development in <b>3</b> competencies. Please discuss this with your manager and take appropriate actions to improve your competencies to levels required for your role.</p>
<p>You are meeting the expected scoring for <b>4</b> competencies. Congratulations! Do not forget to include development activities that allow you to maintain or further develop these competencies.</p>

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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