**Rail Industry Standard
RIS-8046-TOM
Issue:** Two
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Spoken Safety Critical Communications

Synopsis

This document sets out requirements for spoken safety critical communications, including monitoring.

Published by RSSB

Issue record

Issue	Date	Comments
One	03/12/2016	Replaces Railway Group Standard GERT8046 issue two, as it could not be retained as a national safety rule and is therefore reclassified as a Rail Industry Standard.
Two	07/09/2019	Replaces issue one. Incorporates relevant findings from 'The Communications Manual' from RSSB research project T1078 'Developing a safety critical communications training programme. Merges RIS-8046-TOM issue one with GEGN8516 issue one 'Guidance on Recording and Monitoring of Spoken Safety Communications'. Editorial changes throughout.

Revisions have not been marked by a vertical black line in this issue because the document has been revised throughout.

Superseded documents

The following Railway Group documents are superseded, either in whole or in part as indicated:

Superseded documents	Sections superseded	Date when sections are superseded
RIS-8046-TOM issue one 'Spoken Safety Communications'	All	07/09/2019
GEGN8516 issue one 'Guidance on Recording and Monitoring of Spoken Safety Communications'	All	07/09/2019

Supply

The authoritative version of this document is available at www.rssb.co.uk/railway-group-standards. Enquiries on this document can be submitted through the RSSB Customer Self-Service Portal https://customer-portal.rssb.co.uk/

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Part 1   Purpose and Introduction

1.1   Purpose

1.1.1   This document sets out requirements for transport operators (that is, infrastructure managers (IMs) and railway undertakings (RUs)) regarding spoken safety critical communications.

1.1.2   This document is the industry agreed and endorsed standard regarding spoken safety critical communications on the Great Britain (GB) mainline railway. It contains requirements for transport operators to identify those job roles which involve spoken safety critical communications and to achieve and maintain staff competence accordingly. It also contains requirements for transport operators to cooperate in the process of monitoring such communications and in obtaining recordings for use as evidence in an investigation.

1.2   Application of this document

1.2.1   Compliance requirements and dates have not been specified because these are the subject of internal procedures or contract conditions.

1.2.2   If you plan to do something that does not comply with a requirement in this RIS, you can ask a Standards Committee to comment on your proposed alternative. If you want a Standards Committee to do this, please submit your deviation application form to RSSB. You can find further advice in the 'Guidance to applicants and members of Standards Committee on using alternative requirements', available from RSSB's website www.rssb.co.uk.

1.3   Health and safety responsibilities

1.3.1   Users of documents published by RSSB are reminded of the need to consider their own responsibilities to ensure health and safety at work and their own duties under health and safety legislation. RSSB does not warrant that compliance with all or any documents published by RSSB is sufficient in itself to ensure safe systems of work or operation or to satisfy such responsibilities or duties.

1.4   Structure of this document

1.4.1   This document sets out a series of requirements that are sequentially numbered. This document also sets out the rationale for the requirement, explaining why the requirement is needed and its purpose and, where relevant, guidance to support the requirement. The rationale and the guidance are prefixed by the letter 'G'.

1.4.2   Some subjects do not have specific requirements but the subject is addressed through guidance only and, where this is the case, it is distinguished under a heading of 'Guidance' and is prefixed by the letter 'G'.

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1.5   Approval and authorisation of this document

1.5.1   The content of this document was approved by the Traffic Operation and Management Standards Committee on 04 June 2019.

1.5.2   This document was authorised by RSSB on 26 July 2019.

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Part 2   Requirements for spoken safety critical communications

2.1   Identifying roles involving spoken safety critical communications

2.1.1   Transport operators shall identify those job roles within their respective organisations which have responsibility for spoken safety critical communications.

Rationale

G 2.1.2   Spoken safety critical communications play an essential part in the running of a safe railway.

G 2.1.3   Identifying roles which have a requirement to carry out spoken safety critical communications assists transport operators in determining training needs so that individuals have the correct skills, knowledge and capabilities to perform the role.

G 2.1.4   Identifying and analysing the tasks carried out by different job roles (such as signallers, drivers, track workers) is a useful way to establish whether spoken safety critical communications are involved in the role.

Guidance

G 2.1.5   The responsibility indicators in the Rule Book (GERT8000) may assist in the identification of roles and responsibilities by job title.

G 2.1.6   The Office of Rail and Road's (ORR) Railway Safety Publication 4 (RSP4) 'Safety Critical Tasks - Clarification of Railways and Other Guided Transport Systems (ROGS) Regulations Requirements' provides a list of tasks regarded as safety critical.

2.2   Including spoken safety critical communications training and development within safety management systems

2.2.1   Transport operators shall ensure that staff identified as responsible for spoken safety critical communications receive training and development to be able to demonstrate and maintain competency in spoken safety critical communications.

Rationale

G 2.2.2   The training and development of staff responsible for spoken safety critical communications is key in managing staff competence as part of transport operators' safety management systems.

G 2.2.3   The ability to communicate clearly, to actively listen and to be able to reach a clear understanding of spoken safety critical messages are key capabilities and require training and development.

G 2.2.4   Staff who have received training in spoken safety critical communications, and have been assessed as being competent, are better equipped to communicate effectively and safely.

Guidance

G 2.2.5   It is important that staff recognise when a spoken safety critical communication is happening.

G 2.2.6   It is important that all parties involved take responsibility for the spoken safety critical communication.

G 2.2.7   Effective spoken safety critical communication is as important in normal operations as it is in degraded and emergency situations.

G 2.2.8   In a spoken safety critical communication, one person takes lead responsibility, meaning that they are responsible for ensuring that a clear understanding is reached before the communication is closed.

G 2.2.9   The job role with lead responsibility, in a variety of situations, is defined in the Rule Book (GERT8000), module G1.

G 2.2.10   Knowing when to be assertive and having confidence to challenge are key capabilities in spoken safety critical communications.

G 2.2.11   Carrying out a training needs analysis provides a useful output to inform training requirements in spoken safety critical communications as part of a competence management system.

G 2.2.12   Establishing requirements for training, development and assessment, within a framework as defined in ORR's RSP1, 'Developing and maintaining staff competence', Phase 2, Principle 5, can provide guidance in structuring training requirements in spoken safety critical communications.

G 2.2.13   The guiding principles for effective spoken safety critical communication can be found in Appendix A.

G 2.2.14   RSSB's publication 'Safety Critical Communications: The Manual' (the Communications Manual) is a useful resource when developing and maintaining staff competency in spoken safety critical communications.

G 2.2.15   An on-line training course in Safety Critical Communications is available on the RSSB website. This course complements the Communications Manual.

G 2.2.16   Further advice on risk-based training needs analysis is also available from RSSB.

2.3   Language to be used in spoken safety critical communications

2.3.1   Transport operators shall use the English language as the operating language in all spoken safety critical communications.

Rationale

G 2.3.2   The Operation and Traffic Management Technical Specification for Interoperability (OPE TSI) states 'The language used for safety-related communication between train crew, other railway undertaking staff […] and the staff authorising train movements is the operating language […] used by the infrastructure manager on the route concerned.' On the GB mainline railway, this language is English.

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G 2.3.3   Communicating in one specific, defined language eliminates language barriers.

Guidance

G 2.3.4   The OPE TSI, regulation 4.6.2.2, defines levels of language knowledge for persons carrying out defined roles on the railway.

G 2.3.5   The Train Driving Licences and Certificates Regulations (TDLCR), schedule 4, defines language requirements for train drivers.

2.4   Using standardised safety critical communications protocols

2.4.1   Transport operators shall use standard spoken safety critical communications protocols, including words, phrases and the phonetic alphabet.

Rationale

G 2.4.2   Using standard words, phrases and protocols promotes a clear understanding and reduces confusion.

G 2.4.3   Achieving a clear understanding is the goal of spoken safety critical communications. Standardised structures and a professional approach to communications help to achieve this.

Guidance

G 2.4.4   Standard words and phrases can be found in the Rule Book (GERT8000).

G 2.4.5   The OPE TSI, Appendix C, contains rules relating to the use of communications protocols.

G 2.4.6   Further detailed information regarding spoken safety critical communications can be found in RSSB's publication 'Safety Critical Communications: The Manual' (the Communications Manual) including:

   a) Foundation of safety critical communications
   b) Structure and responsibilities
   c) Communications protocols
   d) Confirming understanding.

G 2.4.7   Guiding principles on standardised communications protocols can be found in Appendix *A.3*.

G 2.4.8   The job role with lead responsibility, in a variety of situations, is defined in the Rule Book (GERT8000), module G1.

G 2.4.9   Spoken safety critical communications are most effective when the best communicating position (dry and quiet, if possible) is used. Speaking slowly at a good volume and avoiding ambiguous language, jargon and regional words can help to achieve a clear understanding. All parties in the communication have a personal responsibility to reach a clear understanding and require the confidence to challenge, where necessary.

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G 2.4.10   Using standard phrases is even more important when communicating in an environment with a high level of background noise (for example, trains passing or a locomotive engine running) to aid a clear understanding.

G 2.4.11   It is important to avoid the use of ambiguous terminology that can be misinterpreted.

2.5   Planning spoken safety critical communications monitoring

2.5.1   Transport operators shall have a plan to monitor an appropriate sample of spoken safety critical communications.

Rationale

G 2.5.2   It is good practice to have a formal, auditable plan for spoken safety critical communications monitoring which may include representatives from other organisations whose staff are involved.

G 2.5.3   Having a plan provides transport operators with a structure for carrying out spoken safety critical communications monitoring, against which progress can be measured.

G 2.5.4   A spoken safety critical communications monitoring plan may recognise that some staff, such as newly-appointed staff or those who have been identified as having had a communications related incident, may require more frequent monitoring.

G 2.5.5   The spoken safety critical communications monitoring plan can be used alongside individual competency plans to help with monitoring the performance of individuals engaging in spoken safety communications.

Guidance

G 2.5.6   A spoken safety critical communications monitoring plan is most effective if it includes:

a) A risk-based approach to the selection of conversations to be monitored;
b) Announced and unannounced visits to monitor the use of verbal communications;
c) Real-time voice monitoring (telephone and radio);
d) Analysis of voice recordings (telephone and radio);
e) Joint monitoring with other transport operators;
f) A cross-section of different operational situations when spoken safety critical communications are required to be used;
g) A wide range of locations;
h) A range of job roles;
i) Flexibility to increase monitoring where this is deemed desirable on a risk-based approach; and
j) A defined input into competency management system evidence collecting.

G 2.5.7   Where appropriate, the plan may include other transport operators whose staff are involved in the communications.

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2.6   Undertaking spoken safety critical communications monitoring

2.6.1   Transport operators shall monitor spoken safety critical communications in accordance with the communications monitoring plan.

Rationale

G 2.6.2   Poor spoken safety critical communication is often a precursor to, or cause of, an accident or incident. Identifying such instances and taking appropriate corrective action will improve safety over time.

G 2.6.3   The monitoring of safety critical communications provides a method of identifying errors as well as effective safety critical communication. It can also act as a catalyst to strengthen the level of consistency across safety critical communications.

Guidance

G 2.6.4   Examples of factors that risk-based monitoring may consider are:

a) Operating situations
b) Individuals and locations with a history of poor communications
c) Individuals new to the role.

G 2.6.5   When an assessor carries out personal visits to monitor the use of verbal communication, their presence may affect spoken safety critical communication behaviours so other forms or means of monitoring may also be used to supplement the assessment, to make them as representative as possible.

G 2.6.6   The facility to access voice recordings for the monitoring of communications may be available for Global System for Mobile Communications - Railway (GSM-R) equipment, as well as for fixed telephones, such as signal post telephones (SPT). The facility to monitor voice communications in real time may be available for some communications equipment (such as GSM-R and back-to-back radios).

G 2.6.7   Monitoring can be carried out by individual transport operators, or collaboratively in a communications review group with representatives from the transport operators involved. An example of a form which may be used by a communications review group can be found in Appendix *B.2*.

G 2.6.8   The monitoring form in Appendix *B.2* includes a section for passing a notification to other transport operators whose staff have been identified as exhibiting substandard or notably positive communication behaviour.

G 2.6.9   Communications monitoring records are useful in competence assessments. Transport operators may wish to add these to individuals' competence assessment forms as evidence.

G 2.6.10   A combination of reviews, carried out by different reviewers, is likely to provide a richer source of evidence.

G 2.6.11   It is important that any deviations from identified competence criteria are identified and addressed as soon as possible to reduce the likelihood of safety critical communications errors being perpetuated.

G 2.6.12   New staff may require more frequent monitoring of spoken safety critical communications and additional performance assessments.

G 2.6.13   Methods of assessing competence may include:

a) Critical reviews, such as those carried out by communications review groups
b) Simulation exercises
c) Verbal examination
d) Written examination.

2.7   Communications recording equipment

2.7.1   Transport operators shall compile lists of voice recording equipment and share this information with each other to facilitate monitoring.

Rationale

G 2.7.2   Knowing the details of voice recording equipment, and the transport operator responsible for that equipment, makes it easier for transport operators to request access to the appropriate voice recording when required in line with The General Data Protection Regulation (GDPR).

Guidance

G 2.7.3   Details of voice recording equipment facilities, compiled by transport operators and shared, is useful in facilitating joint monitoring.

G 2.7.4   Lists which are systematically kept up to date, for example when re-signalling schemes take place, can make the process of obtaining voice recordings more efficient.

2.8   Providing access to voice recordings

2.8.1   Transport operators shall make access to recordings of spoken safety critical communications between their respective employees available to nominated representatives of other transport operators upon request.

Rationale

G 2.8.2   To enable transport operators to monitor and assess the effectiveness of spoken safety critical communications as a risk control measure it is necessary for transport operators to cooperate in providing access to recordings of spoken safety critical communications.

G 2.8.3   The higher the quality of spoken safety critical communications, the greater the effectiveness as a control measure in the running of a safe railway.

Guidance

G 2.8.4   Transport operators may wish to nominate one or more individuals in their organisation as a points of contact in respect of voice recordings.

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G 2.8.5 Infrastructure managers, whose voice recordings are stored on servers, may be able to grant remote access to enable other transport operators to access voice recordings as required.

G 2.8.6 GSM-R monitoring equipment may be used by transport operators to access the system remotely for monitoring purposes.

G 2.8.7 A collaborative approach to spoken safety critical communications monitoring can help improve the standard of spoken safety critical communications.

G 2.8.8 The GDPR places a responsibility on organisations collecting and handling personal data. This regulation has an impact on the process of monitoring safety critical communications, for example in respect of data collection and storage.

2.9 Identifying and addressing actions from spoken safety critical communications monitoring

2.9.1 Transport operators shall identify actions arising from spoken safety critical communications monitoring and address these accordingly.

Rationale

G 2.9.2 Continuous improvement of safety is an aim of every transport operator's safety management system. Identifying issues in the quality of spoken safety critical communications and making improvements is part of this.

G 2.9.3 Poor quality spoken safety critial communication is often a precursor to an accident or incident. Identifying such instances and taking appropriate corrective action will improve safety over time.

G 2.9.4 The outputs from the monitoring of spoken safety critical communications can be useful in addressing shortcomings and in training spoken safety critical communications skills and techniques, thus improving the quality of such communications over time.

Guidance

G 2.9.5 Transport operators work together in structured communications review groups to:

a) Monitor the general quality of spoken safety critical communications in voice recordings;
b) Identify and share good practice;
c) Identify areas for improvement;
d) Set targets for the improvement of spoken safety critical communications; and
e) Review overall trends and progress against targets.

G 2.9.6 Possible trends that could be analysed include:

a) Types of spoken safety critical communications failures, for example communicating an incomplete message, or the root cause of the failures;
b) Occupation, experience and grade of staff involved;
c) Environmental factors associated with communications; and
d) Technology in use at the time of the communication failure.

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G 2.9.7   Evidence-based feedback, when given to the individuals whose spoken safety critical communications have been monitored, provides a good method of recognising effective spoken safety critical communications and highlighting ineffective spoken safety critical communications. The Communications Manual gives guidance on good practice against which monitored spoken safety critical communications may be measured and feedback provided.

G 2.9.8   In cases where spoken safety critical communications protocols have not been followed (for example, failure to use the phonetic alphabet or a failure to reach a clear understanding) a development plan for the individual is one method of addressing the issues identified. This development plan can be agreed between the individual and the nominated manager and be included as part of the individual's competency record. Corrective actions may include:

a) Additional training and briefing;
b) Additional monitoring and assessment;
c) Use of a simulator as part of a training or assessment development plan;
d) Coaching or mentoring in the workplace; and
e) Development and use of job aids to remind the individual how to communicate clearly.

G 2.9.9   It is good practice to give feedback on good spoken safety critical communications, rather than solely on poor spoken safety critical communications. Examples of good and poor spoken safety critical communications can be useful in the training environment.

G 2.9.10   Reports summarising the outcome of structured communications reviews are produced by the communications review groups and shared between infrastructure managers and railway undertakings for mutual benefit.

G 2.9.11   If, during monitoring of voice recordings where safety messages are being exchanged, substandard communication behaviour by an employee of another infrastructure manager or railway undertaking is noted, the transport operator concerned should be advised.

2.10   Use of spoken safety critical communications recordings in investigations

2.10.1   Transport operators shall capture and preserve voice recordings where these may assist in the investigation process following an adverse event and provide these to the lead investigating body on request.

Rationale

G 2.10.2   Voice recordings form an important part of the evidence gathering process in an investigation.

G 2.10.3   Voice recordings are likely to be overwritten so they need to be secured, usually by downloading them, to prevent them from being lost.

G 2.10.4   Transport operators are legally required to investigate accidents and incidents, and ROGS regulations place a duty of cooperation on transport operators in doing so.

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Guidance

G 2.10.5   Transport operators can define and document the circumstances under which a voice recording is to be withdrawn for the purposes of identification, collection and preservation of information, and obtaining evidence to assist them in an investigation.

G 2.10.6   Where voice recording equipment is installed in signal boxes and control offices, transport operators can arrange that:

a)   Nominated managers competent in the use of the recording equipment are identified to withdraw voice recording evidence;

b)   The person who withdraws or downloads the voice recordings has not been involved, either directly or indirectly, with the event being investigated; and

c)   Once withdrawn, voice recordings are kept in a secure location until required by the industry lead investigator, the Rail Accident Investigation Branch or another authorised agency.

G 2.10.7   The lead investigator is the person who is generally responsible for collecting evidence to inform the investigation process.

G 2.10.8   The person appointed to conduct a review of the voice recording withdrawn for an investigation will be competent to do so and will not be involved in the alleged incident in any way.

G 2.10.9   The voice recording media used in the investigation of an accident or incident can be retained with the investigation report to supplement any records relevant to the event.

G 2.10.10   RIS-3119-TOM sets out requirements and guidance for the investigation of accidents and incidents. Part of this process includes the collection and analysis of evidence, such as voice recordings.

G 2.10.11   The GDPR places a responsibility on organisations collecting and handling personal data. This regulation has an impact on the process of monitoring safety critical communications, for example in respect of data collection and storage.

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Appendices

Appendix A   Guiding principles for effective spoken safety critical communication

A.1   Foundations of spoken safety critical communications

A.1.1   It is important that railway staff recognise when they are involved in a spoken safety critical communication. The ORR document RSP4 'Safety Critical Tasks - Clarification of ROGS Regulations Requirements' provides an illustrative list of tasks regarded as safety critical.

A.1.2   Every operational conversation relating to train movement, signals, track, stations or infrastructure involves the agreement of a verbal contract.

A.1.3   As professionals, we all take responsibility for spoken safety critical communications.

A.1.4   Everyone takes sufficient time to communicate well, no matter what the situation.

A.2   Guiding principle - structure and responsibility

A.2.1   A spoken safety critical communication has four sections:

a) Opening - This is when the participants establish each other's identity and location. The person answering the call identifies themselves with their job role (using the train reporting number, if appropriate) and location. The aim of this section of the conversation is for the participants to ascertain to whom they are speaking, and to establish that this is the correct person at the correct location.

b) Information - This is when the participants exchange information regarding the context of the conversation, such as the prevailing situation and the problem which needs to be addressed. The aim of this section of the conversation is to establish a clear understanding between the participants as to what has happened or is happening.

c) Actions - This is when the participants exchange information as to what action needs to be taken, on account of the circumstances identified in the previous section. The aim of this section of the conversation is for instructions to be passed from one participant to the other. They can be passed in one or both directions.

d) Confirmation - This is when the participants confirm that they have understood the situation and what actions they are required to take. The aim of this section of the conversation is to ensure that a clear understanding has been reached between the participants.

A.2.2   The person with Lead Responsibility manages the communication and ensures that a clear understanding is reached. Details of who is in the lead during a conversation can be found in the Rule Book (GERT8000).

A.2.3   It is important to support the person with lead responsibility and to assist if necessary, challenging them if appropriate, to reach a clear understanding.

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A.3 **Guiding principle - spoken safety critical communication protocols**

a) Spoken safety critical communications are ABC-P: accurate, brief, clear, and professional
b) Use the phonetic alphabet as required
c) Use single numbers (zero, one, two and so on) as required
d) Use the 24-hour clock to say time
e) Use the standard words and phrases
f) Learn and practice how to make an Emergency Call.

A.4 **Guiding principle - spoken safety critical communications are formal conversations which confirm understanding**

a) To overcome communication barriers:

    i) Use the safest communicating position (dry and quiet, if possible);
    ii) Speak slightly slower at a good volume;
    iii) Avoid ambiguous language and regional words: keep jargon to a minimum;
    iv) Use the protocols and structure your conversation; and
    v) Confirm understanding – repeat back.

b) Avoid monotonous and unnecessary repeat-back of information: think about what you are saying and what it means
c) Avoid interrupting and use active listening to help reach a clear understanding
d) Develop a professional working relationship with colleagues
e) Be assertive not passive or aggressive
f) Be prepared to challenge incorrect or incomplete information
g) Consider others – especially colleagues working under pressure.

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Appendix B   Spoken safety communications monitoring form

B.1   Completing the monitoring form

B.1.1   This appendix provides an example of how assessments of spoken safety communications may be carried out. The form provides a suggested format for the scoring methodology and assessment. This form may be used to assess an individual's performance over one or more conversations, or to assess both participants' performances jointly.

B.1.2   Space is provided to record the results from monitoring three conversations. A judgement about whether this is sufficient to identify whether the standards are being applied consistently across all the categories will need to be made, depending on the outcome from these conversations. Additional forms may be used either to obtain further evidence of consistency, or to identify where a particular individual or category requires development.

B.1.3   The answers to the questions on the form provide the assessor with evidence to summarise the communication against the following criteria.

	Criteria	Suggested action
Good quality communications	All the communications protocols have been followed. The communication was concise and polite. A clear understanding was achieved.	It is recommended that, if the individual meets these criteria, they are given positive feedback regarding this assessment.
Satisfactory, but some development required	Some of the communications protocols have been followed. There was potential for improvements in the communication to enhance the clarity of the message.	The local manager should, as a minimum, give feedback to the individual and include this as part of the ongoing competency assessment process. In the case of a significant shortfall in communications, the manager should consider initiating a development plan within an appropriate timescale.

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	Criteria	Suggested action
Unsatisfactory communications	There was a high likelihood that a misunderstanding could have occurred.	The local manager should consider whether immediate action needs to be implemented in respect of the individual concerned to re-establish competency in safety critical communication.

Table 1: Criteria for assessment of communications

B.2   **Example of monitoring form**

Name of assessor(s):	
Designation of assessor(s):	
Name of individual(s) being assessed:	
Role(s) of individual(s) being assessed:	
Date of assessment:	

Table 2: Monitoring form - summary information 1

Conversation 1	Participant 1 (Lead)	Participant 2
Name:		
Job role:		
Location:		
Employer:		
Date and time:	Method of communication:	
	Reason for conversation:	
Conversation 2	Participant 1 (Lead)	Participant 2
Name:		

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Job role:		
Location:		
Employer:		
Date and time:	Method of communication:	
	Reason for conversation:	
Conversation 3	Participant 1 (Lead)	Participant 2
Name:		
Job role:		
Location:		
Employer:		
Date and time:	Method of communication:	
	Reason for conversation:	

Table 3: Monitoring form - summary information 2

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Conversation	1		2		3		
Participant	1	2	1	2	1	2	Notes
1 - Opening - Identifying the parties involved							
Did each person identify themselves, giving their, name, role, employer and location (as appropriate)?							
Did the individual repeat back to confirm that they were speaking to the correct person and that they understood where the other person was?							
Did the individual prompt the other person if they did not identify who they were and where they were?							
Emergency calls only. Was the conversation started with the words 'This is an emergency call'?							
2 - Information - Providing information about the situation							
Did the individual identify the purpose of the communication (for example, taking a line blockage, reporting an incident)?							
Did the individual include key information, as defined in the Rule Book and from knowledge of the situation?							
Did the individual deliver the message concisely without any superfluous chat?							

Conversation	1		2		3		
Participant	1	2	1	2	1	2	Notes
Did the individual deliver all the relevant information accurately?							
Did the individual ask questions to make sure they have key information correct as they go through the communication?							
Did the individual repeat back critical details and / or correct any errors (where these were noted)?							
Was the information communicated in a logical structure?							
3 - Actions - Agreeing the actions to be taken							
Were the instructions regarding subsequent actions to be taken given clearly and unambiguously?							
Did the person actively listen to the instructions being given regarding actions to be taken (for example, acknowledging each step and allowing instructions to be completed before going to the next)?							
Did the individual confirm their understanding of the actions that they were required to take by repeating back?							
Did the individual challenge the other party if they did not repeat back the actions that they were required to take?							

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Conversation	1		2		3		
Participant	1	2	1	2	1	2	Notes
4 - Confirmation - Confirming agreement							
Did the person actively listen to the confirmation of information and actions (for example, allowing each step to be completed before carrying on to the next)?							
Did they ask questions to check that they had understood all relevant information?							
Did they repeat back a summary of actions and / or correct any errors?							
Did they challenge the other party if they did not repeat back details about the subsequent actions?							
Did the individual make sure that contact details are exchanged (if appropriate)?							
5 - Overall content of communication and use of protocols							
Did the communication have a logical structure?							
Was appropriate use made of the phonetic alphabet (for example train reporting number, signal numbers, difficult words)?							
Were numbers stated singularly as appropriate?							
Were standard terms and phrases used correctly?							
Were times stated using the 24 hr clock format?							

Conversation	1		2		3		
Participant	1	2	1	2	1	2	**Notes**
Was slang and local terminology avoided?							
Were the participants professional and polite throughout?							
Were the participants appropriately assertive or challenging when necessary?							
Did the participants speak clearly and at an appropriate pace and volume?							

Table 4: Communications monitoring form

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Definitions

infrastructure manager (IM)	Any 'body' or firm responsible in particular for establishing, managing and maintaining railway infrastructure, including traffic management and control-command and signalling; the functions of the infrastructure manager on a network or part of a network may be allocated to different bodies or firms. Source: *Article 3(2) of Directive 2012/34/EU.*
lead responsibility	The person who, during a spoken safety critical communication, is responsible for ensuring that a clear understanding is reached between the parties communicating.
nominated manager	The manager responsible for monitoring the quality of spoken safety communications for designated safety critical staff. This may be a line manager or dedicated competence assessor, who should be familiar with the activities for which recorded conversations are being monitored, and qualified in competence assessment.
operating language	The language or languages used in daily operation of an infrastructure manager and published in their Network Statement, for the communication of operational or safety-related messages between the staff of the infrastructure manager and the railway undertaking. *Source: Appendix J of Directive 2015/995/EU*
operational	Anything relating to train movement, signals, track, stations or infrastructure.
railway undertaking (RU)	Any private or public undertaking licensed according to Directive 2012/34/EU, the principal business of which is to provide rail transport services for goods and/or passengers, with a requirement that the undertaking must ensure traction; this also includes undertakings which provide traction only. *Source: Article 3(1) of Directive 2012/34/EU*
safety critical task	As defined in *ROGS (2006) Regulation 23*.
safety critical work	As defined in *ROGS (2006) Regulation 23*.
spoken safety critical communication	Any operational communication between staff relating to train movements, signalling or infrastructure.
transport operator	Any railway undertaking or infrastructure manager.

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References

The Standards catalogue gives the current issue number and status of documents published by RSSB: http://www.rssb.co.uk/railway-group-standards.

RGSC 01	Railway Group Standards Code
RGSC 02	Standards Manual

Documents referenced in the text

RSSB documents

GERT8000	The Rule Book
GERT8000-G1	General safety responsibilities and personal track safety for non-track workers
RIS-3119-TOM	Accident and Incident Investigation
RS100	Good Practice Guide on Competence Development
T1078	Developing a safety critical communications training programme
T1078	Safety Critical Communications: The Manual

Other references

GDPR	The General Data Protection Regulation (EU) 2016/679
OPE TSI	Operation and Traffic Management Technical Specification for Interoperability (Commission Regulation (EU) 2015/995)
ROGS 2006	Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended)
RSD 2004	Railway Safety Directive 2004/49/EC
RSP1	Developing and maintaining staff competence
RSP4	Safety critical tasks - clarification of ROGS regulations requirements
TDLCR	The Train Driving Licences and Certificates Regulations 2010