

Rail Training Accreditation Scheme

Rail Training Accreditation Scheme (RTAS) Rules

Purpose and Scope.....	1
1. <u>The RTAS Rules</u>	2
2. <u>Roles and Responsibilities</u>	4
3. <u>Management System Requirements</u>	7
4. <u>Breaches of the RTAS Rules</u>	12
5. <u>Investigating breaches of the RTAS Rules</u>	13
6. <u>Scheme Assurance Arrangements</u>	19
Definitions.....	21

These are referenced throughout the document and identified by a Underline

Purpose and Scope

The purpose of this document is to define the rules and compulsory mechanisms for compliance that make up the Rail Training Accreditation Scheme (RTAS), together with the consequences of breaching those rules. This document is not designed to detail the core processes associated with the administration of the scheme.

The Rail Training Accreditation Scheme (RTAS) Rules, are only associated with the delivery of rail training and associated competence interventions.

The rules outlined in this scheme are mandatory, for all parties involved in the process. The process for investigating suspected breaches of the RTAS Rules and the range of possible outcomes, for such breaches if proven are also included.

The scope of this document outlines the requirements, for those providing training and assessment services (as defined in 'Sentinel-RTAS Competence List.xls' owned and managed by Network Rail) to companies and individuals, who conduct work on the Network Rail Managed Infrastructure (NRMI).

This document does not cover the rules associated with organisations undertaking the role of Sponsor. All activities and roles associated with the role of Sponsor are detailed within the Sentinel Scheme Rules. This document also does not cover the rules associated with medical and drugs and alcohol (D&A) providers.

Rail Training Accreditation Scheme

I. RTAS Scheme Rules

- I.1 All individuals who conduct training or assessments must have a Training Provider as their Primary Sponsor.
- I.2 All Training Providers, who train or assess personnel working or intending to work on the Network Rail Managed Infrastructure, must be accredited and must continue to maintain approval through the assurance arrangements of the scheme.
- I.3 A Training Provider cannot sponsor a Sentinel Scheme Rules Individual purely for the purposes of training; they must also be putting them to work.
- I.4 All Training Providers, as Sponsors, shall adhere to the Sentinel Scheme Rules.
- I.5 All Trainers and Assessors as individual members of the Sentinel Scheme shall adhere to the Sentinel Scheme Rules.
- I.6 Training Providers shall freely share information on individuals, relating to a safety issue or breach of the RTAS Rules with the Sentinel Scheme Administrator, Accreditation Organisation and Network Rail Training Assurance Team.
- I.7 All individuals are accountable for ensuring that accurate personal information is provided to the Training Provider they work for and that the information remains accurate and up to date.
- I.8 Alleged breaches of the RTAS Rules will be investigated by the Training Provider carrying out training and/or assessment in the first instance.

Where the breach is identified as part of a wider incident investigation, the Training Provider will be informed and must then conduct a Training Provider Local Investigation for each individual to which the allegations relate.

- I.9 If the recommended outcome of a Training Provider Local Investigation is a RTAS Scheme Outcome the Accreditation Organisation should be informed of the action implemented so that they can update the Sentinel database accordingly.
- I.10 If the breach is identified by the Training Provider as a Multiple Occurrence / Deliberate breach and the action taken by the Training Provider is different to the RTAS Scheme Outcome, the Training Provider shall notify the Accreditation Organisation who will refer the matter to the Network Rail Training Assurance Team for a Formal Review.
- I.11 If the recommended outcome of a Training Provider Local Investigation is a Training Provider Outcome the Training Provider will take the appropriate action and notify the Accreditation Organisation so that their record can be updated.

Rail Training Accreditation Scheme

- I.12 Training Providers can not de-sponsor an individual for a breach of the RTAS Rules without first conducting a Training Provider Local Investigation.
- I.13 Training Providers must always notify the individual, and the Accreditation Organisation of the reasons for de-sponsoring an individual.
- I.14 Network Rail will conduct Formal Review Appeal Hearings resulting from a RTAS Scheme Outcome. The panel conducting the Formal Review Appeal Hearing will be independent from the Formal Review panel.

Formal Review Appeal Hearings can only be brought where there is new evidence or mitigating circumstances that were not presented at the Formal Review.

- I.15 Where a breach of the RTAS Rules by a Training Provider is alleged or suspected, the Network Rail Training Assurance Team will conduct a Formal Training Review into the matter and determine an appropriate outcome.
- I.16 Where a company director or senior manager (or any other position that is not accredited e.g. Training Manager) has breached the RTAS Rules proven by investigation to have been the governing mind behind decisions related to the breach, the Accreditation Organisation and Network Rail Training Assurance Team will determine the appropriate outcome and action.

Rail Training Accreditation Scheme

2. Roles and Responsibilities

2.1 The Accreditation Organisation

The role of the Accreditation Organisation is to deliver Rail Training Accreditation Scheme (RTAS) on behalf of Network Rail. They are responsible for ensuring, that Training Providers and Individual Trainers/Assessors accredited under RTAS Rules meet the specific requirements of Network Rail.

2.2 Accredited Training and Assessment Organisation (Training Provider)

The Accredited Training and Assessment Organisations that provide training and assessment for the competences covered by the Scheme shall:

- a) Maintain appropriate management systems which demonstrate compliance to these RTAS Rules and as outlined in Section 3 Management Systems Requirements
- b) Comply with Network Rail Company policy and standards in particular NR/L2/CTM/202, Quality Assurance in Training and Assessment
- c) Have processes in place to keep current with changes to Network Rail Company Standards
- d) Brief all training and assessment staff on these RTAS Rules
- e) Only allow trainers and/or assessors to use the current Network Rail approved training and assessment materials for the competences covered by the Scheme
- f) Provide trainers and/or assessors with access to the Network Rail competence standards for the competences for which they train and/or assess
- g) Put in place and manage a process to check that where individuals require Sentinel Smart Cards they are current and in date
- h) Only allow the delivery of training and/or assessments for which the organisation is accredited
- i) Only allow training and/or assessment events to be delivered by suitably accredited trainers and/or assessors
- j) Have processes in place to manage and administrate that the trainer has been observed delivering training as part of their monitoring by their line manager or responsible person
- k) Only allow training, assessment and workplace competence assessment events to take place in a safe environment
- l) Produce the necessary risk assessments and method statements to enable training, assessment and workplace assessments to be carried out in accordance with the Rule Book, relevant Network Rail and Railway Group Standards. Any documents produced such as a Safe System Of Work Pack must be retained with the relevant Training and Assessment records
- m) Retain all training and assessment records for a period of at least 7 years and be able to provide them upon request for audit and/or investigation purposes
- n) Notify the Accreditation Organisation when a trainer and/or assessor leaves their contract of sponsorship

Rail Training Accreditation Scheme

- o) Notify the Accreditation Organisation who will refer the matter to Network Rail Training Assurance Team when a Training Provider Local Investigation recommends a RTAS Scheme Outcome when the action is identified by the Training Provider as a Multiple Occurrence / Deliberate breach and the action taken by the Training Provider is different
- p) Notify the Accreditation Organisation when a Training Provider Local Investigation recommends a RTAS Scheme Outcome action

2.3 Accredited Trainers (Individual)

The Accredited Trainers of competences covered by the Scheme shall:

- a) Comply with Network Rail Company policy and standards in particular NR/L2/CTM/202, Quality Assurance in Training and Assessment
- b) Maintain a thorough understanding of the contents of the competence standards for the competences covered by the Scheme for which they provide training
- c) Only use current Network Rail approved training materials for the competences covered by the Scheme
- d) Only provide training in accordance with the approved Network Rail training materials and the training organisations management system
- e) Complete all training documentation required and submit it in accordance with the training organisations management system
- f) Maintain an in-date Sentinel Smart Card covering the competences for which they provide training and if these include Track Safety competences, maintain a minimum of Personal Track Safety (PTS) and Controller of Site Safety (COSS)
- g) Undertake and pass the trainer exams annually to continue accreditation
- h) When on or about the infrastructure act in a safe manner at all times

2.4 Accredited Assessors (Individual)

The Assessors of competences covered by the Scheme shall:

- a) Comply with Network Rail Company policy and standards in particular NR/L2/CTM/202, Quality Assurance in Training and Assessment
- b) Maintain a thorough understanding of the contents of the competence standards for the competences covered by the Scheme for which they provide assessment
- c) Only use current Network Rail approved assessment materials for the competences covered by the Scheme
- d) Only conduct assessments in accordance with the Network Rail approved assessment materials and the Assessment organisations management system

Rail Training Accreditation Scheme

- e) Complete all assessment documentation required and submit it in accordance with the Assessment Organisations management system
- f) Maintain an in-date Sentinel Smart Card covering the competences for which they provide assessment and if these include Track Safety competences, maintain a minimum of Personal Track Safety (PTS) and Controller of Site Safety (COSS)
- g) When on or about the infrastructure act in a safe manner at all times

2.5 Network Rail

Following notification by the Accreditation Organisation that a Training Providers Local Investigation into a breach of the RTAS Rules has recommended a RTAS Scheme Outcome when the action is identified by the Training Provider as a Multiple Occurrence / Deliberate breach and the action taken by the Training Provider is different, the Network Rail Training Assurance Team will conduct a Formal Review to determine if the recommended RTAS Scheme Outcome should apply.

An individual who is alleged to have breached the RTAS Rules will, save for exceptional circumstances, be given the opportunity to submit a written statement for consideration as part of the Formal Review.

The Accreditation Organisation, on behalf of Network Rail can impose a temporary Suspension on an individual where appropriate following notification of an alleged breach of the RTAS Rules and pending the conclusion of a Training Provider Local Investigation, Formal Training Review, British Transport Police Investigation or other investigation. Such Suspensions, if imposed will be regularly reviewed by the Accreditation Organisation on behalf of Network Rail.

The Network Rail Training Assurance Team may instigate a Formal Training Review if a Training Provider Local Investigation fails to adequately investigate an alleged breach of the RTAS Rules.

The Accreditation Organisation, on behalf of Network Rail may suspend a Training Provider pending the outcome of a Formal Training Review, British Transport Police investigation or other investigation.

Requests for appeals must be submitted to the Accreditation Organisation within 30 days of the conclusion of the Formal Review together with the new information or mitigating circumstances. The Accreditation Organisation will refer the matter to the Network Rail Training Assurance Team as part of a request for a Formal Review Appeal Hearing.

At the discretion of Network Rail the Formal Review, Formal Training Review and the Formal Review Appeal may include the Accreditation Organisation.

Rail Training Accreditation Scheme

3. Management System Requirements

3.1 Accreditation Process

The accreditation of Training and/or Assessment Organisations and Trainers and/or Assessors covered by this Scheme shall be in accordance with the RTAS Rules and the requirements of the Accreditation Organisation.

3.1.1 Scope of the Accreditation

The accreditation awarded to a Training and/or Assessment Organisation and Trainers and/or Assessors specifies the scope of competences that the Organisation, Trainer or Assessor may deliver training and/or assessment in.

3.1.2 Competence of Accredited Trainers and/or Assessors

Accredited Trainers and/or Assessors shall be competent in the subjects (competences) in which they train and/or assess. Competence certification shall be obtained by means of initial training in the competence and maintained by subsequent participation in the competence maintenance process.

3.1.3 Initial Accreditation of Trainers

Trainers applying to join the Scheme shall comply with the process set down by the Accreditation Organisation. If considered suitable by the Accreditation Organisation they shall be awarded a provisional accreditation.

The Accredited Training Organisation shall appoint a suitably qualified mentor to support the provisional trainer in a programme of mentored development. The provisional Trainer shall be briefed by the mentor on the content and delivery of the course that they are to deliver. The provisional Trainer shall be mentored through the delivery of a series of courses (a minimum of two courses over a maximum period of 6 months) until the Accredited Training Organisation is satisfied that they are competent to deliver the course. The Accredited Training Organisation shall then submit evidence to the Accreditation Organisation of the satisfactory completion of the programme of mentored development by the provisional Trainer to initiate the approval of full accreditation.

3.1.4 Extension of the scope of the Accreditation for a Trainer

Accredited Trainers wishing to add additional training capabilities shall follow the process in clause 3.1.3 and undergo a similar period of mentored development for the additional training capability. Accreditation shall be awarded by the Accreditation Organisation upon receipt of evidence of satisfactory completion of the programme of mentored development.

3.1.5 Initial Accreditation of Assessors

Assessors applying to join the Scheme shall comply with the process set down by the Accreditation Organisation. If considered suitable by the Accreditation Organisation they shall be awarded a provisional accreditation.

Assessors shall be awarded accreditation by the Accreditation Organisation when the Accredited Assessment Organisation has provided fully verified copies of two assessments undertaken by the Assessor for each skill area. The maximum time allowed for this action is 6 months.

Rail Training Accreditation Scheme

3.1.6 Extension of the scope of the Accreditation for an Assessor

Accredited Assessors wishing to add additional assessment capabilities shall follow the process in clause 3.1.5 and undergo a similar period of mentored development for the additional assessment capability. Accreditation shall be awarded by the Accreditation Organisation upon receipt of evidence of satisfactory completion of the programme of mentored development.

3.1.7 Extension to the scope of the Accreditation for a Training and/or Assessment Organisation

Accredited Training Organisations wishing to conduct training events in a competence not included in the scope of their accreditation shall:

- Install the equipment to comply with the requirements of the Network Rail training materials and Network Rail Standards (where appropriate)
- Appoint an Accredited Trainer for that competence
- Complete the application for the competence which is submitted to the Accreditation Organisation

Accredited Assessment Organisations wishing to conduct assessment events in a competence not included in the scope of their accreditation shall:

- Appoint an Accredited Assessor for that competence
- Complete the application for the competence which is submitted to the Accreditation Organisation

The information contained in the application will initially be examined by the Accreditation Organisation against a set criterion which includes the facilities required to train that competence and qualifications of the trainer and/or assessor plus their rail industry vocational experience. The proposed Training and/or Assessment Organisation and the trainer and/or assessor shall also have had relevant experience specified within NR/L2/CTM/202, Quality Assurance in Training and Assessment.

3.2 Provision of Training and Assessment Materials

Training and assessment materials shall only be provided on receipt of payment of the fees due by the Accredited Training and Assessment organisations to Network Rail via the authorised administrator. Accredited Training and Assessment organisations shall only use training and assessment materials for competences covered by this Scheme that have been approved and issued by Network Rail.

3.3 Accredited Training and Assessment shall only be provided to those who:

- a) Have been nominated in writing to attend a Sentinel training course or assessment by a Sponsor who holds a valid Link Up Site ID Number
- b) Hold the pre-requisite event requirements, as a minimum Sponsorship, Photograph, Medical and Drug & Alcohol on the Sentinel Scheme Database
- c) For defined competences, are able to read and speak English at the start of the training course and demonstrate their ability to communicate effectively during the course

Rail Training Accreditation Scheme

- d) For defined competences, meet any specified pre-requisites, and provide supporting evidence if specified in the Network Rail competence standard for the competence concerned

3.4 Accredited Training and Assessment records

3.4.1 Accredited Training and/or Assessment Organisations shall keep the following minimum records for Training and Assessment events:

- a) The booking form for the delegate / candidate completed by a valid Sponsor
- b) Documented evidence that the Joining instructions have been issued to the Sponsor
- c) Proof that the Sentinel Scheme Database is checked in advance of the acceptance of delegates to confirm compliance with the pre-requisites and assessment requirements for the competence to be trained
- d) Proof that the Sentinel Scheme Database is checked in advance of the acceptance of candidates to confirm compliance with the assessment requirements for the competence to be assessed
- e) Proof of the identity of delegates / candidate attending the event has been checked:
 - A copy of the acceptable forms of identification produced shall be taken when the delegate / candidate Sentinel Smart Card is not utilised to verify their identity
- f) Proof the delegate understood the training given and communicated to the required standard in the English language
- g) The course register for each course
- h) Records which confirm the trainer records the start and finish time of each day of the course using the course progress documents and produces a written record of the reason for any significant variation in time
 - If the event has been delivered over a shorter than mandated duration that approval for this was sought and recorded, name, date of approver
- i) Record of the delegate result pass or fail
- j) Record of the candidate result competent, not yet competent or not competent
- k) Training material for the event completed by the trainer / delegate
- l) Assessment material for the event completed by the assessor / candidate
- m) The pass and fail rates for each course
- n) A trackside event supporting evidence for example (not exhaustive) PTS initial track visit Safe System Of Work Pack and Method Statement, Machine / Crane Controller Method Statement, Checklist, Lifting plan & records of procurement / invoice
- o) A record of delegate / candidate feedback for the event
- p) A record of the notification of the delegate / candidate results for the event

Rail Training Accreditation Scheme

3.4.2 Accredited Training and/or Assessment Organisations shall keep the following minimum records for those attending Training and Assessment events:

- a) Name
- b) The method of verification for proof of identity
- c) Sentinel Smart Card number
- d) The delegates / candidates result
- e) Sponsor details
- f) Proof that they attended all the days of the event

3.5 Notification of Training and Assessment

Every Accredited Training and/or Assessment Organisation shall nominate a person within their organisation to update the Sentinel database of any training and/or assessment event that has taken place; significant impact on operational work may be experienced if this process is not timely. Where an individual fails to demonstrate competence, this must be updated as soon as possible after the completion of the event and not later than the next working day after that event.

Before updating the Sentinel database the nominated person shall check that the Trainer and/or Assessor have collected all the required documentation and other supporting evidence required by section 3.4.1.

3.6 Certification for competencies covered by the Scheme shall normally be in the form of a Sentinel Smart Card.

3.7 In the event of a Training and Assessment Organisation ceasing trading or their accreditation being removed, the records of their previous training and assessment events carried out under this Scheme shall transfer to Network Rail and be kept in accordance with records keeping protocols.

3.8 Management of suspected breaches of the RTAS Rules

Training Providers shall have a process in place to identify and report any alleged breaches of the RTAS Rules.

Where the Individual is working on behalf of the Training Provider at the time of an alleged breach of the RTAS Rules, the Training Provider will conduct a Local Investigation (see Section 3.9).

Training Providers shall have processes in place for reviewing alleged breaches of the RTAS Rules by Individuals working on their behalf. These can be received from various sources including Sponsors, clients, whistle-blowers, the Sentinel Scheme Administrators, the Accreditation Organisation or Network Rail.

Rail Training Accreditation Scheme

This review should decide whether a temporary Suspension is required due to the severity of the allegation whilst a Local Investigation is taking place. Where a temporary Suspension is deemed appropriate, the Training Provider should request a 'temporary Suspension of the individual's ability to train or assess' from the Accreditation Organisation.

3.9 Local Investigation

Training Providers shall have an investigation process in place that will enable the investigation of any alleged breach of the RTAS Rules for any Individual working on their behalf.

The Investigation process must be suitably independent, so as to be able to review system and management decision failures that may be relevant to the alleged breach. The process will ensure that all alleged breaches of the RTAS Rules, as outlined in section 4 of this document will be subject to a Local Investigation.

The Local Investigation process shall identify the minimum competence of any representative of the Training Provider nominated to undertake Local Investigations. The minimum content of a documented Local Investigation report will be determined within the management system process.

The Training Provider's Local Investigation process will be compliant with the investigatory process outlined in Section 5 of the RTAS Rules.

Rail Training Accreditation Scheme

4. Breaches of the RTAS Rules

Breaches of the RTAS Rules by either an individual or a Training Provider include (but are not limited to) the following:

- 4.1 Any breach in the Sentinel Scheme Rules by an Individual or Organisation
- 4.2 Any breach in the RTAS Rules by an Individual or Organisation
- 4.3 Any action of theft, attempted theft, fraud, or falsification of documentation or records
- 4.4 Any breach of the Drugs and Alcohol policy, including reporting or endeavouring to report to site under the influence of drugs or alcohol or being in possession of illegal drugs on site, either for sale or personal use
- 4.5 Any breach in working hours, including reporting or endeavouring to report for a shift of work, having previously undertaken a shift on NRMI within the last 12 hours (known as double-shifting)
- 4.6 Any event of presenting a falsified or altered Sentinel Smart Card, or claiming a false identify for the purposes of trying to gain entry onto NRMI
- 4.7 The infringement of any health and safety rules
- 4.8 Any event of negligence which causes, or has the potential to cause unacceptable loss, damage or injury
- 4.9 Any event of physical violence while at work
- 4.10 Any event of deliberate damage to NRMI property
- 4.11 Any event of bullying, harassment or discrimination
- 4.12 Any breach of confidence
- 4.13 Any breach in the NR/L2/CTM/202, Quality Assurance in Training and Assessment standard by an Individual or Organisation
- 4.14 Any other event that brings the RTAS Scheme into disrepute
- 4.15 Any action of false notification of a training and/or assessment event
- 4.16 Any action of failure to adequately monitor trainers/assessors
- 4.17 Any action of failure to investigate an alleged breach of the RTAS Rules by a trainer or assessor by a Training Provider they currently sponsor or sponsored at the time of the alleged breach (This also applies where investigations are undertaken, but are deemed inadequate at Formal Review)
- 4.18 Any allegation of a breach of the RTAS Rules which is found to be false and is proven to have been made with malicious intent

Rail Training Accreditation Scheme

5. Investigating breaches of the RTAS Rules

5.1 Reporting an alleged breach of the RTAS Rules

Where an Individual observes any alleged breach of the RTAS Rules they shall report this event either to their Training Provider, the Accreditation Organisation or anonymously to Network Rail through the Whistle-blowing process.

Where Network Rail receives notification of an alleged breach of the RTAS Rules by an Individual, Network Rail will contact the Accreditation Organisation and ask them to make contact with the Training Provider in the first instance and request they conduct a Local Investigation.

Where Network Rail or the Accreditation Organisation receives notification of an allegation that a Training Provider is in breach of the RTAS Rules, a Formal Training Review into the Training Provider in accordance with Section 5.5 of this document will be instigated.

5.2 Local Investigations by a Training Provider

Whatever the source of the alleged breach of the RTAS Rules, the Training Provider will commence a Local Investigation in accordance with their management system processes.

The Local Investigation will be suitably independent to ensure that it also considers potential system and management failures as part of the Local Investigation report.

Following completion of the Local Investigation, the Training Provider will take any action involving the individual and any other parties found to be involved. Where these actions involved a RTAS Scheme Outcome and the action is identified by the Training Provider as a Multiple Occurrence / Deliberate breach and the action taken by the Training Provider is different then the Accreditation Organisation will be notified who will refer the matter to the Network Rail Assurance Team so that a Formal Review can take place.

Action will be taken in accordance with the sanctioning guidelines set out in the RTAS Scheme Outcome (Section 5.10), and applying the 'Fair Culture' Consequences Model that supports the Lifesaving Rules.

A Training Provider cannot de-sponsor an Individual following an alleged breach of the RTAS Rules without first concluding a Local Investigation.

5.3 Other investigations

Some breaches of the RTAS Rules will be investigated by outside parties, for example theft or fraud may be investigated by the British Transport Police. Any conclusion or findings from such an investigation can be used as part of the Formal Review process.

Rail Training Accreditation Scheme

5.4 Formal Review

5.4.1 Training Provider Local Investigations

If the recommended outcome of a Training Provider Local Investigation is a Training Provider Outcome, the action implemented is managed by the Training Provider's own management system requirements and notify the Accreditation Organisation so that their records can be updated.

If the recommended outcome of a Training Provider Local Investigation is a RTAS Scheme Outcome the Accreditation Organisation will be informed of the action implemented by the Training Provider so that they can update the Sentinel Database accordingly.

The Local Investigation report is retained as a training and assessment record.

Where the outcome of a Local Investigation RTAS Scheme Outcome action is identified by the Training Provider as a Multiple Occurrence / Deliberate breach and the action taken by the Training Provider is different. The Training Provider shall notify and send a copy of the Local Investigation report to the Accreditation Organisation who will refer the matter to the Network Rail Training Assurance Team for a Formal Review.

Where insufficient information is presented at the Formal Review, further information may be requested from the Training Provider. The Formal Review will be suspended until the information is provided.

During the Formal Review, if it has become necessary to undertake a Formal Training Review into the Training Provider, the Formal Review will be suspended until the Formal Training Review is completed or sufficient information is available to conclude the Formal Review.

The Training Provider will be advised in writing of the outcome of the Formal Review within 30 days of the conclusion of the Formal Review.

The Formal Review panel will be made up of representatives from both the Network Rail Training Assurance Team and the Network Rail Workforce Safety Team. At the discretion of Network Rail the Formal Review panel may include the Accreditation Organisation.

5.4.2 Other investigations

Network Rail may receive notification of an alleged breach of the RTAS Rules from a number of sources, including:

- Investigations completed by Sponsors
- Outside parties Investigations
- Whistle-blowing events
- Accident/Incident Investigations

Rail Training Accreditation Scheme

These reports may be subject to a Formal Review and the Network Rail Training Assurance Team may request any allegations made against individuals be investigated by the Training Provider they work for in the first instance. Such requests will be made via the Accreditation Organisation.

Allegations made against the Training Provider will be subject to a Formal Training Review. Individuals or the Training Provider may be required to attend a hearing as part of the Formal Review process.

5.5 Formal Training Review by Network Rail

For reviews of the conduct of a Training Provider, the Network Rail Training Assurance Team will undertake the Formal Training Review and at the discretion of Network Rail, this may include the Accreditation Organisation.

Following the conclusion of the Formal Training Review and any associated hearing, the Training Provider will be advised in writing of the outcome of the Formal Training Review and any associated outcomes.

During the Formal Training Review stage, individuals and Training Providers may be asked to attend a hearing to provide further information.

5.6 Notification of Formal Training Review

Where a RTAS Scheme Outcome is applied following a Formal Training Review it will be imposed in line with the guidelines contained within Section 5.10 of the RTAS Rules.

All decisions on outcomes will be communicated in writing to the Training Provider, along with any right to appeal against these outcomes.

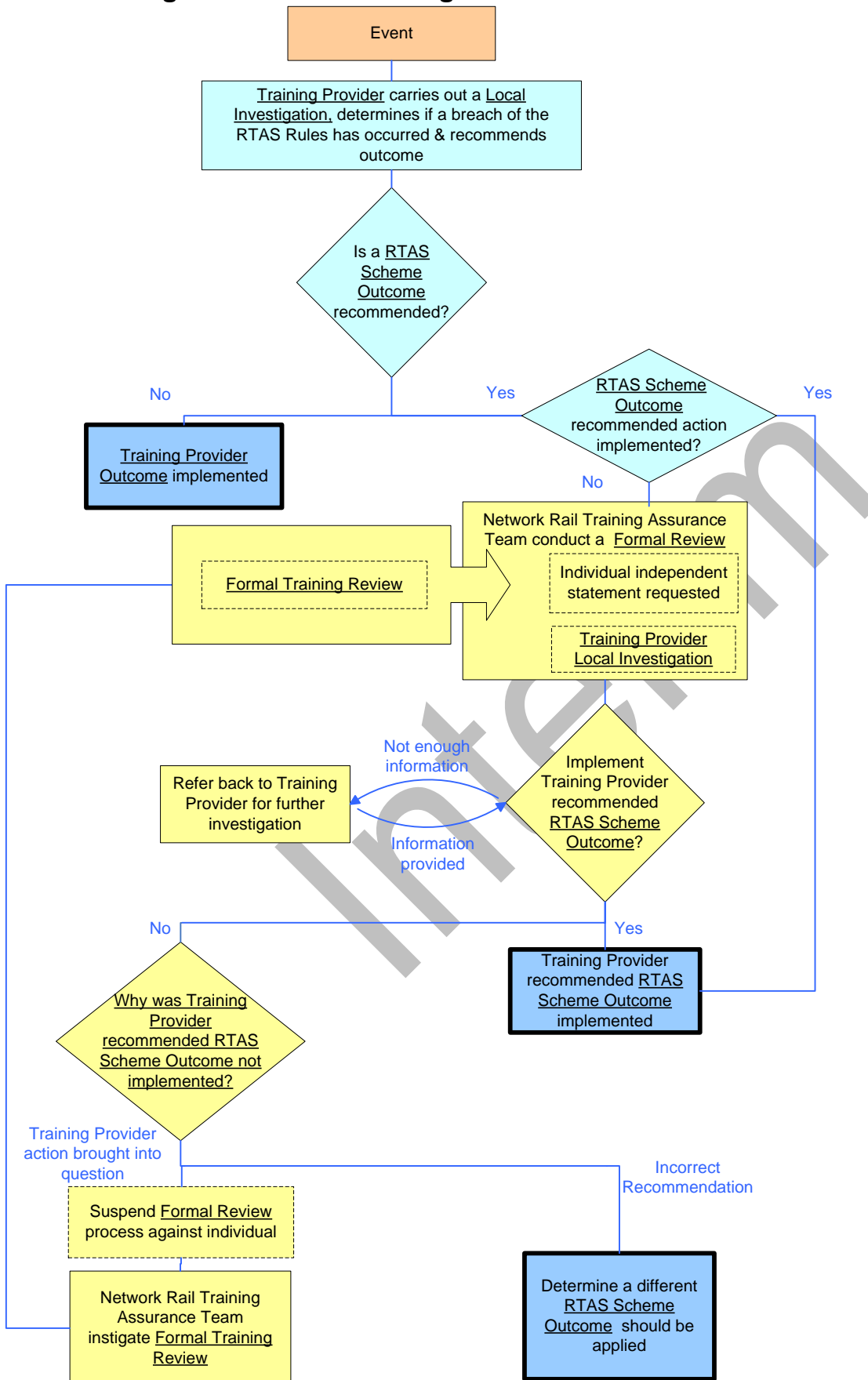
5.7 Formal Review Appeals

Individual appeals will only be held when a RTAS Scheme Outcome has been applied and only where new information or mitigating circumstances that were not available at the Formal Review stage are submitted.

The Formal Review Appeal panel will be made up of representatives from both the Network Rail Training Assurance Team and the Network Rail Workforce Safety Teams. At the discretion of Network Rail the Formal Review Appeal panel may include the Accreditation Organisation. These individuals will be independent of the Formal Review panel.

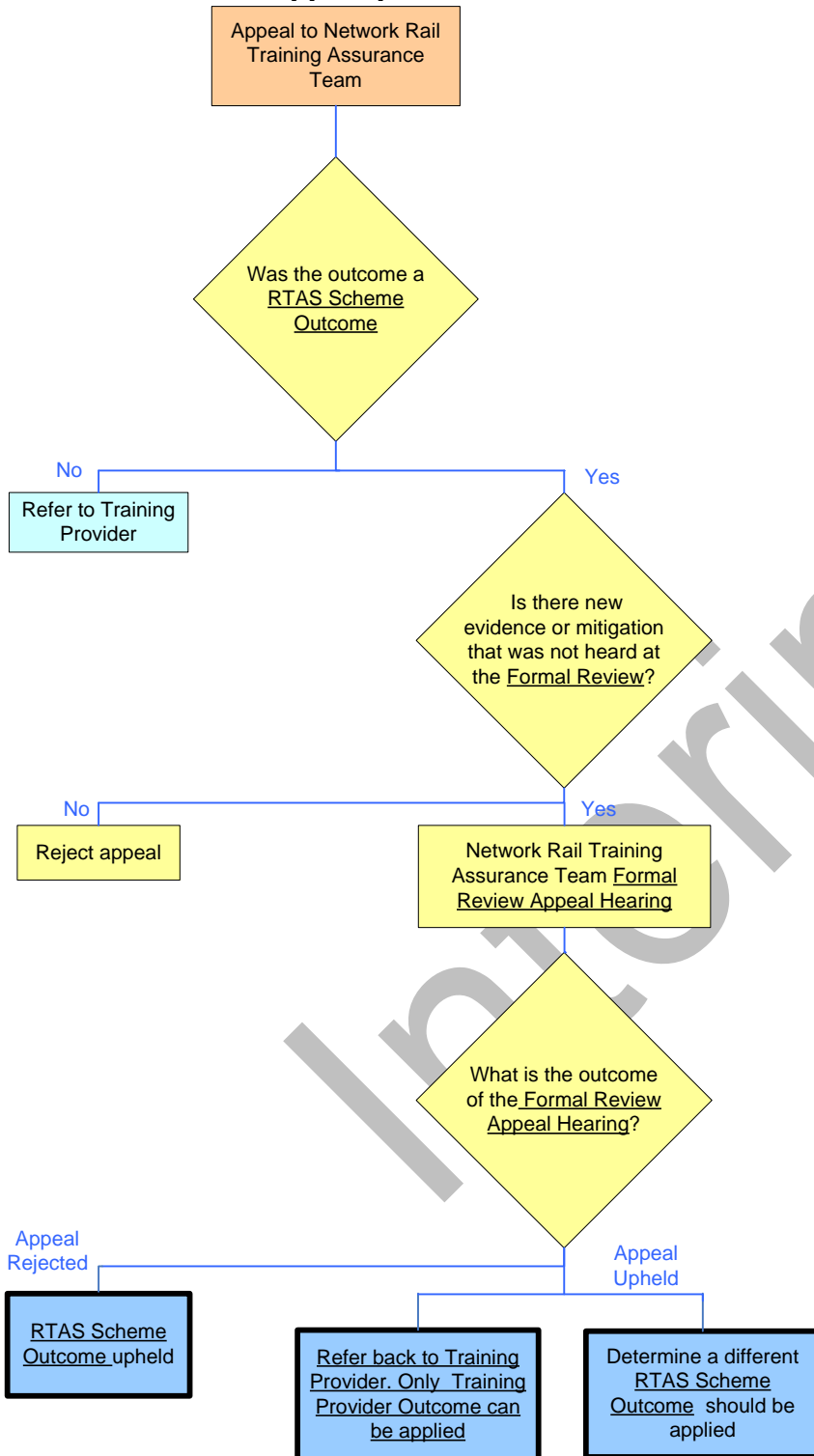
Rail Training Accreditation Scheme

5.8 Training Provider Local Investigation and Formal Review



Rail Training Accreditation Scheme

5.9 Formal Review Appeal process



Rail Training Accreditation Scheme

5.10 RTAS Scheme Outcome Guidelines

Event	Action			Action	
	Disciplinary Action inc. suspension (1-4 yrs)			Suspension (4-5yrs)	Permanent Ban
	Mistake caused by system – Contravention			Reckless contravention	Sabotage or malicious intention
Breach of RTAS Rules	Unknown Breach or mistake (first occurrence)			Multiple Occurrence/Deliberate Breach	
Theft, fraud or falsification			Unknown Breach	Following Management Instruction	Multiple Occurrence/Deliberate Breach
Infringement of Health & Safety rules	Unknown Breach or mistake (first occurrence)			Multiple Occurrence/Deliberate Breach	
Negligence leading to loss or injury			Unknown Breach	Following Management Instruction	Multiple Occurrence/Deliberate Breach
Deliberate damage				Following Management Instruction	Multiple Occurrence/Deliberate Breach

Rail Training Accreditation Scheme

6. Scheme Assurance Arrangements

6.1 Initial Application

For an organisation to become an Accredited Training and/or Assessment provider, they should first discuss their interest with the Accreditation Organisation.

6.1.1 Accreditation Organisation Process

6.1.1.1 The Accreditation Organisation is responsible for ensuring that Training Providers and Individual Trainers/Assessors accredited under RTAS Rules meet the specific requirements of Network Rail

6.1.1.2 Network Rail will support this process by having independent inspections of their training centres by the Accreditation Organisation

6.2 Assurance of the Accreditation Organisation

The Accreditation Organisation is responsible for ensuring they have systems in place to monitor the quality and impartiality of any inspectors used and the regular review of their internal processes.

Arrangements made by Accreditation Organisation that the RTAS Rules are being adhered to, by monitoring, measuring and reporting.

6.3 RTAS Exceptional Assurance Audits

In those areas deemed to be high risk and where the Training Provider has been involved in an RTAS Scheme Outcome an audit of the Training Provider shall be undertaken in accordance with the general requirements of NR/L2/CTM/202, Quality Assurance in Training and Assessment, RTAS Rules, and related standards.

Network Rail may from time to time initiate an audit of the training or assessment provision offered by a Training Provider and where appropriate a delegate/candidate will participate in a training or assessment event on behalf of Network Rail. The purpose of such audits is to assess the training or assessment delivered and the supporting administrative procedures used by the Training Provider.

Failure to comply with the audit requirements will result in the Training Provider or an individual being suspended from delivering any Network Rail approved training course or assessment covered by the RTAS Scheme.

If the Training Provider has failed the audit and is suspended, they shall be notified and provided with a preliminary audit report by the auditor within 24 hours. The auditors shall notify the Accreditation

Rail Training Accreditation Scheme

Organisation of an audit failure within 24 hours to update the Sentinel Scheme Database of the suspension.

A Training Provider that is suspended more than twice in a 3 year period shall not be eligible for a new or renewed accreditation.

Training Providers that are notified of an audit failure shall, upon receipt of the audit report and in order to lift their suspension, submit an action plan to the auditors within 5 working days. This plan shall clearly state how they intend to close out the Non Conformance Reports (NCRs) within the audit and the timescales for their closure. The plan shall be reviewed by the auditors to confirm that the actions proposed are acceptable. Should the proposed actions not be acceptable, the organisation will be notified so that further action may be taken.

Interim

Rail Training Accreditation Scheme

Definitions

Accreditation Organisation: A body identified by Network Rail to provide Rail Training Accreditation following the inspection of reviewed and approved applications from:

- training organisations
- trainers to deliver specific training events
- facilities to deliver specific training events
- assessment organisations
- assessors to assess specific competences

Acceptable forms of identification: Acceptable forms of identification for British nationals are: Construction Plant Competence Scheme, driving licence with photograph or passport. For non British nationals a passport is required.

(The following guidance is given by the Identity and Passport Service regarding the copying of passports: 'The Identity and Passport Service advises organisations who wish to retain a reproduction of the personal details in the passport, that they should obtain the consent of the individual to do so. They also advise organisations to retain a record of the consent and to store the passport details securely').

Breach of the Rail Training Accreditation Scheme Rules: Any act or omission, whether deliberate or accidental that contravenes the RTAS Rules. Examples of breaches are identified within Section 4 of this document. This is not an exhaustive list.

Competence Management System: A management system that demonstrates the effective management of competence for individuals under their sponsorship, including assessments, mentoring and recertification events and outcomes.

Contract of Sponsorship: The formal relationship between an individual and their Primary Sponsor. While similar in intent to a Contract of Employment, the Contract of Sponsorship relates only to the Sentinel Scheme and does not require or imply direct employment.

Demonstrate their ability to communicate effectively during the course: The trainer to assess the delegate's ability to hold a conversation in English during the introduction to all courses and take action to confirm that the delegate does not undergo training should they be unable to communicate effectively in English.

The trainer to assess the delegate's ability to communicate in written English to the standard defined in the Network Rail Standard which covers the competence being trained. This shall be assessed as a component of the written exercises undertaken during the training course. Delegates who do not meet the standard shall not complete the event.

The trainer is to record any individual who does not meet the standard, the location and date of the event.

Fair Culture Consequences Model: Network Rail's Consequences Model that identifies fair outcomes from an investigation.

Rail Training Accreditation Scheme

Fatigue Risk Management System: A management system for reviewing both the hours worked by an individual, the tasks being undertaken, as well as other conditions that contribute to fatigue such as shift patterns, to determine a persons fatigue risk and ensure the risk is suitably controlled.

Formal Review: The review undertaken by the Network Rail Training Assurance Team, following notification by a Training Provider that they have conducted a Local Investigation into an alleged breach of the RTAS Rules and recommended a RTAS Scheme Outcome and the action is identified by the Training Provider as a Multiple Occurrence / Deliberate breach and the action taken by the Training Provider is different. Network Rail's Training Assurance Team in conjunction with Network Rail Workforce Safety Team and at the discretion of Network Rail this may include the Accreditation Organisation, reviews the Training Provider's Local Investigation report and (unless in exceptional cases) an independent statement, requested from the individual before determining whether the recommended RTAS Scheme Outcome should be implemented.

Formal Review Appeal: An individual appeal against a RTAS Scheme Outcome. Appeal can only be brought where there is new evidence or mitigating circumstances that were not presented at the Formal Review. Where sufficient additional evidence is presented, the Network Rail Training Assurance Team will convene a Formal Review Appeal Hearing.

Formal Review Appeal Hearing: A hearing where a panel of individuals from the Network Rail Training Assurance Team, the Network Rail Workforce Safety Team and at the discretion of Network Rail this may include the Accreditation Organisation will review the RTAS Scheme Outcome decision made at the Formal Review. The panel will be independent of those who conducted the Formal Review.

Formal Training Review: A review undertaken by, and at the discretion of Network Rail's Training Assurance Team in to an allegation that a Training Provider may have breached the RTAS Rules.

Individual: An individual who is accredited by the Accreditation Organisation and to whom the RTAS Rules apply:

Accredited Trainer – A trainer who has demonstrated that they meet the trainer criteria described in the standard NR/L2/CTM/202 Quality Assurance in Training and Assessment and who is approved by the Accreditation Organisation on behalf of Network Rail to deliver one or more specific training events within the Rail Training Accreditation Scheme.

Accredited Assessor – An assessor approved by the Accreditation Organisation on behalf of Network Rail who uses Network Rail competence standards and/or assessment materials to provide assessment services and/or complete assessments within the Rail Training Accreditation Scheme.

Rail Training Accreditation Scheme

Joining Instructions Information:

- Course Title, Date and Time (starting and finishing), Duration, Catering Arrangements, location (map and directions), Smoking Policy and provision of a Proof of Identity for the event (all of which are mandatory)
- Confirmation that pre-requisite requirements related to specific competences (derived from the relevant Network Rail Standard, including age restrictions where these are stated) have been advised to the Sponsors
- PPE and Existing Competency Certificates where applicable
- The requirement for: The Guide to Personal Track Safety / Rule Book (relevant modules) and Rule Book Handbooks as stipulated by the Organisation are advised where this is appropriate for the planned event
- The requirement for Technical manuals and completed log books as stipulated by the organisation are advised where this is appropriate for the planned event
- For recertification courses / assessments in relation to competences where a work experience book/record shall be maintained. The relevant work experience book/record, showing the pre-requisite minimum number of countersigned entries, is brought to the event
- Competence pre-requisites for discipline being delivered including literacy, numeracy, age and the formal process for identifying and addressing learning difficulties (special needs) before the event (for example an individual who has legitimate difficulties will be identified and have a letter of instruction from their sponsor if they are dyslexic or similar)
- Behavioural pre-requisites related to specific competences required by the relevant Network Rail Standard

Lifesaving Rules: Rules identified by Network Rail to address the main causes of death and serious injury. Compliance with the Lifesaving Rules is mandatory for all.

Local Investigation: An investigation into any allegation of a breach of the RTAS Rules undertaken by the Training Provider for the individual involved and working on their behalf.

Network Rail Approved Training and Assessment: Training and assessment interventions (a combination of material and delivery methodology) developed, approved and issued by Network Rail.

NRMI: Network Rail Managed Infrastructure.

Primary sponsor: The organisation that is accountable for maintaining the sponsorship arrangements with the individual and for ensuring their continued competence and fitness for work through a Contract of Sponsorship. Only Primary Sponsors are permitted to issue Sentinel Smart Cards or request their withdrawal.

Rail Training Accreditation Scheme Rules: The rules that govern the RTAS Scheme that all participants of the RTAS Scheme must adhere to.

Rail Training Accreditation Scheme

Rail Training Accreditation Scheme (RTAS): The scheme operated by Network Rail to accredit suppliers of training and assessment services and their staff. Its purpose is to assure that a consistent high standard of training and assessment for specific safety critical railway skills is maintained across all organisations.

RTAS Audit: The audit of a Training Provider's conduct for a Formal Training Review, training or assessment provision for exceptional assurance, high risk and where the Training Provider has been involved in an RTAS Scheme Outcome.

RTAS Inspection: The inspection of an organisation / Training Provider or Individual by the Accreditation Organisation.

RTAS Scheme Outcome: A formal action made in accordance with the RTAS Scheme Outcome Guidelines to suspend or ban an Individual's accreditation or Training Provider, following a Local Investigation or Formal Training Review.

Sentinel Scheme: The Sentinel Scheme maintains records of safety critical details of Individuals and Organisations involved in working on NRMI. Its purpose is to minimise the risk of untrained, unqualified, unsuitable, unfit or un-sponsored personnel accessing and carrying out safety critical work on NRMI. Its members include individuals, Sponsors, training providers and medical providers.

Sentinel Scheme Administrator: The third party contracted by Network Rail to deliver the Sentinel Scheme including database management, call centre operation and Sentinel Smart Card production.

Sentinel Scheme Database: The database containing Individual Sentinel Smart Card Holder information.

Sentinel Scheme Rules Individual: An individual who holds a Sentinel Smart Card and to whom the Sentinel Scheme Rules apply.

Sentinel Scheme Rules: The rules that govern the Sentinel Scheme that all participants of the Sentinel Scheme must adhere to.

Sentinel Smart Card: An identity card that is issued and controlled through the Sentinel Scheme which can be read electronically to provide safety critical information on an individual's fitness and competence, including safety critical information. The card will display a photograph of the individual and a unique Sentinel Scheme reference number for identification purposes. All other information will be verified through access to the online Sentinel database.

Sponsor: An organisation approved by Network Rail that establishes an agreement with an individual for work on NRMI. The Sponsor is the organisation responsible for putting an individual to work on NRMI and can be a Primary Sponsor or a Sub-Sponsor.

Rail Training Accreditation Scheme

Suspension: Removal of a Training Provider or individual's accreditation to deliver events and their ability to notify competence on the Sentinel Scheme Database.

Training Provider: An organisation which is accredited by the Accreditation Organisation and to which the RTAS Rules apply:

Accredited Training Organisation

An organisation that has demonstrated that it:

- meets the training organisation approval criteria described within the standard NR/L2/CTM/202 Quality Assurance in Training and Assessment
- has all the tools, equipment and suitable access necessary to deliver specified training events
- is approved by the Accreditation Organisation on behalf of Network Rail to deliver specified training event(s) within the Rail Training Accreditation Scheme

Accredited Assessment Organisation

An organisation that uses Network Rail competence standards and/or assessment materials to provide assessment services and/or complete assessments that are within the Rail Training Accreditation Scheme.

Training Provider Outcome: An action taken by the Training Provider using the Fair Culture Consequences Model that was not identified as a RTAS Scheme Outcome.

Whistle-Blowing: A report of wrongdoing received through a formal confidential reporting process such as CIRAS, Speak Out or other method where the reporter's identify is protected.