

*Issue:* 6  
**Date:** November 2010  
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**Network Rail Sentinel Scheme Rules Audit Protocol**

# **Training & Assessment**

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## Preface

This document contains the audit protocol by which Network Rail measures Suppliers applying for and continued accreditation to provide training and assessment on disciplines which fall under the remit of the Sentinel Scheme Rules.

## Issue Record

This protocol will be updated when necessary by the distribution of a complete document. A vertical black line in the adjacent margin will mark amendments.

Issue	Date	Comments
1 Draft	May 2006	
1 Draft 2	June 2006	Amendment to document control guidance
1	21 <sup>st</sup> June 2006	
2.1 Draft	03/01/07 – 26/04/07	Rewritten to align with the Link-up process
2.2 Draft	09/03/07	Refined to improve Link-up process alignment
2.3 Draft	23/04/07	Rewritten to include recognition of Network Rail Specifications: <ul style="list-style-type: none"> <li>• Competence &amp; Training in Track Safety (Ref. NR/SP/CTM/021) – Issue 1, Dec 2006.</li> <li>• Quality Assurance in Training Delivery (NR/SP/CTM/005) – Issue 1, Dec 2006.</li> <li>• Quality Assurance in Competence Assessment (NR/SP/CTM/006) – Issue 1, Dec 2006 and related specifications.</li> <li>• NR company Standard Competence Management (NR/CS/CTM/001) – Issue 1, Dec 2006 (NR/SP/CTM/001 complements this)</li> </ul>
2.4 Draft	26/04/07	Refined to improve alignment
2.5 Draft	27/04/07	Further refinement
2.6 Draft	16/06/07	Clarification included regarding Special Assessment Policy, insurance, lost Sentinel Cards and DC Lines PTS practical
2	17 <sup>th</sup> July 2007	Live from 03/09/07
3.1 Draft	17 <sup>th</sup> August 2007	Clarification including: <ul style="list-style-type: none"> <li>• Minor &amp; Major DCR definitions,</li> <li>• copying means of identity rules,</li> <li>• reporting on inability to speak English,</li> <li>• reporting on wrongly answered questions,</li> <li>• identification of additional significant Group/NR Standards</li> <li>• insurance for track visits.</li> </ul> Also various 'typos' corrected
3.2 Draft	17 <sup>th</sup> September 2007	References to Link-up Assessment removed and Link-up Audit substituted
3	24 <sup>th</sup> September 2007	Live from 29/10/07
4 Draft	13 <sup>th</sup> January 2009	Reviewed with Network Rail and modified to provide a generic protocol for all rail related training & assessment. Mapped against the current requirements of the Link-up Core Module (NR/L3/CPR/302) to ensure that core

		requirements are met for those organisations which are not Link-up qualified. NR specifications (Appendix A) were updated.
4	24 <sup>th</sup> February 2009	Live from 01/04/2009
5	10 <sup>th</sup> August 2009	6 monthly review Update to Network Rail Specifications. The inclusion of feedback from Network Rail, Achilles and ARTP, which has resulted in modifications to clauses 3.1.2, 3.1.3, 3.1.4, 3.1.8, 3.2.8, 3.1.16, 3.1.17, 3.1.25, 3.1.27, 3.2.3, 3.3.4, and the withdrawal of 3.3.5, 3.3.6, 3.3.7, 3.3.8, 3.3.9 and 3.3.10. Where a DCR has been previously raised at audit, this will result in a Major DCR.
6.1 Draft	09 <sup>th</sup> August 2010	Review of Protocol in line with the revision to Network Rail Sentinel Scheme Rules and other Network Rail Standards. Change of font from Verdana to Arial. Must has been replaced with Shall. Ensure has been replaced by Confirm. Achilles logo has been deleted. Auditor guidance "Deficiencies which may be identified" has been deleted. Clause 2.2.5 has been deleted as this was a direct extract from a standard which has been replaced.
6.2 Draft	08 <sup>th</sup> October 2010	Sentinel Operations review. The SOM noted that the Accredited Auditor and the Accreditation Body may be one in the same.
6	04 <sup>th</sup> November 2010	Live from 04 <sup>th</sup> December 2010 This protocol is written around the content and concepts contained within the version of the Sentinel Scheme Rules due for publication in March 2011. However it will also overlap the remaining period of the current version of those rules.  There are not significant changes to the requirements for demonstrating compliance with the audit protocol in relation to the evolution of the scheme rules and auditees and auditors should be able to easily apply the newly formulated requirements within this protocol to the existing version of the standard until it is replaced.

## Applicable Product Groups

This Protocol is applicable to the following Link-up Product Code only:

<b>v.2 Product Group ID</b>	<b>Product Group Title</b>
0428.1001	<i>Training (Health Safety &amp; Environment) – Track Safety Training (&amp; Assessment)</i>

## DEFINITIONS

The following terms, where used in this document, have the meanings described below:

<b>Accredited Auditors</b>	A company, person, or persons accredited by Network Rail to undertake the auditing of training and assessment companies, trainers, and assessors.
<b>Accreditation Body</b>	Those contracted by Network Rail to provide accreditation and licensing services for the Scheme.
<b>Assessment</b>	The gathering and judgement of evidence to determine a person's competence as required by the relevant Network Rail competence specification.
<b>Audit</b>	The process undertaken by the accredited auditors to assure that the management, training and assessment activities of training and assessment organisations is delivered and maintained in accordance with the Sentinel Scheme Rules.
<b>Audit Compliance Manual</b>	A document prepared by the Licensed Training and/or Assessment Provider to facilitate the management of the organisation's training and assessment activities.
<b>Audit Protocol</b>	The document that contains the detail of what the Auditor will be auditing the company concerned for to assure that it complies with the Sentinel Scheme Rules.
<b>Competence</b>	As defined in the Network Rail standard NR/L1/CTM/001, Competence Management.
<b>Licensed Assessor</b>	An individual licensed under the Sentinel Scheme Rules by the Accreditation Body to assess one or more of the competences covered by the Scheme.
<b>Licensed Trainer</b>	An individual licensed under the Sentinel Scheme Rules by the Accreditation Body to provide training in one or more of the competences covered by the Scheme.
<b>Licensed Training and Assessment Provider</b>	An organisation licensed under the Sentinel Scheme Rules by the Accreditation Body to train and/or assess one or more competences covered by the Scheme.
<b>Link Up</b>	The Rail Industry Supplier Qualification Scheme.
<b>Managers of the Sentinel Scheme</b>	The body that keeps the database and manages the system that provides competence recording and certification to individuals within the Scheme.
<b>Mentor</b>	<p>A competent and experienced individual who provides support, accompanies, supervises and observes the person who is newly qualified in a competence where mentoring has been mandated.</p> <p>The mentor determines the readiness of the individual for their first workplace assessment.</p>

<b>Sentinel</b>	The Network Rail specified scheme that provides; <ul style="list-style-type: none"><li>• management of the computerised records of individual training, competences and the production, distribution and control of competence cards;</li><li>• approval and accreditation of training and assessment providers, trainers and assessors.</li></ul>
<b>Sentinel Card</b>	The means used to identify an individual and the competences that they hold within the Scheme.
<b>Sentinel Card Holder</b>	An individual to whom a Sentinel Card has been issued.
<b>Site Identity Number</b>	A unique number that is given to a company licensed to Sponsor individuals within the Scheme.
<b>Special Assessment Policy Rules</b>	The process which enables applicants, at the discretion of Network Rail, to set aside the Link Up Core audit requirements, instead agreeing to comply with a set of Special Assessment Policy rules.
<b>Sponsor</b>	An employer who is registered with the Scheme and who takes responsibility for the training, assessment and briefing activities associated with the competences held by their employees as required by the Scheme.
<b>Verification</b>	The purpose of Verification is to confirm, through systematic sampling or minimum of 10% verification, the quality and consistency of Assessment decisions made and practices utilised.
<b>Workplace</b>	A site of work, or a simulated worksite/environment, where work activities are being undertaken that complies with the criteria specified within the relevant Network Rail competence standard.

## RESPONSIBILITIES

### Trainer Competence

Trainers shall be able to demonstrate suitable occupational competence in the subject area in which they are required to deliver training as well as competence as a trainer based on one or more of the following qualifications:

- NVQ Level 3 in Training and Development
- Employment NTO 'L' Units L9, L10, L11 & L13
- City & Guilds Further and Adult Education Certificate - C&G 7301/7306
- Training delivery for adult learners (e.g. C & G 7331 Method of Instruction, European, Armed Forces or Civil Service trainer training or Network Rail approved train the trainer)

To confirm that the assessment administered during the training is effective, trainers shall be competent as Assessors based on one or more of the following qualifications:

- NVQ Level 3 in Training and Development

- TDLB Unit D32 & D33 Assess candidate performance
- Employment NTO Unit A1 Assess Candidates Using a Range of Methods

In addition the minimum occupational competence of the trainer/assessor will be judged against the requirements in the specific Network Rail Competence and Training Standard, relevant training documentation and the following:

- a. Have current knowledge of the relevant Railway Industry Standards, Network Rail Company Standards and instructions as applicable to the training subject and can demonstrate sufficient practical skills aligned with training delivery; and
- b. Have been responsible for the successful delivery of the event or similar events where the learning outcome aligns closely to the event in question; or
- c. Have been responsible for the development of the event and the event has been approved

(As detailed within NR/L2/CTM/202).

Whose name is entered by The Accreditation body in the Register of Licensed Trainers maintained by the Managers of the Sentinel Scheme on behalf of Network Rail.

### **Assessor Competence**

Assessors shall also be able to demonstrate Competence as an Assessor based on one of the following qualifications:

- NVQ Level 3 in training and development, or
- Employment NTO Unit A1 Assess Candidates Using a Range of Methods or
- The individual shall have occupational experience, current appropriate knowledge of the relevant rules, procedures, instructions and processes as applicable to the Network Rail Competence Standard whose name is entered by The Accreditation body in the Register of Licensed Assessors maintained by the Managers of the Sentinel Scheme on behalf of Network Rail.

(As detailed within NR/L2/CTM/202).

### **Mentor**

An individual who accompanies, supervises and observes a person who is newly qualified in a competence where mentoring has been mandated. The mentor determines the readiness of the individual for their first workplace assessment. The mentor must:

- Have sufficient experience in railway engineering or operations.
- Hold current competence in the duty being observed and have held that competence for a minimum of two years.
- Be able to demonstrate a thorough knowledge and understanding of the duties that they are mentoring.
- Understand the process of gathering suitable evidence.

*N.B. Competence specific definitions of a mentor's qualifications and duties are also contained within the relevant Network Rail guidance note.*

For the purpose of mentoring and the recording of all observations, questions and decisions, the mentor will use their own company's formal workplace mentoring documentation. The standard approved workplace assessment documentation must **not** be used for this purpose as it has been developed solely for on-going workplace assessments.

When mentoring a competence holder who is required to maintain a Work Experience Logbook/Record, the mentor will also be required to countersign the individual's logbook/record.

### **Verifier**

A person who is competent and authorised to review the assessment process and confirm assessment decisions. (As detailed within NR/L2/CTM/202).

Verifiers will be able to demonstrate a detailed understanding of:

- Assessment processes, techniques and methods
- Recording requirements
- The evidence requirements defined in relevant Network Rail Standards.
- The use of relevant assessment tools

### **Verifier approval**

Employing organisations will develop and implement a Verifier approval process that will as a minimum confirm that each approved Verifier:

- Has successfully completed relevant training
- Has a detailed understanding of Assessment processes, techniques, methods and recording requirements
- Has, where required, a Verifier qualification (e.g. D34/V1 or a recognised audit qualification)
- Has been fully/provisionally approved by a person with managerial responsibility

Where a Verifier is also an Assessor, that Verifier shall not verify their own Assessments.

Employing organisations shall document and implement a Verification process that, as a minimum, confirms that:

- Assessors understand and operate in accordance with the requirements set out in the Assessment process

Consistent Assessment decisions are made by:

- Each Assessor judging the different Competence Standard over time, and
- Different Assessors judging the same Competence Standard

- Assessment decisions are processed in a timely manner
- Assessors are provided with feedback in areas of the Assessment practice that do not meet the requirements laid down in the Competence Standards or Assessment procedures
- Records of Competence Assessment are maintained and complete

The implementation of systematic sampling will be planned to take account of:

- Risks relating to the Competence that has been assessed
- Experience of the Assessor including paying special attention to provisionally approved or Supported Assessors
- Previous Verification findings

## **1.0 General**

### **1.1 Process Requirements**

This Module is a component of the Supplier Accreditation process used by Network Rail. It forms the basis for undertaking management and technical audits on suppliers applying to supply to Network Rail covering the range of work it defines.

A satisfactory or positive response is required to all questions to achieve compliance with the Sentinel Scheme Rules Standard NR/L2/OHS/050 Audit requirements, including the requirements of any Network Rail Standard, RSSB Railway Group Standard (RGS), Railway and Other Guided System Regulations (ROGS) and legislative requirements.

### **1.2 Audit Planning**

The Accredited Auditor will be responsible for reviewing any relevant information, including previous Audit activity, prior to undertaking the Audit.

Where the training / assessment provider is also Link-up qualified the auditor shall confirm that where identified within the audit criteria, it has fully met the requirements relating to training / assessment.

Guidance notes are provided within the Module, to enable the Accredited Auditor to determine whether the organisation has suitable and sufficient management and delivery systems in place to supply services to, Network Rail and its supply chain.

### **1.3 During the Audit**

The Module as outlined in the following pages shall be used to conduct the audit. The Supplier shall be able to provide sufficient documentary evidence, in order to demonstrate compliance against each section contained within this Module.

The Accredited Auditor shall confirm that the audit remains within the scope of the Module and that any deficiencies are clearly identified. On leaving the organisation the Accredited Auditor shall confirm that the Supplier is fully aware of any deficiencies found. In the case of a 'failed' audit (i.e. when the company has been suspended) the Supplier shall apply to Accreditation Body for a re-audit when all the deficiencies have been satisfactorily closed out.

N.B. Failure to meet the minimum Legislative and Regulatory, Health and Safety requirements will result in an automatic 'failure by audit'.

### **1.4 Post Audit Activity**

The Accredited Auditor shall provide the Accreditation Body with an audit report within 10 working days.

If the provider has passed the audit the Accreditation Body shall supply the Provider with a full written audit report within 20 working days of audit completion.

The Accreditation Body will then notify Network Rail and the Managers of the Sentinel Scheme.

## **1.5 Providers who fail an Audit**

If the Provider has failed the audit, and is suspended, they shall be notified and provided with a preliminary audit report by the Accredited Auditor within 24 hours. They shall be provided with a full audit report within 5 working days. The Accredited Auditors shall notify the Accreditation Body, Network Rail and the Managers of the Sentinel Scheme of an audit failure within 24 hours, and the Managers of the Sentinel Scheme shall update the Sentinel Scheme accordingly.

Providers who are notified of an audit failure shall, upon receipt of the full audit report, and in order to lift their suspension, submit an action plan to the Accredited 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 Accredited Auditors to confirm that the actions proposed are acceptable. Should the proposed actions not be acceptable, the Provider will be notified so that further action may be taken.

When the Provider has closed out all NCRs they shall contact the Accredited Auditors and arrange a re-audit. If this re-audit takes place within 12 weeks of the original audit, only the NCRs identified shall be re-assessed. If the re-audit takes place more than 12 weeks after the original audit then a full audit shall be undertaken.

**An organisation that is suspended more than twice in a 3 year period shall not be eligible for a new or renewed licence.**

Any re-Audits may incur an additional cost.

## **1.6 Audit Cancellation & Rescheduling**

Providers wishing to cancel or reschedule their audit shall contact the Accredited Auditor as soon as possible after being notified of the audit date, quoting their company details and the date of their scheduled audit. The audit shall be rescheduled by mutual agreement of the Provider and the Accredited Auditor, subject to any cancellation charges due.

## **2.0 Description of the Audit Process**

### **2.1 Introduction**

The purpose of this description is to confirm that Licensed Training and/or Assessment Providers, including Infrastructure Engineering Licensed Training and/or Assessment Providers have a clear understanding of the Audit process and their obligations to maintain approval.

This document describes the various stages of the audit process operated by Accreditation Body as the appointed contractor to Network Rail.

To retain approval a Licensed Training and/or Assessment Provider shall maintain its management system in accordance with the Network Rail approved criteria which form section 3 of this document.

Suppliers, including training and assessment providers, shall hold current Link-up Core Module Audit accreditation (NR/L3/CPR/302), or have achieved registration under the Special Assessment Policy Rules process (SAPR).

For further information on Link-up Core Module Audit accreditation and SAPR contact Link-up.

### **Frequency of Audit**

A full audit shall be carried out annually of each Licensed Training and/or Assessment Providers by the Accredited Auditors.

If Network Rail is given cause for concern regarding a Licensed Training and/or Assessment Provider's performance the Accredited Auditors may be directed by Network Rail to implement additional monitoring audits, with or without warning, at the Licensed Provider's expense.

### **License Fees**

Audit and licensing fees will be charged in accordance with the published schedule of rates.

Payment of fees shall be made in accordance with the Accreditation Body's standard terms and conditions, organisations failing to make payment within the required timescales may have their licence suspended until remuneration has been made.

*Note It should be noted that organisations adding additional trainers, assessors or trainer-assessors to their list of licensed personnel will be required to pay a processing fee for each application (transfers excepted) and a pro-rata trainer and/or assessor licence fee for the portion of the year remaining between the date of the applicant being licensed and the next audit.*

## 2.2 Audit Process

All audits against this protocol will be undertaken in accordance with the following process:

- In advance of the commencement of the annual audit, the training and/or assessment organisation to be assessed shall prepare and subsequently maintain an Audit Compliance Manual and collate relevant supporting procedural evidence, including relevant extracts from the organisation's main QMS, where this interfaces with training and/or assessment activity, the manual should demonstrate how the organisation complies with the requirements of this protocol.
- When the audit commences at the licensed provider's premises, the Audit compliance manual will be the subject of a review by the Accredited Auditor allocated to the annual audit during the audit visit, this visit will involve an in-depth appraisal of the elements of the Licensed Training and/or Assessment Provider's management system including how **all** audit clause requirements are met by the organisation's procedures and the responsibility statements of associated personnel.
- Evidence, such as training / assessment / verification records and Trainer's/Assessor's Continuous Professional Development portfolios and Verifier approval, shall be available at the time of audit in order to confirm that the Accredited Auditor can make an objective judgement with regard to the level of compliance with the Sentinel Rules and other Accreditation Body and Network Rail criteria.

## 2.3 Empty Systems Audits

The purpose of an empty system audit is to establish the readiness for initial licensing as a Training and/or Assessment Provider applying to join, or rejoin, the Scheme. It will therefore focus on the management and physical resources provided by the Provider in support of their application. All observations made shall be formative in purpose and the applying Provider will be given guidance on any further development activity required.

If the empty systems audit reveals significant non-conformances, the Accredited Auditor shall indicate what further work is required before a licence can be awarded and agree a time and date for the further review of the Provider's revised systems at additional cost.

If the Training and/or Assessment Provider is not in a position for a licence to be awarded within 12 weeks of the initial empty system audit a further full empty system audit will be required.

Following the empty system audit a report will be prepared by the Accredited Auditor which will form the basis of their recommendation to the Accreditation Body concerning the granting of a licence.

## **2.4 Scope of Licence**

The license awarded on completion of the licensing process will confirm the award of the licence authorising the licensed Training and/or Assessment Provider to deliver training, and/or conduct assessments, the precise details of the scope of the license may be determined by visiting the relevant section of the Sentinel website available at [www.ncca-sentinel.co.uk](http://www.ncca-sentinel.co.uk)

## **2.5 Extension to the Scope of the Licence for a Training and/or Assessment provider**

If a Licensed Training and/or Assessment Provider wishes to conduct training and/or assessment events in a competence not included in the scope of their license then the trainer and/or assessor identified by the Provider to deliver that training and/or assessment shall complete the standard application document for the competence. This shall be submitted to the Accreditation Body via the Training and/or Assessment Provider.

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

### **Initial Licensing of Trainers**

Trainers applying to join the Scheme shall complete the appropriate application form and submit it to the Accreditation Body via a Licensed Training Provider. If considered suitable by the Accreditation Body they shall be awarded a provisional licence.

The Licensed Training Provider 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 Licensed Training Provider is satisfied that they are competent to deliver the course. The Licensed Training Provider shall then submit evidence to the Accreditation Body of the satisfactory completion of the programme of mentored development by the provisional Trainer to initiate the award of a full license.

A full licence shall only be awarded after the provisional Trainer has been observed delivering training competently by the Accreditation Body.

*NOTE It should be noted that Providers adding additional Trainers and/or Assessors to their list of licensed personnel will be required to pay a processing fee for each application.*

### **Extension of the Scope of License for a Trainer**

Licensed Trainers wishing to add additional competences to their license shall follow the process in the clause above for applying to the Accreditation body and undergo a similar period of mentored development for the additional competence. The Licensed Training Provider shall then submit evidence to the Accreditation Body of the

satisfactory completion of the programme of mentored development by the Licensed Trainer to initiate the award of an extended full licence.

A full licence shall be awarded by the Accreditation Body upon receipt of evidence of satisfactory completion of the programme of mentored development.

### **Initial Licensing of Assessors**

Assessors applying to join the Scheme shall complete the appropriate application form and submit it to the Accreditation Body via a Licensed Assessment Provider. If considered suitable by the Accreditation Body they shall be awarded a provisional licence.

Assessors shall be awarded a full licence by the Accreditation Body when the Assessment Provider has provided fully verified copies of two assessments undertaken by the Assessor for each skill area for which they hold a licence. The maximum time allowed for this action is 6 months.

*NOTE It should be noted that Assessors adding additional disciplines to their scope of license shall complete an application form for that discipline and submit to the accreditation body. This will incur a processing fee for each application.*

## **2.6 Monitoring Audit Visits**

The Accreditation Auditor will examine a Licensed Training and/or Assessment Provider's management system for planning and running its training & assessments and how those events are resourced utilising adequately qualified Trainers & Assessors. It will then sample the training and assessment records to confirm that the management systems deliver a measurably satisfactory end product.

Full training & assessment audits will take place annually and will be at the Licensed Training and/or Assessment Provider's cost. The visits will involve the Accredited Auditor reviewing the output of a number of training and/or assessment events including verification to confirm that the required standards continue to be met; the Auditor will also confirm that any non-conformances raised at the previous audit(s) have been closed out.

Licensed Training Providers are required to confirm the co-operation of all of their employees in affording Accredited Auditors and the Accreditation Body access to training events and records for the purpose of undertaking Unannounced Audits of training delivery or support systems.

Licensed Assessment Providers are required to confirm the co-operation of all of their employees in affording Accredited Auditors and the Accreditation Body access to assessment events and records including verification for the purpose of undertaking Audits of assessment delivery or support systems.

If the Accreditation Body receives a complaint about a Licensed Training and/or Assessment Provider, they may initiate an unannounced audit. Following the results of an unannounced audit the Accreditation Body will consult with Network Rail and decide what action is required.

Any costs incurred in respect of this additional activity may be borne by the Licensed Training and/or Assessment Provider.

Should Accreditation Body decide that an additional Audit visit is required, the provider will be contacted by Accreditation Body and a mutually acceptable date arranged.

The completed Audit report comprising a full summary of the findings, will be issued to the Licensed Training and/or Assessment Provider at the end of the Audit visit where practicable, or where this is not possible, within 20 working days of the last day of the Audit.

The Accredited Auditors on behalf of Network Rail may from time to time initiate an 'Unannounced Audit' of the training or assessment provision offered by a licensed provider, whereby a 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 licensed organisation, recording all findings and reporting these to Network Rail for review and appropriate action.

## 2.7 Non-Conformance

A Non-Conformance against the Audit Protocol criteria will be recorded using Non-conformance Report (NCR).

A Minor NCR is defined as:

Limited lapses of non-conformance in areas that do not give rise to a potentially significant risk.

A Major NCR is defined as:

A significant breakdown of management processes in critical areas.

Examples of Major Non-Conformance is where there is:

1. An absence of, or lack of implementation of procedures designed to comply with the Sentinel Scheme Rules or a clause of this Protocol
2. A total breakdown in compliance with the Sentinel Scheme Rules or a clause of this Protocol evidenced by the audit identifying numerous minor non-conformances
3. Failure to comply with relevant legislation, Network Rail Standards, Railway Group Standards
4. Failure to provide welfare facilities or suitable training environment
5. Consistent failure to implement training administration processes

(as detailed in NR/L2/OHS/050 and NR/L2/CTM/202)

Any occurrences classified as a **Major** NCR will result in the suspension of the provider's training and/or assessment delivery licence until acceptable corrective action has been taken within the specified timescales.

If an organisation is suspended more than twice in a 3 year period, that organisation shall not be eligible for re-approval.

Such licence suspensions will be notified to the Accreditation Body, Network Rail and the Managers of the Sentinel Scheme.

## **2.8 Non-conformances Raised at Audits:**

Where non-conformances are identified by the raising of an NCR, these are noted and will be presented to the Licensed Training and/or Assessment Provider in the audit report.

For reinstatement / renewed approval to be confirmed the Licensed Training and/or Assessment Provider's management system shall comply with the Sentinel Scheme Rules and this Protocol. Therefore any outstanding NCR shall be closed before initial / renewed approval or reinstatement can be granted.

## **2.9 Observations**

Observations will be recorded as a method of where improvements could be made to the Licensed Training and/or Assessment Provider's management system. Observations made will not affect the recommendation for approval but will be reviewed at a future visit.

Following the audit a summary will be prepared for the provider identifying those observations which require consideration for potential action.

## **2.10 Close-out of Non-conformances**

The Licensed Training Provider shall demonstrate to the Accredited Auditor that the measures to be implemented in response to any NCR raised effectively address the non conformance, by means of the provision of evidence relating to action taken in response to each NCR.

Within five working days, of the day of the audit on which the NCR was raised, the Licensed Training and/or Assessment Provider is required to respond in writing, to the auditor, regarding each NCR outlining the proposed corrective/preventive action and providing evidence of implementation required to address the non-conformance. This will be reviewed to confirm that the actions proposed are acceptable. Should the proposed actions not be acceptable, the Licensed Training and/or Assessment Provider will be informed so that further action may be taken by that organisation.

The Accredited Auditor will produce a report summarising all of the findings of the Audit visit including NCRs raised and close-out action taken, this will form the basis of the recommendation to Accreditation Body whether to award / renew / reinstate the organisation's licence.

## **2.11 Concerns about the Audit**

A Provider has the right to provide feedback about the manner in which an audit was conducted or if the process was not carried out in accordance with the Audit Protocol. Concerns shall be submitted in writing to the Accredited Auditors within 10 working days of an audit visit taking place.

The Accredited Auditors will investigate the nature of the concern and decide what action is required. The Provider will be advised in writing of the outcome of the investigation within 20 working days of the receipt of the feedback and of their right of appeal on any adverse findings to Network Rail.

## **2.12 Appeals**

In the event of a Provider wishing to appeal against any decision affecting their licence they can, within 10 working days of being notified of the decision, give written notice to the Accredited Auditors of their desire to appeal.

The appellant shall provide factual information giving grounds for the appeal that will be passed to Network Rail. The appellant will be informed of the proposed members of the appeals panel and has the right to make any reasonable objections clearly stating the reasons for them. Network Rail retains the right to overturn the objection if the reasons are not substantiated.

The decision of the Accredited Auditors shall stand pending the meeting of the appeals panel. The appeals panel shall consist of representatives of both Network Rail and the Accredited Auditors. In addition to their own representative, the appellant may also be represented by an appropriate trade body such as the Association of Rail Training Providers (ARTP).

The appeal hearing shall be heard in confidence and the decision of Network Rail shall be final.

The decision of the appeal panel shall be confirmed to the appellant in writing no more than 30 days following the hearing.

## **2.13 Confidentiality and Impartiality**

Access to confidential information is strictly limited and controlled. All persons employed by the Accredited Auditors and Accreditation Body, either directly or as an associate, who are involved with the Audit process are required to sign a confidentiality and impartiality statement.

Audit findings will be provided to the individual Licensed Training and/or Assessment Provider, the Accredited Auditors, Network Rail and Managers of the Sentinel Scheme.

## **2.14 Audit Language**

The language used during the Audit activity shall be English.

## **2.15 Accreditation Body Record Retention**

The Accreditation Body shall retain records of all applications and for a period of 7 years.

In addition, it will maintain and retain detailed records of all Licensed Training and/or Assessment Providers and Licensed Trainers and Assessors.

These records will be retained at least 7 years and will include as a minimum:

- a) Company name and company no;
- b) Company registered address and contact address(es);
- c) Nominated contact name and telephone number(s);
- d) Details of the locations where the training organisation is licensed to deliver the course(s);
- e) Details of the each Licensed Trainers or Assessors qualifications and experience including copies of all appropriate certificates and curriculum vitae;
- f) Copies of the original application forms for the Licensed Training or Assessment Organisation and for each Licensed Trainer or Assessor;
- g) Details of any restrictions that may be applied to an Licensed Training or Assessment Organisation or Licensed Trainer or Assessor;
- h) A log of expiry dates for any provisionally Licensed Trainers or Assessors.

## **2.16 Training and/or Assessment Provider's Records**

All records related to the provision and management of training and/or assessment shall be retained for a minimum of 7 years.

Electronic archiving is permissible provided that records created electronically are securely stored with adequate backup arrangements to prevent loss through equipment or software malfunction.

Software systems utilised for this purpose shall be designed in such a way as to provide records of the date of archiving of material and shall prevent subsequent alteration of the stored material.

All records shall be readily retrievable within twenty four hours of receipt of notice requiring the production of specific records being given.

Where a Provider ceases to trade, the training and assessment records (both paper and electronic) shall be forwarded to Network Rail for archiving.

## **2.17 Obtaining copies of documentation from and corresponding with the Accreditation Body**

The Audit Protocol is available from the Accredited Auditors website or by contacting them by post or by telephone.

### 3.0 AUDIT REQUIREMENTS

#### 3.1 Training & Assessment Administration / Management

##### 3.1.1 Scheme Compliance Manual

***Does the organisation have a comprehensive licensing Scheme Audit compliance manual?***

*The Auditor should establish the following:*

*The manual records how the organisation complies with the requirements of the Scheme and each clause of this document, and that it:*

- *Is in a format which is easily accessible.*
- *Contains sufficient appropriate evidence.*
- *Cross references to each relevant clause of the company's training/quality manual.*

##### 3.1.2 Suitability of Insurance Cover

***Has the organisation insurance cover in place for Employer's and Public Liability which is suitable for work being undertaken on Network Rail controlled infrastructure and other training & assessment locations?***

*The Auditor should establish the following:*

*Evidence of current insurance certification is available for scrutiny providing the following minimum levels of cover:*

- *Public Liability (minimum of £1 million).*
- *Employer's Liability (minimum of £5 million)*
- *Professional indemnity (minimum of £1 million)*

***Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.***

### 3.1.3 Roles and responsibilities for training/assessment activity

**Are roles and responsibilities in relation to training/assessment activity clearly defined within the Company?**

*The Auditor should establish the following:*

- *The company has an organisational structure where one person has overall responsibility for the training / assessment delivery management system*
- *That organisation charts, job descriptions/responsibility statements are in place for all persons involved in the company's training and assessment activities.*
- *Documentation makes reference to the requirement to train & assess in accordance with Sentinel Rules & Network Rail Standards and RSSB Railway Group Standards.*
- *The provision of competent Health & Safety advice has been addressed as part of the management system (NEBOSH minimum).*

*The provider will either hold the competence or advice is gained from a supplier with the competence contracted by the provider.*

**Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.**

### 3.1.4 Policies

**Do you have written policies in place to cover Health & Safety, Environmental, Equal Opportunities and Candidate Appeals?**

*The Auditor should establish the following:*

- *Compliant policies are in place for Health & Safety and Environmental as required.*
- *Compliant policies are in place affording candidates an equal opportunity to participate in training and assessment and to appeal against assessment decisions made at either training or assessment events.*
- *Policies are displayed at the training location, where it is a permanent training location for the organisation, or stated as part of the course introduction when Trainers are working away from their normal workplace.*
- *A requirement is placed on the Assessment provider to confirm that candidates are made aware of the appeals policy prior to an assessment taking place.*

**Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.**

### **3.1.5 Trainer / Assessor Licensing** **Are Trainer & Assessor Licenses valid?**

*The Auditor should establish the following:*

- *That the scope of licensing matches the Managers of the Sentinel Scheme database records.*
- *That the company has a procedure in place to advise the licensing body of the removal of sponsorship of Trainers/Assessors and the reason(s) for the organisation's action.*

### **3.1.6 Provision of Training and Assessment**

**Are there procedures in place to confirm that training/assessment is provided only to individuals with sponsorship from an organisation with current Link-Up approval and that the sponsoring organisation's representative has signed the confirmation?**

*The Auditor should establish the following:*

- *That the Sponsor's Appointed Co-ordinator provides a valid Link-up number and/or Managers of the Sentinel Scheme Site ID and confirms intent to sponsor candidates offered for training/assessment, in writing, with the confirmation being signed by the sponsor's representative.*

### **3.1.7 Advising Candidates of planned training / assessments**

**How will your organisation confirm that candidates are aware of the arrangements put in place for the course/assessment?**

*The Auditor should establish that:*

- *Course joining instructions are communicated to candidates or their sponsor, and assessment plans are communicated to each candidate, sufficiently far in advance of the planned event to enable personal preparation to be made.*

### 3.1.8 Course Joining Instructions

#### ***What information is included in the course joining instructions? (Training only)***

*The Auditor should establish that the following are included:*

- *A minimum of the following is provided: Course Title, Date & Time (starting and finishing), Duration, Catering Arrangements, location (map and directions), NI number, Proof of Identity and Smoking Policy (all of the above are mandatory).*
- *Prerequisite requirements related to specific competences (derived from the relevant Network Rail Standard, including age restrictions where these are stated) are advised to sponsors.*
- *And that: HV Clothing (meeting the requirements of GO/RT3279 & NR/L2/OHS/021), a Safety Helmet, Existing Competency Certificates, Photographs (where the provider has no in house digital photographic facility), safety footwear which provides ankle protection – as required for the course being undertaken,*
- *Also that the requirement for: Track Safety Handbook / Rule Book (relevant modules) and Rule Book Handbooks as stipulated by the training organisation are advised where this is appropriate for the planned course.*
- *And that the requirement for: Technical manuals and completed log books as stipulated by the training organisation are advised where this is appropriate for the planned course.*
- *For recertification courses in relation to competences where a work experience logbook/record shall be maintained. The relevant work experience logbook/record, showing the pre-requisite minimum number of countersigned entries, is brought to the training 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.*

### **3.1.9 Assessment Planning Content**

#### ***What information is included in assessment plans? (Assessment only)***

*The Auditor should establish that the following information is provided:*

- *A minimum of: Assessment Title, Date & Time, Duration & Location.*
- *The process for making an appeal in the event of disagreement over the assessment decision.*
- *Agreed assessment methods and evidence requirements should also be indicated.*
- *A summary of the full range of activities in which the candidate shall demonstrate competence during the assessment.*
- *For assessments in relation to competences where a work experience logbook/book/record shall be maintained, the original relevant competence logbook, showing the prerequisite minimum number of countersigned entries, is brought to the assessment event.*

### **3.1.10 Assessment Planning**

#### ***What arrangements does the organisation have in place to plan assessments? (Assessment only)***

*The Auditor should establish the following information is provided where the company maintains their own and/or a client's competence management system:*

- *That the system used records and identifies the assessment requirements for each skill held by each candidate,*
- *That a check of the Managers of the Sentinel Scheme database confirms that the organisation's process functions correctly.*

### 3.1.11 Medical & Drugs Compliance

**How does the organisation confirm, (before each course) that all candidates comply with the relevant Railway Group and Network Rail Standards for Medical and Drug Screening Certification?**

**(Training only)**

*The Auditor should establish that:*

- *Either the Managers of the Sentinel Scheme database holds proof of medical and/or Alcohol and & Drug compliance (where this is available) or*
- *Sponsors/candidates produce, in advance of or at the commencement of the first day of new PTS training, original or authenticated copy certificate evidence that the minimum medical requirements as defined in the relevant Network Rail Standard and NR/L2/OHS/00124, or GO/RT3451 – Train Movement – Staff Suitability and Fitness Requirements, and negative drugs screening as defined in Railway Group Standard GE/RT8070 have been met (an authenticated copy is one which has been endorsed in ink as a true copy by the candidate's NCCA co-ordinator or another accredited representative of the company).*
- *A valid Sentinel Card showing in date medical certification will also be acceptable evidence of compliance in respect of medical requirements.*
- *Under no circumstances will a medical or Alcohol and Drugs test be administered during the course, except for tests administered as part of the 'For cause' or 'Unannounced Testing' process.*

### 3.1.12 Notification of Activity

**How does the organisation intend to confirm that Training Schedules are forwarded to Accreditation Body at the required frequency?**

**(Training Only)**

*The Auditor should establish the following:*

- *A procedure/work instruction should be developed and implemented to support the dispatch of training schedules, by e-mail, to the Accreditation Body in advance of the delivery of the training, schedule dispatch intervals will be agreed by the Accreditation Body in accordance with the size of the organisation.*
- *The organisation shall have in place a procedure which confirms that late changes to schedules are notified to the Accreditation Body as soon as they occur.*

### **3.1.13 Candidate Feedback**

***How does the organisation propose to offer candidates the opportunity to give feedback on the training or assessment event in a manner which affords anonymity if desired by the candidate?***

*The Auditor should establish the following:*

- *End of Course Questionnaires or other suitable means may be used – these shall be supported by a procedure which ensures the periodic review of comments made and the recording of resultant action.*
- *All Trainers and Assessors shall afford candidates an opportunity to give feedback in writing, which is subsequently collated by the training / assessment organisation for review and appropriate action.*

### **3.1.14 Trainer's and Assessor's Competence**

***Do you have a system in place that will confirm the maintenance of Trainer & Assessor competence?***

*The Auditor should establish that:*

- *A procedure is in place to confirm that all of the competences each licensed trainer or assessor holds to support the delivery of the training or assessment remain valid at all times by virtue of their continued participation in relevant aspects of the Trainer's and Assessor's Competence Maintenance Process and is compliant with NR/L2/CTM/202 and the requirements of the specific competencies (derived from the relevant Network Rail standards).*
- *Trainers competence has been maintained to the requirements of the specific competence (derived from the relevant Network Rail standard).*

### 3.1.15 Compliance with Trainer's and Assessors CPD Requirements

***Do you have a system in place that will confirm the Continued Professional Development of all Trainers & Assessors?***

*The Auditor should establish the following:*

- *That a procedure is in place which provides evidence of review of the trainer/assessor's administrative, training/assessment and team activities (maximum interval 6 months).*
- *A record of identified goals / targets for the trainer/assessor's individual attainment/development setting out the support to be afforded in the way of development training and or networking opportunities.*
- *CPD records generated by these activities are maintained using a recognised format, these shall be reviewed and endorsed by a responsible manager at the time of the 6 monthly reviews.*
- *Logged onto the Managers of the Sentinel Scheme database via the website (Track Safety Training and Assessment only).*
- *A record of the Managers of the Sentinel Scheme notification (Track Safety Training and Assessment only) shall be kept with the individual's CPD records.*

### 3.1.16 Alcohol & Drugs Testing and Medical requirements of Trainers and Assessors

***How does your organisation confirm that safety critical workers in the training & assessment team are alcohol and drugs tested in accordance with GE/RT8070 and the Medical requirements of NR/L2/OHS/00124?***

*The Auditor should establish the following:*

- *The organisation has a procedure in place which confirms that testing of a minimum of 5% of the safety critical population is carried out every year.*

*Procedures shall require all trainers, assessors and support staff who are Sentinel Card holders to participate in Network Rail's programme of unannounced Alcohol & Drugs testing.*

- *For single trainer/assessor organisations a random drug test may be impractical, in this case a drug screen with the periodic medical is acceptable.*
- *The organisation has a current contract in place for "For Cause Testing".*
- *The organisation has included trainers and assessors in the process for managing ongoing medicals.*

**Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.**

### **3.1.17 Control of Excessive Working Hours for Persons Undertaking Safety Critical Work**

***How does your organisation confirm that the hours worked by safety critical workers in the training/assessment team are monitored for compliance with the Standard NR/SP/ERG/003 for Working Hours of Staff?***

*The Auditor should establish the following:*

- *A procedure should be in place to confirm that staff working hours are monitored and controlled in line with NR/SP/ERG/003 Control of Excessive Working Hours for Persons Undertaking Safety Critical Work.*
- *Records shall be created of shift duration and pattern for each member of safety critical staff.*

**Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.**

### **3.1.18 Accident Reporting and Investigation**

***What is the organisation's procedure for accident reporting in compliance with the requirements of the Reporting of Injuries and Dangerous Occurrences regulations (RIDDOR) and Network Rail Standard – Accident and Incident Reporting and Investigation (NR/L2/INV/002)?***

*The Auditor should establish the following:*

- *That procedures implemented conform to the requirements of RIDDOR and NR/L2/INV/002 Accident & Incident Reporting and Investigation (and supporting Level 3 Work Instructions and Guidance).*

**Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.**

### 3.1.19 PPE

**How does the organisation confirm, that training/assessment staff are provided with suitable personal protective equipment for use during the delivery of training/assessment?**

*The Auditor should establish the following:*

- *That the employer/sponsor analyses the PPE needs of all training and assessment staff members in the tasks to be undertaken, confirming that these items are available as required and that staff are trained in the use of such items, and confirm receipt of them and that they understand their use.*

**Note: Confirm that training and/or assessment has been included where the supplier has been audited as part of the Link-up Core Audit process.**

### 3.1.20 Course Duration & Candidate Numbers

**How will your organisation demonstrate that training courses are conducted over the duration set out in the licensed training plans and the maximum number of candidates attending a course does not exceed the number set out in those plans?  
(Training Only)**

*The Auditor should establish the following:*

- *Procedures are in place; 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.*
- *An auditable record of attendance\* should be created by confirming that the candidate signs a register for each day of attendance.*

*\*Note: This maybe a separate register for each day or a single register which allows for a candidate signature on day 1 and further signatures or initials on subsequent days.*

### 3.1.21 Candidate Identity

#### ***How will the identity of candidates attending a course be established? (Training only)***

*The Auditor should establish the following:*

- *The procedure in place should require the course register to be used to record the means of photographic identity seen by the trainer.*
- *The serial number of the form of identity should be recorded on the course register or alternatively a copy of the form of identity may be taken.*
- *Where possible a copy of the means of identity produced should be taken, with the consent of the holder who should be asked to sign & date the copy to confirm that consent has been given.*

*(Examples of acceptable forms of identification are: Sentinel card, new style driving licence, CPCS card, passport or company ID card.)*

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.'*

Note: This should be applied to all means of identity reproduced.

### 3.1.22 Ability to Communicate Clearly in English.

**How does your organisation propose to confirm that candidates understand the training given and can communicate to the required standard in the English language?**

**(Training Only)**

*The Auditor should establish the following:*

- *That the procedure implemented requires the trainer to assess the candidate's ability to hold a conversation in English during the introduction to all courses and take action to confirm that the candidate does not undergo training should they be unable to communicate effectively in English.*
- *That the procedure implemented, **additionally** requires the trainer to assess the candidate'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. Candidates who do not meet the standard shall not complete training.*
- *The trainer should record the fact that an unnamed individual did not meet the standard, the location and the date of the training event, providing a summary of the number of occasions monthly via the 'Training Company Monthly Returns' section of the Managers of the Sentinel Scheme database (on or before the 15<sup>th</sup> of the month succeeding the month being reported on).*

### 3.1.23 Training & Assessment Records

**What are the organisations arrangements for the retention of training and assessment records for the required period of seven years?**

*The Auditor should establish the following:*

- *That arrangements are in place for the storage of paper and electronic records for both internal and external candidates (where external training/assessment is undertaken), including re-certification due dates and pass / fail information.*
- *That all records are easily accessible*
- *That arrangements are in place for the recovery of training and /or assessment records; should the organisation cease to deliver.*

*Note: Records may be stored by the individual's name or by course/assessment and can be archived electronically provided that they are easily accessible and are stored in such a way that they cannot be changed, altered or amended in any way once the initial storage activity has been completed.*

### **3.1.24 Question Analysis - Training**

***The pattern of answers given during theory tests shall be recorded and analysed, what arrangements are in place to record, action, review and publish the findings?  
(Training Only)***

*The Auditor should establish the following:*

- *The standard question analysis matrix is used to record both pass / fail rates and wrongly answered questions, with the outputs being used as part of the verification process for continuing trainer development purposes.*
- *That these matrices are reviewed and a record of the reviews created, with matrix spreadsheets being forwarded as required to Network Rail by the designated mechanism.*

*Note: Where a training plan revision initiates changes to theory questions asked, a revised question analysis matrix shall be put in place.*

### **3.1.25 Assessment Outcomes – Assessment**

***The pattern of assessment outcomes resulting from the activities of all assessors shall be recorded and analysed to facilitate verification through systematic sampling (minimum 10% verification), what arrangements are in place to record, action, review and publish the findings?  
(Assessment Only)***

*The Auditor should establish the following:*

- *That an analysis report is produced and used to compare outcomes between assessors as a component of the verification process.*
- *This shall include a review of the assessor feedback, candidate feedback and follow-up action, which should highlight potential development needs.*

### 3.1.26 Trainer & Assessor Competence Maintenance

***How does the organisation comply with the trainer and assessor competence maintenance programme requirement to monitor the quality and content of training delivered & assessments conducted?***

*The Auditor should establish the following:*

- *A procedure is be in place to confirm that training/assessment delivered by each licensed trainer/assessor, is assessed by a competent person\*, on a six monthly basis and logged onto the Managers of the Sentinel Scheme database where this is required.*
- *The monitoring process shall produce an auditable record of the trainer/assessor's activity during the session, measured against a recognised standard; it should include evidence of discussion of an assessment plan prior to the start of the monitoring and the completion of an assessment feedback session on conclusion of the process.*
- *A copy of the observation documents and evidence of Managers of the Sentinel Scheme notification should be kept with the individual's CPD records.*
- *Trainers competence has been maintained to the requirements of the specific competence (derived from the relevant Network Rail standard).*

*\*For training: a competent person is an individual who is an Accreditation Body licensed trainer who also holds an A1 or D32/33 assessment qualification or equivalent or any other individual who holds a recognised training delivery and competence based assessment qualification. For assessment: a competent person is an Accreditation Body licensed competence assessor who holds an A1 or D32/D33 assessment qualification or equivalent).*

### 3.1.27 Verification Process

**How does your organisation meet the requirements of NR/L2/CTM/202 in respect of the Verification of Track Safety Training & Assessment?**

*The Auditor should establish the following:*

- *Verifier selection process relating to competence, and available support.*
- *Verifier approval*
- *Records of Assessor / Verifier approval*
- *A 10% (minimum) sample of all training and assessment records\* generated during training & assessment activity should be verified (minimum 6 months).*
- *A systematic sampling plan for verification, records of results and summary report should be available to be audited.*
- *That an analysis report is produced and used to compare outcomes between assessors as a component of the verification process.*

*\*Training and assessment records include trainer/assessor observations, CPD notifications, administration, course registers, candidate's theory assessment answer papers, trainer / assessor's records of verbal and practical assessment activity.*

### 3.1.28 Standards for Training Facilities

**How will you confirm that the training facilities and equipment and other physical resources are selected and maintained to the required standard?**

**(Training Only)**

*The Auditor should establish that:*

- *That the training venue(s) and equipment chosen meet the requirements of the Network Rail Standard which covers the training being delivered and any other requirements detailed within appendices B&C of this document.*
- *A procedure is in place which confirms that the Trainer prepares the training environment\* and provides adequate resources to support learning of the group, creating a record confirming that safety and equipment checks have been undertaken in advance of each day of each course.*

*\*In line with the requirements of the scheme rules and with the Workplace (Health Safety and Welfare) Regulations 1992 as amended in 2002*

### 3.1.29 Safety Critical Re-certification

***How do you confirm that the candidates offered for re-certification/assessment for all competencies higher than PTS/Lookout have been part of a compliant competence management system involving ongoing assessment and work experience logbook/book/record completion (where required)?***

*The Auditor should establish the following:*

- *The Managers of 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 trained / assessed.*
- *Work experience logbooks/book/records proffered by candidates at the commencement of courses and assessments should show evidence of requisite number of entries and management review.*
- *A record of these checks should be created.*
- *Conforms to competence requirements (derived from relevant Network Rail Standards).*

### 3.1.30 Colour Vision Restrictions

***How does your organisation confirm that the candidates offered for training for competencies that have a normal colour vision requirement in accordance with the medical standards set out in the relevant Network Rail Standard?***

**(Training Only)**

*The Auditor should establish the following:*

- *The sponsor shall confirm in writing that his candidate(s) have tested normal for colour vision, in accordance with the medical standards set out in the relevant Network Rail Standard and NR/L2/OHS/00124.*
- *The procedure should require the Trainer to check the candidate's Sentinel card and state the action to be taken should the card display a blue spot.*

### **3.1.31 Use of Plant and Equipment (P&E) including Safety Critical P&E**

***What are your procedures for managing the use of plant and equipment used on Network Rail Managed Infrastructure and implementing relevant statutory requirements, including the Provision and Use of Work Equipment Regulations 1998?***

*The Auditor should establish that, as a minimum, the organisation is able to demonstrate the following:*

- *Documented procedures for implementing the requirements, including selecting suppliers of services (sub-contractors) using the Link-up suppliers qualification scheme.*
- *List of plant & equipment owned by the company, or hired in and certificates of approval are present where required with unique ID for all equipment.*
- *Relevant competencies are listed on the company CMS.*
- *That maintenance and calibration schedules/logs are in place for the related plant & equipment.*
- *Records of use in the past 12 months.*

## 3.2 Document Control and Change Management

### 3.2.1 Access to Railway Group Standards, Network Rail Standards & Instructions and Other Relevant Publications and Information

#### ***How do you access current Railway Group Standards, Network Rail Standards & Instructions and Other Relevant Publications and Information?***

*The Auditor should establish the following:*

- *Control of documents to confirm that Trainers/Trainees have access to current, relevant publications, Railway Group Standards, Network Rail publications and training materials, where the issuing of these is not the responsibility of the sponsor.*
- *A document control procedure, to confirm that the training and assessment team are made aware of changes in Railway Group Standards and Network Rail Standards, instructions and information (e.g. Sectional Appendix, PONs & Hazard Directory) as appropriate to the training/assessments they are approved to deliver/conduct and that they have access to up to date copies of all of these documents.*

Note: Standards, and other related documentation and information sources are listed in 3.2.2 and Appendix A

**3.2.2 Access to documentation with special relevance for Training & Assessment**  
**Has the organisation access to current editions of the following training / assessment specific documents?**

*The Auditor should establish that current issues of the following are available:*

- *Sentinel Scheme Rules NR/L2/OHS/050*
- *Network Rail Company Standard NR/L1/CTM/001 Competence Management (complimented by NR/L2/CTM/001)*
- *Network Rail Standard Quality Assurance in Training and Assessment NR/L2/CTM/202 Standard*
- *Supplier requirements for the approval of medical assessments and drug and alcohol and screening and certification (NR/L2/OHS/018)*
- *Drugs and Alcohol (NR/L1/OHS/051)*
- *Network Rail Standard Competence & Training in Track Safety (Ref. NR/L2/CTM/021)*
- *Network Rail Standard Competence Specific Medical Fitness Requirements (Ref. NR/L2/OHS/00124)*
- *Developing and Maintaining Staff Competence - Railway Safety Publication No1 - ORR*
- *Railway and Other Guided Transport Systems Regulations SI2006/599.*
- *The Employment National Training Organisation (ENTO) Standards*
- *Training & Assessment DVDs relating to all of those Network Rail approved and licensed training / assessment activities which the organisation delivers.*
- *Subscription to Network Rail Safety Central (Internet based)*

*The above list is not exhaustive, additional Network Rail Company Standards are a mandatory requirement where they cover specific training courses covered by the scheme.*

### **3.2.3 Control of Training & Assessment material**

***The use of Network Rail Licensed training and assessment documentation is mandatory, what procedures has the organisation put in place to control these documents?***

*The Auditor should establish the following:*

- *That Licensed training and assessment material is treated as Controlled Documentation; the organisation shall have document control procedures covering these, with records of issue and receipt to the training and assessment team being generated.*
- *Theory assessment questionnaires shall be bound into secure booklets and have a traceable, uniquely identifiable reference number. The reference number shall be recorded on the candidate answer sheets.*

### **3.2.4 Training and Assessment material review.**

***What procedure has your organisation in place for the review of Training and Assessment material, and provision of feedback relating to it?***

*The Auditor should establish the following:*

*That a procedure is in place to confirm that feedback on training and assessment material is provided in relation to problems arising from the training plan content, tests, assessment documentation and defective questions using the feedback mechanism contained within the Sentinel website.*

### 3.2.5 Training Support Materials

**What are your procedures for the acquisition & distribution of relevant training support materials e.g. Technical manuals/Network Rail Standards, Track Safety Handbooks, Work Experience Logbooks/Records, and Key Point cards?**

*The Auditor should establish that, as a minimum, the organisation is able to demonstrate the following:*

- *Documents referred to are included in the document control process and....*
- *A record of issue of all mandatory documents is created.*
- *Current Track Safety Handbooks are issued to all at the start of each full PTS & COSS course.*
- *That current Key Point Cards are issued to candidates for the course delivered.*
- *That work experience Logbooks/book/records are issued to successful candidates as required by the relevant Network Rail Standard.*
- *That Technical Manuals / Network Rail Standards are issued to candidates for the course delivered where this is required by the training plan.*
- *That post course objective documentation defined in the Network Rail Standard, which covers the competence of trainees is issued to all candidates undertaking initial and recertification training.*

### 3.2.6 Dissemination of significant training and assessment information

**What procedures are in place to confirm that significant information from either, Network Rail, Accreditation Body or the Managers of the Sentinel Scheme is cascaded to all training and assessment personnel?**

*The Auditor should establish that the organisation has provided procedural support for, and confirm implementation of the following:*

- *Briefing relevant information to the training and assessment team.*
- *Recording of briefing and written communications to the training and assessment team.*
- *That each Trainer and Assessor provides an email address to facilitate the receipt of urgent communications and that they are mandated to acknowledge receipt and confirm understanding of important communications received by accessing the Sentinel website at least twice a year.*
- *Procedural support is also required to confirm findings from the verification of training and assessment records are communicated to the training and assessment team to confirm consistency.*

### 3.2.7 Risk Assessments and Work Package Plans

**What are your procedures for the production and review of Risk Assessments and Work Package Plans?**

*The Auditor should establish that, as a minimum, the organisation is able to demonstrate the following:*

- *Documents referred to are included in the document control process and....*
- *A record of relevant staff being briefed on these documents is created.*
- *Confirm that a Risk Assessment Log and Impacts and Aspects Register is in place, where required.*
- *Confirm that the documentation has been managed by someone competent in risk assessments.*
- *That the documentation addresses the following issues: hazardous events, groups of people at risk (employees, contractors, members of the public, etc), the evaluated risk, references to the processes/controls introduced to reduce the risk (COSHH, PPE, First Aid, Manual Handling, etc).*
- *Confirm that the supplier has arrangements in place for adequately interfacing with affected organizations, as a result of any training and/or assessment.*
- *Briefing of Worksafe Procedure*
- *Briefing of CIRAS*

### 3.3 Certification

#### 3.3.1 Card withdrawal

**What is your organisation's procedure for the withdrawal of Sentinel Competency Cards at the commencement of training?  
(Training Only)**

*The Auditor should establish the following:*

- *Cards which are still valid shall be withdrawn at the start of the course and reissued, at the end of the course, pending receipt of a new card, if the candidate is confirmed as competent.*
- *If a candidate fails to demonstrate competence the card shall be retained by the licensed trainer.*
- *A temporary certificate may then be issued for any competencies which remain valid.*
- *Temporary certificates, and abnormal cards presented shall always be checked with the Managers of the Sentinel Scheme.*
- *Out of date cards offered as evidence of identity, medical certification or of PTS competence shall be retained by the trainer, abnormal cards are to be retained by the trainer and sent to the Managers of the Sentinel Scheme for examination.*

#### 3.3.2 Card validation

**The validation of Sentinel Competency Cards and candidate identity at the commencement of the training or assessment?**

*The Auditor should establish the following:*

- *A procedure shall be in place which requires a visual check of the validity of all Competency Certification (including confirmation that the image on the card matches that of the candidate) at the commencement of training or assessment.*
- *The procedure shall include the facility to re-certify an individual whose competence has expired by up to 8 weeks (set out in the relevant Network Rail Standard).*
- *Before the commencement of the assessment the Assessor undertakes a full card check for each card presented (with the Managers of the Sentinel Scheme if the competence record is held by that organisation), invalid competences/cards mean that the assessment shall not proceed.*
- *That validated copies of candidate's lost Sentinel cards, with legible photographic images, are obtained from sponsors in advance of training being delivered.*
- *Following the mandatory card check prior to an assessment, the assessor is required to retain any out of date of date cards (i.e. by virtue of PTS or medical expiry), abnormal cards are to be retained by the assessor and sent to the Managers of the Sentinel Scheme for examination.*
- *Assessors and trainers are also to undertake a check of work experience logbook/book/records, where these are required as a component of competence maintenance, where books have not been completed in the candidate shall be excluded from the assessment / training event.*

### 3.3.3 Training/Assessment Outcome

**What is your organisation's procedure for communications with employers / sponsors / Managers of the Sentinel Scheme regarding training / assessment outcome?**

*The Auditor should establish the following:*

- *The process used results in the candidate's Employer / Sponsor being notified of pass / fail results/assessment outcome as soon as possible after the training/assessment event.*
- *All notifications regarding candidate's attainment of competence or failure to demonstrate competence after training are forwarded to Managers of the Sentinel Scheme within 15 working days of completion of that training (where records of competence are maintained by that organisation).*
- *All notifications regarding delegate's attainment of competence after assessment are forwarded electronically to Managers of the Sentinel Scheme within 15 working days of completion of that assessment.*
- *Where a candidate fails to demonstrate competence, notification to Managers of the Sentinel Scheme is made as soon as possible after the completion of the assessment event and not later than 24hrs after that event.*
- *Certification is withdrawn or suspended if the conduct of the candidate gives cause to suspect lack of competence*

### 3.3.4 Temporary Certificate Control Process

**What procedural controls does the organisation have in place regarding the security, issue and registration of Temporary Track Safety Certificates and Track Induction Temporary Certificates?**

**(Training Only)**

*The Auditor should establish the following:*

*That procedural support is in place requiring Temporary Certificates to only be issued under the following circumstances:*

- *When a candidate has failed to demonstrate competence at a higher level during a test conducted by an Achilles licensed training provider.*
- *For new PTS, Lookout (including Pee Wee and Kango), Bridge Strike Nominee (BSN), Handsignaller, Points Operator and Level Crossing Attendant candidates where there is an absolute and immediate requirement (this includes Track Induction Training events). In this case the training provider shall obtain written confirmation of the need for temporary certification from the sponsor (not required for Track Induction Training).*
- *That all temporary certificates issued are registered by the trainer with the Managers of the Sentinel Scheme at the time of issue and the sponsor advised.*
- *The register used contains the numbers of all certificates held as well as the numbers of those issued and the name and NI number and competencies of the recipient.*
- *Storage is in a safe, or a locked steel box (preferably fire proof), kept in a locked steel filing cabinet or cupboard.*
- *Stock is checked against the certificate register to confirm that there have been no losses, and that these checks are carried out by two persons who both sign the register.*
- *Stock shall be checked, as a minimum, on a quarterly basis.*
- *A procedural statement is required setting out which members of staff are permitted to have access to temporary certificate stocks.*
- *A procedural statement is required setting out which members of staff are permitted to have access to temporary certificate stocks.*
- *A procedural statement is in place covering reporting loss from the possession of the Training Organisation to Network Rail Safety & Compliance and the Managers of the Sentinel Scheme.*
- *Additional reporting to the Police is required in the event of loss being the result of suspected criminal activity.*

*Details can be found in NR/L2/OHS/050.*

*Note: - Loss of completed certificates by individuals not directly employed by the Training Organisation is the responsibility of the Sponsor of that individual.*

- *That certificates spoilt during completion are required to be marked in ink as 'Spoilt' with the word "spoilt" being inserted next to the certificate number on the Certificate Register.*
- *That spoilt certificates shall be retained for assessment purposes.*

*NB Disposal can be effected only with the approval of the AIL Assessor during audit.*

**Appendix A – list of Significant Group Standards / Network Rail Standards**

GE/GN8532*	Guidance Note: Railway Fog Signals
GE/RT8000*	The Rule Book / relevant Modules and Handbooks
GE/RT8047*	Reporting of Safety Related Information
GE/RT8070*	Drugs & Alcohol
NR/L1/OHS/051*	Drugs & Alcohol
NR/L2/OHS/019*	Safety of People Working On or Near the Line
GO/RT3279*	High Visibility Clothing
NR/L2/OHS/021*	Personal Protective Equipment & Workwear
NR/L2/OHS/050*	Sentinel Scheme Rules
NR/L1/CTM/001*	Competence Management (Complemented by NR/L2/CTM/001)
NR/L2/CTM/202*	Quality Assurance in Training and Assessment
NR/L2/OHS/00124*	Competence Specific Medical Fitness Requirements
NR/SP/CTM/011	Competence & Training in Track Engineering
NR/L2/CTM/012	Competence & Training in Signal Engineering
NR/L2/CTM/013	Competence & Training in Telecoms Engineering
NR/L2/CTM/014	Competence & Training in OHL Engineering
NR/SP/CTM/015	Competence & Training in Conductor Rail Engineering
NR/SP/CTM/016	Competence & Training in Fixed Plant Engineering
NR/SP/CTM/017	Competence & Training in Civil Engineering
NR/L2/CTM/018	Competence & Training in Power Distribution
NR/L2/CTM/021	Competence & Training Track Safety
NR/L2/CTM/025	Competence & Training in On Track Plant Operation
RT3170*	Personal Track Safety Handbook (NR publication)
NR/L2/OHS/018*	Supplier requirements for the approval of medical assessments and drug and alcohol and screening and certification.

**\* Mandatory for all Training & Assessment Providers**

## **Appendix B - Minimum Training Establishment Standards**

*These standards are to be used by training organisations as a specification for their own premises and when contemplating the delivery of training at client's premises or hired venues.*

### **1.1 Refreshment / Rest facilities:**

*As a minimum, training establishments shall provide access to refreshments whenever training is being delivered (at least hot drinks and cold drinking water).*

*Separate toilet facilities for male and female delegates should be available, unisex toilets are acceptable provided they are appropriately equipped for the disposal of sanitary items.*

### **1.2 Training rooms and fittings:**

*The standard of decoration throughout the training establishments will be clean and welcoming.*

*Furniture in training rooms will be clean and undamaged.*

*Delivery of Training will normally take place in a purpose designed training room, with the exception of practical activities, (which shall take place in an appropriately configured practical training environment).*

*Training rooms will be of a sufficient size to accommodate the maximum number of delegates attending, in a variety of seating layouts whilst affording candidates a good view of the projected images on screen and of any whiteboards and flipcharts used.*

*Rooms shall be equipped to provide one seat for each delegate and sufficient table space to confirm the effective management of the theory assessment process (minimum candidate spacing 1m 'centre to centre'), to facilitate open book testing and to minimise the possibility of cheating by copying.*

*Circulation areas within both the centre and the training rooms shall be free of all obstructions to enable free movement.*

*Training rooms will have adequate lighting, blinds, heating and ventilation.*

*Signs to and within the training establishment are clear and unambiguous.*

*Posters and other forms of visual communication displayed for the benefit of the candidates shall be up to date and relevant.*

*Evacuation notices are displayed in every room.*

*Arrangement for First Aid and emergency action are to be displayed at the venue and a suitable means of communication shall be available.*

*For site work; first aid arrangements shall be communicated to all present at the training/ assessment event.*

### **1.3 Learning Aids:**

*Training rooms will be equipped with a variety of learning aids.*

*These will, as a minimum, consist of:*

*Electronic Projector and screen*

*Laptop or PC meeting minimum specification*

*DVD Player and TV/Monitor (if required for supporting non standard material)*

*Handouts/note paper Pens or pencils*

*Candidate nameplates (paper, card or plastic are suitable)*

*Range of safety clothing and equipment*

*White board or flip chart and pens*

*Electronic Projectors shall produce a clear, focused image onto a clean screen. TV/Monitors will be of a sufficient size for all of the delegates to see.*

### **1.4 Interview rooms:**

*Each training venue shall have a separated private area to permit the trainer to undertake one to one candidate interviews as part of the assessment process.*

## Appendix C – External Training Requirements

### 2.1 Practical Training Events

#### Points for Consideration

- *Practical training and/or assessment shall be conducted in accordance with the requirements of the relevant Network Rail Standard and related training plans in an environment which meets their requirements, with all delegates having the benefit of a full briefing in respect of the event.*
- *Training organisations shall confirm that they have in place adequate insurance to enable them to undertake the type of training in question, including track visits to the operational railway.*
- *This training shall be risk assessed, with a safe system of work being set up for the event covered by an approved Work Package Plan (method statement), including a COSS briefing where the training is in an operational environment.  
Where the training is conducted within an operational work site the training activity shall be included within the work package plan for that site in accordance with Network Rail Standard NR/L2/OHS/019.  
The work package plan (method statement) should be the subject of periodic internal review and approval (at least annually) to confirm currency.*
- *Licensed Training Providers shall have in place an auditable procedure which confirms that all Licensed Trainers in its employment are fully briefed as to the content of the method statement and familiar with the planned training location.*
- *Candidate numbers for practical events will be restricted to those specified within the training plans.*
- *The planning of all training events shall also address the need to confirm the safety and fitness of all plant, equipment and materials to be used in the practical session, in advance of its commencement.*
- *The training environment shall take in to account the specific practical requirements of the discipline being delivered, details of which are contained within the relevant Network Rail Standard and lesson plan.*

#### NB

- *The location chosen for PTS Training events (track visits) required by relevant Network Rail Standard and related training plans should balance the needs of providing the trainee with a realistic experience of a trackside environment whilst taking into account the risks involved.*

*(An overgrown siding that is well away from any running line may provide a very safe trackside location but will not give the student a true “feel” of being on or near the line. On the other hand, a four-track main line with an intensive*

*service at speeds of up to 125mph may provide the full range of trackside experiences but present too many risks for the trainer to manage with inexperienced trainees).*

- *Where trainees, on attaining competency certification, will generally work on electrified lines their track safety training competence assessment should be undertaken at an appropriately equipped part of the railway, for the PTS DC competency the trainee shall cross the track where an actual third rail, or a realistic simulation of a third rail, exists.*

## **2.2 The Work Package Plan (Method Statement)**

To confirm conformity and consistency of information on training sites a basic format for Work Package Plans (Method Statements) is detailed as follows:

### **2.2.1 – Training Organisation**

- *Name of Training Organisation*
- *Accreditation Body Licence details*
- *A statement confirming that all trainers using the site will make a site visit BEFORE taking out their first group of trainees*

### **2.2.2 – Training Site**

- *Description of the site (including an extract from the Sectional Appendix)*
- *Ordnance Survey Grid Reference for the access and training locations (if different).*
- *Reason for choosing site (note that proximity to training rooms is not a good enough reason in itself - for guidance on sites for Track safety Training events see Accreditation Body - Observation of Track Safety Training; Audit & Random Audit which supports this Audit Protocol.*
- *Photographs of the site demonstrating how it will facilitate compliance with the requirements for the training event(s) to be conducted there.*
  - *For track safety training, these shall include photographs taken looking in each direction along the track and at the access point. This will not only confirm that the training organisation has made a site visit but also assist in validating the chosen crossing point for the 'walkover' test.*
- *Description of how the site will be used (access, supervision/COSS arrangements, activities, etc.)*
- *Arrangements for Green and Red Zone (where required by the training plan) working.*

**Protection arrangements for any site visits shall be planned in accordance with NR/L2/OHS/019 Safety of People Working On or Near the Line**

### **2.2.3 – Risk Assessment**

- *Detailed, site-specific risk assessment(s).*

*Note: No Risk Assessment method is specified but an explanation of the method used should be included. It should detail how risks identified will be controlled and show that hazards have been identified and controls implemented to reduce risks to a level which is "As Low As is Reasonably Practicable" (ALARP).*

*Note also that this is SITE SPECIFIC and as such should include reference to the risks identified in the Network Rail Hazard Directory if the site is on NR infrastructure.*

## **2.2.4 – Emergency Arrangements**

- *Details of emergency arrangements for working at the site*

*This should include, but not be limited to;*

- *The Ordnance Survey reference for the access to the site (six figures minimum),*
- *The precise location of the site, giving street names, road numbers, station names, bridge names or any other known reference points for both the access point and the training location (where these differ).*
- *The location of the nearest Signal Post, Lineside or other Network Rail telephone.*
- *The method of use for the site mobile phone, where this is to be used in lieu of a fixed telephone (including information as to how this can be unlocked for emergency use).*
- *The location of the nearest Hospital, which offers Accident and Emergency Treatment.*
- *The details of the first aid arrangements for the visit.*