



Form no.	Title
TSW 028	Contractors and Suppliers only London Underground Safety on the Track (Medical Component) Medical Assessment for London Underground Certification
TSW 029	Medical and Competence Declaration Form

6 References

6.1 References

6.1.1 LU company documents

Document no.	Title
1-548 (formerly 2-05104-410)	Safety Critical Work
1-552 (formerly 2-05104-432)	Contract QUENSH Conditions
1-601 (formerly 2-05104-411)	Management arrangements to assure medical fitness
1-603 (formerly 2-05201-101)	Audiometric standard for personnel requiring safety on the track certification
1-604 (formerly 2-05201-102)	Vision standard for personnel requiring safety on the track certification
S1605 (formerly 1-605, 2-05201-103)	Providers of medical assessment for track certification and other safety critical certification purposes
5-268 (formerly 2-02401-000)	Fitness standards for operational posts

6.2 Abbreviations

The following abbreviations are created:

- a) within London Underground's Glossary of Terms (1-622) (a Category 1 Standard);
- b) from published sources that are clearly identified.

Abbreviation	Definition	Source
TfL OH	Transport for London Occupational Health	a
CDP	Continuous Development Programme	a

6.3 Definitions

The following topic specific definitions are created:

- a) within London Underground's Glossary of Terms (S1622) (a Category 1 Standard);
- b) from published sources that are clearly identified.



Term	Definition	Source
Depot track safety for LU operational trainers	An LU Operational trainer (including Instructor Operators) trained and certificated in the role of depot track safety, to provide protection for themselves and a group of learners in a depot or siding.	a
Protecting Workers on the Track – Engineering Hours	A person certificated by LU to safely manage worksites and provide protection for themselves and others in Engineering Hours	
Protection Master	A person certificated by LU to provide protection for himself and others on or about the track during a Traffic Hours b Engineering Hours The Protection Masters certificate will be endorsed to show Traffic Hours or Engineering Hours or both.	b
Track Access Qualified	A member of LU staff trained and certificated for track access. This means having passed a Rules & Regulations course for Operating Procedures training and the Continuous Development Programme (CDP) Test of Rules (ATOR)	a
Basic track awareness	A person certificated by LU to be aware of the need for protection when on the track and must be accompanied, when on the track, by a person certificated to at least Protection Master.	b
Track Certification	A process of testing suitability for being on or about the track	a
Depot Track Access	A person certificated by LU to have a detailed knowledge of protection so they can provide protection for themselves in depots and stabling sidings only.	b
LU Individual Working Alone Person (traffic hours)	A Basic Track Awareness person certificated by LU to have a detailed knowledge of protection so he can provide protection only for himself during Traffic Hours.	b

6.4 Person accountable for the document

Person accountable for the document
Occupational Health - Dr Donna Morgans

6.5 Document history

Issue no	Date	Changes	Author
R1	July 2003	First draft for comments & review	RT
R2	Sep 2003	Final draft for comments & review according to the standards change process	RT
R3	Sep.2004	Final draft in response to comments according to the standards change process	MS
A1	November 2004	Issued for use	MS
R4	Nov 2004	First draft revision for audio changes for comments & review	MS
A2	April 2005	Issued for use	MS



Issue no	Date	Changes	Author
R5	August 2005	Paras in section 3 reorganised and new headings added. Title and new question 7 added to form TSW024. "Supervised by responsible doctor" and "print name of supervising doctor" added to forms TSW027 and TSW028. New statements added to TSW027.	SD
A3	Jan 2006	Issued for use	SD
A4	Apr 2008	<ul style="list-style-type: none">• This Standard was renumbered from 2-05102-201 to 1-526, to be in line with the Standards Renumbering Project across LU.• General non-material changes to terminologies and document reference numbers to reflect organisational updates.	Mark Moore
R6	April 2009	Changes made to 3.4.1.3, TSW027 and 6.2 to incorporate Depot track safety LU operational trainers	LH
1-602 A5	December 2009	Issued for use	SD
S1602 A6	November 2011	Standard renumbered, reformatted and revised as per DRACCT No. 00793 to introduce the Medical and Competence Declaration Form and organisational changes updates	SH
S1602 A7	June 2012	Standard revised to omit practical assessment from CPD (DRACCT No 01337) and to update associated forms TSW 027 and 028 due to addition of new level of track certification (DRACCT No 01373)	Dr Donna Morgans
S1602 A8	Sept 2013	Standard revised DRACCT 01972 to update nomenclature of track certification levels (Basic Track Awareness and LU individual working alone and to introduce the TSW 029 medical and competence declaration form.	Dr Donna Morgans
S1602 A9	November 2013	Changes made Section 3.5 to reflect the implementation of the new TSW029 as per DRACCT No. 02250.	Sharon Tidman
S1602 A10	April 2014	Change made to include a new level of certification's medical requirements – Depot Track Access as per DRACCT No. 02343.	Dr Donna Morgans



7 Appendix

London Underground Ltd REFRESHER TRAINING FOR TRACK RECERTIFICATION (TSW 024)

Name _____

Location _____ Grade _____ DOB _____

Employing Company _____ Staff Number _____

Present certification level: (Please tick): Basic Track Awareness ☐ Track Access Qualified ☐
LU Individual Working Alone ☐ Protection Master ☐
Protecting Workers of the Track – Engineering Hours ☐ Depot Track Access ☐

MEDICAL FITNESS - SELF-ASSESSMENT QUESTIONNAIRE

Your own safety and the safety of others is your responsibility

Please study the following questions. Tick a YES or NO answer in the box provided.

If you answer any question with a YES then discuss with your employing manager who may wish to discuss the problem with the company medical adviser.

		YES	NO
1	Have you ever had blackouts or dizziness, or do you suffer from epilepsy?		
2	Do you get chest pain or breathlessness, or have difficulty climbing a single flight of stairs?		
3	Do you have difficulty moving rapidly over a short distance (10 m)?		
4	Do you have problems looking over either shoulder?		
5	Are you receiving any treatment or undergoing any investigations for a medical problem (that your manager has not been advised of)?		
6	Are you taking any medication or injections for any reason (that your manager has not been advised of)?		
7	Vision - Do you suffer from any disturbance of normal vision?		
	If you wear corrective lenses, do you rely on these to undertake your work?		
	When was the date of your last eye test? _____		
8	Hearing - Do you suffer from any problems hearing conversation in normal circumstances?		
9	Do you suffer from any disability or medical condition that could affect your ability to work safely on the track at any location required during your employment?		
10	Have any restrictions been placed on your employment by your company's medical Advisor or London Underground Occupational Health? (If so, please give details below).		

Refresher Training Medical Assessment Arrangements

TfL (including Tube Lines) and LUL staff who reach ages 20, 25, 35 will complete confidential medical assessment questionnaires [PAA1] (which is different from this questionnaire) screened by TfL Occupational Health or an approved Occupational Health provider and undergo medical examination on reaching ages 30, 40, 45, 50 55, 60 and 63 and annually after 65 years.

Contractors/Suppliers require a medical re-examination at 5-yearly intervals through to age 60, at age 63, and annually over 65 years.

Medical assessment is required by all staff moving from Basic track awareness to a higher level of Track certification.



Approximate date of last medical assessment for track training: _____

Please list any restrictions:

Medical and Competence Declaration Form TSW 029

London Underground – Safety Training

TFL, LU and Suppliers

Medical and Competence Declaration Form

Delegate Name: _____ Location: _____

Employing Company: _____ Grade: _____

Employee/N.I. Number: _____ D.O.B: _____

Title of Course: _____	Date of Training: _____
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Declaration by delegate:

To the best of my knowledge I am medically fit to attend the above course, I have been given my joining instructions and received a briefing from my manager regarding the course outline.

Signed (Delegate): _____ Print Name: _____ Date: _____

Declaration by Manager:

I have reviewed the above member of staffs' medical documents and can confirm that they are in date and to the required standard to attend the above safety on the track training course. I can also confirm that he/she has the required competencies to attend the above safety on the track training course. I have given him/her their joining instructions and I have briefed them on the course outline.

Signed (Manager): _____ Print name: _____ Date: _____

Note:

This form covers all safety on the track training courses.

It does not negate the need for medical assessment forms to be valid (this is the responsibility of the manager to ensure that this is in place). Associated medical forms do not need to be presented to the training establishment.

This form is valid for three months from the date signed by the manager and delegate. If training has not taken place within this timescale then a new form must be completed. This form must be kept with other records relating to track safety training and will be required for audit purposes.

It can be a fax copy and must be presented to the training establishment preferably at the start of the course, but at least before any practical assessment or certification is conducted.



TfL and LU Employees only (TSW027)

LONDON UNDERGROUND LIMITED SAFETY ON THE TRACK (MEDICAL COMPONENT)

MEDICAL ASSESSMENT FOR LONDON UNDERGROUND

Surname (Print) Forenames DOB

Address Tel.

Job title Employee number

Employing Manager Tel.

Employing Company Address

Level of certification required (Cross through boxes NOT required)

Basic Track Awareness	Depot Track Access	LU Individual Working Alone	Protection Master	LU Protecting Workers on the Track – Engineering Hours (PWT- EH)
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Medical assessments for all areas must be undertaken by London Underground Occupational Health or approved provider of medical assessments

COMPLETE A, B or C (delete statements not applicable)

A) I HAVE EXAMINED (Name) to the medical Standard required by LU.
Medical examination (supervised by Responsible Doctor – Category 1 standard 2-05201-103)

B) I HAVE REVIEWED THE RESULTS OF THE MEDICAL EXAMINATION OF (name)
UNDERTAKEN ON/...../..... to the medical standard required by LU

C) I HAVE REVIEWED THE SELF ASSESSMENT QUESTIONNAIRE TSW024 OF
(name)

in conjunction with the medical record of their most recent medical examination undertaken on
...../...../..... to the medical standard required by LU

***He or she meets / does not meet the required Standard (*Delete statement not applicable)**

NB: If the person fails to meet the LU Individual Working Alone standard, but meets the standard for Basic Track Awareness, please enter details below:

Please tick box if glasses required whilst on duty ☐ Please tick box if colour vision deficiency ☐

Signature of person undertaking medical assessment / review

(Print name) (Print Job Title)

Date of examination/ review/...../.....

PRINT Name of RESPONSIBLE Doctor

MEDICAL PROVIDER STAMP	DATE STAMP	ORIGINAL COPY (GREEN) STAMP

FOR MEDICAL EXAMINATIONS ONLY

I HAVE BEEN MEDICALLY EXAMINED ON THE ABOVE DATE (Signed.....)

Note: Where training takes place more than three months from the date of signature by the medical assessor, a medical Self Assessment form TSW 024 must be completed and accompany this form. This form must be kept on staff record on completion of training. It will be required for audit purposes



Contractors & Suppliers only (TSW 028)

Surname Forenames DOB
Address Tel.
Job Title Employing Manager
Company / Contracts Manager Name Tel.
Address / Location
Date and time of appointment

Level of certification required (Managers/project managers cross through boxes NOT required)

Basic Track Awareness	Depot Track Access	LU Individual Working Alone	Protection Master	LU Protecting Workers on the Track – Engineering Hours (PWT- EH)
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Project / Contracts Manager please enter Trading Agreement / Contract No

Cost Centre No Name of Designated Manager

PER No.....

I accept responsibility for payment of invoice(s). Signed

Medical assessment for all areas must be undertaken by London Underground Occupational Health or approved Occupational Health provider.

Medical examination (supervised by Responsible Doctor – category 1 standard ref: S1605):

I HAVE EXAMINED (Name)..... to the medical Standard required by LUL.

*He or she **meets / does not meet** the required Standard (*Delete statement not applicable)

NB: If the person fails to meet the LU Individual Working Alone standard, but meets the standard for Basic Track Awareness, please enter details below:

Please tick box if glasses required whilst on duty ☐ Please tick box if colour vision deficiency ☐

SIGNED

Print name Print Job Title.....

Date of examination / review

PRINT NAME OF RESPONSIBLE DOCTOR.....

MEDICAL PROVIDERS STAMP	DATE STAMP	ORIGINAL COPY (GREEN) STAMP

I HAVE BEEN MEDICALLY ASSESSED ON THE ABOVE DATE (Signed).....

Note: This form is valid for five (5) years from the date signed by the medical assessor for medical requirements up to age sixty (60), then valid for the intervals thereafter as detailed on page 1 of S1602. Where training takes place more than three months from the date of signature by the medical assessor, a medical Self Assessment form TSW 024 must be completed and be retained with this form. This form must be kept on staff record on completion of training. It will be required for audit purposes.



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APPENDIX 6

The Authority - Decision to hire with criminality adverse reference or compliance alert

Name of Applicant		Applicant No.	
Role applied for		Hiring Manager	
Adverse disclosure	Basic: Disclosure <input type="checkbox"/>	DBS Standard <input type="checkbox"/>	DBS Enhanced <input type="checkbox"/> Reference: <input type="checkbox"/>
	Security Clearance <input type="checkbox"/> state level:		Other <input type="checkbox"/> state:
Date of disclosure			
SECTION 2: Risk Assessment			
Applicant meets essential criteria for the post (knowledge, skill, experience)		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Has the applicant ever been dismissed from any GLA functional body: check System)?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Does the position fall under the exceptions listed in the ROA 1974?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is the nature of the adverse disclosure directly relevant to the role?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Details of offence/disclosure/issue Date of offence/disclosure/issue: Offence code if applicable: Date of conviction: Penalty, financial, prison or otherwise Was there a custodial sentence? Details:			
Considering the offence/disclosure, I summarise the risks associated with this role as follows (include duty of care and perceived level of risk) VERY LOW LOW MEDIUM HIGH (please circle one) Please comment on your selection:			
Has the Contract Manager contacted Legal Services, if YES, what advice has been received and by whom? If advice received, please attach. Note:, referral to Legal Services is optional		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have the Service Provider's Compliance team been consulted, if YES, what advice has been received and by whom? If written advice received, please attach.		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Mandatory: Have the following personnel been informed: Contract Manager Y / N, Service Provider's Recruiter Y / N			
Are the relevant offence(s) spent or unspent as defined by the Rehabilitation of Offenders Act (ROA)? Note: If the offences are Spent, they must be ignored and this form destroyed, except, for defined roles (usually concerning children or vulnerable adults) as stated in the ROA		Spent <input type="checkbox"/>	Unspent <input type="checkbox"/>
If applicable, did the applicant declare the relevant offence(s) on their application?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If applicable, does the information provided by the applicant match that on the disclosure?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have all required references been received if required?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is the offence a terrorist or firearms offence, if YES this must be referred to Head of Legal Services		Yes <input type="checkbox"/>	
If required or available, what did the references say about the applicant's suitability for the post?			

Statement from the Service Provider's Recruiter on the applicant's view and response to being asked about the alleged offences /adverse disclosures including their attitude towards them and the Recruiter's comments on engaging the Temporary Worker:

SECTION 3: Decision: Hiring Manager and the Authority's Contract Manager

Declaration: Having considered the completed Risk Assessment and the duty of care towards the individual, customers and employees, I have decided that the applicant does* / does not* constitute sufficient risk and should* / should not* be offered this post. * delete as appropriate

Reason for decision:

Signed (required) Hiring Manager: (type name)

Date

Signed (required) the Authority's Contract Manger (type name)

Date

APPENDIX 7

The Authority's Workplace Principles

Appendix 7 **Working at the GLA Group – Workplace Principles**

This document applies to all agency-supplied Temporary Workers who work on assignment with the GLA Group.

For the purposes of this document, The GLA Group means any Functional Body of the GLA or authority or contracting partner including Transport for London, , The London Fire Brigade, The Greater London Authority, The London Legacy Development Corporation, Old Oak and Park Royal Development Corporation.

A Temporary Worker can operate and be paid in one of three ways:

- On a PAYE basis, where the agency is responsible for statutory payments such as tax or NI, or the application and accrual of holiday pay
- Through an 'Umbrella' company (which must comply with the audit requirements of the agency)
- Through a UK Limited Company (of which the Temporary Worker must be a director)

The GLA Group expects all people to behave in a way that reflects the GLA Group's values and expectations as set out in these Workplace Principles. The Temporary Worker should comply with these Principles and should be aware that any failure to adhere to them may result in the termination of their Assignment with the GLA Group. If the Temporary Worker has any queries about the Principles he/she should refer their query to their nominated agency contact which sets the objectives for the temporary assignment

General Conduct

1. The Temporary Worker is required to behave with a high standard of integrity in business and commercial relationships and to treat all the GLA Group personnel, customers and anyone else with whom the GLA Group has dealings with dignity, fairness and respect.
2. The Temporary Worker must perform their duties diligently and must deal with members of the public sympathetically, efficiently, promptly and without bias.
3. The Temporary Worker must comply with all working procedures and safety instructions relevant to their Assignment, as notified to them by your nominated agency contact.
4. The Temporary Worker must avoid engaging in activities that may bring disrepute or damage upon the GLA Group, even where such conduct occurs outside of their GLA Group workplace.

Health and Safety

The GLA Group's customers, employees and suppliers have an expectation that when using or delivering our services they will remain harm free. Our vision is a harm free environment for all. The GLA Group is committed to meeting that vision and these expectations.

The GLA Group will ensure that our employees, agency staff and contractors go home healthy and safe every day, we maintain our assets and deliver projects safely without harming the environment wherever possible.

5. The GLA Group seeks to maintain a safe physical environment for all, including emergency procedures that are regularly updated. The Temporary Worker is responsible for familiarising themselves with all procedures applicable to their work as notified to them by their nominated agency contact.
6. The Temporary Worker must comply with health and safety requirements that are applicable to their work, and must proactively seek to remove or mitigate any health and safety risks in their working environment in order to ensure a safe physical environment for all.

Alcohol and the workplace

7. The GLA Group operates a zero-tolerance approach to alcohol to minimise any safety risks to customers, its employees and Temporary Workers. It is therefore the Temporary Worker's responsibility not to come to work if they are under the influence of alcohol in any way. The consumption of alcohol prior to commencing work, whilst at work or during meal/rest breaks in the working day, including meal/rest breaks spent outside the GLA Group / operational premises or when on call, is strictly prohibited.

8. The Temporary Worker:

- 8.1. Must not bring alcohol onto the premises, the only exception being where alcohol has been purchased during breaks for consumption away from company premises. On these occasions the seal must remain intact. If you are working for London Underground Ltd or London Rail or at any of their locations, or a Police force a more stringent requirement applies and you must not buy alcohol whilst on duty nor bring alcohol onto the premises.
- 8.2. Be mindful that some medication may contain alcohol or may cause drowsiness and therefore the worker should inform both their nominated agency contact and direct line manager if they are taking any medication that contains alcohol or may cause drowsiness.
- 8.3. If called upon in an emergency while off duty and when they have been drinking, the Worker must inform the nominated agency contact and their direct line manager of their alcohol consumption.

Drugs and the workplace

9. The GLA Group also operates a zero-tolerance approach to the misuse of drugs or use of illegal substances. The misuse, possession, consumption, storage (except for those prescribed and available without prescription), purchase or sale (or offer to purchase or sell) drugs or illegal substances on any GLA Group premises, or the provision of services under the influence of drugs or illegal substances will lead to the termination of Assignment.

10. The Temporary Worker:

- 10.1. Must advise their nominated agency contact and direct line manager if they are taking medicine, pills or drugs likely to impair work performance or if they have a misuse of drugs or misuse of illegal substances related problem.
- 10.2. Must not consume or use illegal drugs at any time, whether on duty or not, so as to ensure they are not under the influence when reporting for duty, providing services for the GLA Group or when on GLA Group premises; and,
- 10.3. Must not possess, store (except for those prescribed and available without prescription), or sell drugs or illegal substances on the GLA Group premises or in vehicles, or bring the GLA Group into disrepute by being involved in such activities outside work.

Smoking and the workplace

11. Smoking including the use of Electronic Cigarettes (vaping) is prohibited in all the GLA Group workplaces and during any meetings attended by a Temporary Worker on the GLA Group's behalf regardless of location. The work place includes such areas as reception, lifts, staircases, corridors, cloakrooms, toilets, storerooms, recreation/rest rooms, kitchen areas and canteens, vehicles owned by or leased to the GLA Group and its subsidiaries and driven by employees for business purposes.

Electronic Communications and Equipment Usage

12. Electronic mail (email), the The Intranet and the Intranet are essential business tools for the GLA Group which the Temporary Worker must use effectively and appropriately, whether the Temporary Worker is accessing these tools through using their own equipment or using equipment provided by the GLA Group.
13. All Information and Communications Technology (IT) equipment, in whatever form, relating to the GLA Group's business activities and all information handled by the GLA Group relating to other organisations with which it deals, is subject to this policy.

This includes but not limited to the following: any computer (including laptops and tablets issued for off-site use), mobile and handheld or body devices (e.g. Two Way Radios, Body Worn Cameras etc.), server or network equipment and any telephone handset, switchboard or voice network provided or supported by the GLA Group. It also includes any data stored, processed or transmitted on such networks and data/programs stored on the GLA Group's computer systems or on magnetic or optical storage media that is owned and/or maintained by the GLA Group. This principle extends to any computer equipment used by the Temporary Worker whether it belongs to them, to the GLA Group, or a third party, when it is used to work on the GLA Group's business whether on the GLA Group's premises or elsewhere.

14. The GLA Group reserves the right to monitor and/or record individual use of IT facilities for legitimate purposes to protect against misuse and to ensure system and operational efficiency and integrity. It reserves the right to access individual accounts in circumstances where it has a reasonable belief that there has been a breach of this policy.
15. The Temporary Worker should therefore have no expectation of privacy whilst using any GLA Group IT device, product or facility. Copies of emails, text messages and or communication may be disclosed to third parties for legal reasons.

16. The Temporary Worker:

- 16.1. Must ensure that they do not download, create or transmit material that is abusive or threatening to others or might be regarded as offensive on the basis of personal characteristics such as race, sex, colour, religion, nationality, gender, disability, sexual orientation or age. Where such material is received or stored on personal equipment and brought into the workplace, the Temporary Worker must not show, print, forward or transfer such material on to the GLA Group equipment whilst on GLA Group premises;
- 16.2. Must notify their nominated agency contact immediately if any such material is accessed accidentally;
- 16.3. Must use the GLA Group's facilities for business purposes only but may use them for limited personal use provided this does not interfere with their Assignment
- 16.4. Keep passwords confidential, not write them down or disclose them to other Temporary Workers, workers or employees, including IT Temporary Workers and employees, and ensure that PC/terminals are locked if left unattended;
- 16.5. Must not attempt to circumvent any security controls, determine or identify passwords or breach conditional access systems, whether belonging to the GLA Group, its suppliers or third parties;
- 16.6. Must not use or attempt to use IT facilities or attempt to access data they are not authorised to use or access; and,
- 16.7. Must not retain the GLA Group information on any non-GLA Group equipment at the end of their Assignment unless authorised to do so.
- 16.8. Must report any data breach to their manager immediately and in case within 24 hours to give time for the manager and The GLA Group to comply with reporting requirements required by the Information Commissioner

Social Media

17. GLA Group Temporary Workers are encouraged to participate in dialogue on internal networking platforms; however, they must act in accordance with the GLA Group behaviours and all other policies that govern our actions at work. For example, the Temporary Worker should not insult other GLA Group Temporary Workers, workers or employees, or upload any inappropriate material.
18. On non-GLA Group social media platforms, the Temporary Worker must not publish or discuss information not approved for public release, refer to their own opinion as being that of the GLA Group's or appear to represent the GLA Group's official view on any topics. Such messaging is conveyed only by official GLA Group channels of communication.
19. The Temporary Worker must not post any confidential or sensitive information related to GLA Group employees, customers or suppliers without their permission and where the information may amount to sensitive, personal data, must not do so without the prior consent of the individual.
20. The Temporary Worker must not react or respond to posts or to a third party's attempt to start conversations about the GLA Group. If the Temporary Worker is made aware of potentially damaging conversations, he/she should alert the Press Office.

21. The Temporary Worker must take care when mixing personal and professional life in the social media world as lives can easily intersect. The GLA Group respects the right for its entire people to speak freely, but they must remember that the GLA Group employees, customers and suppliers may have access to material posted online. This should be kept in mind when publishing information online that can be seen by or reposted in an unrestricted environment on other social media.

Attendance

22. Where the Temporary Worker agrees to carry out work at a particular time, for example to attend a meeting, they must always:
 - 22.1. Attend on time at the appropriate place and ensure that they are not late or absent without good cause;
 - 22.2. If they are unable to attend work at a contractually agreed time or unable to deliver work on an agreed date, they should inform their nominated agency contact and direct line manager by telephone as soon as possible; and
 - 22.3. Confirm the reason for their absence in writing to the their nominated agency contact and direct line manager

Equality, Diversity & Inclusion

23. The GLA Group is committed to equality and inclusion and values the diversity of its people, customers and suppliers. The Temporary Worker must display and encourage in others a behaviour that contributes to an environment where everyone is treated fairly, equally and with dignity and respect.
24. The Temporary Worker must ensure that their behaviour at work does not discriminate against or harass others

Bullying and Harassment

25. The GLA Group values the existence of a safe and supportive working environment and expects the Temporary Worker to behave in a professional, responsible, moderate and sensitive manner in dealings with others.
26. The Temporary Worker:
 - 26.1. Shall understand that bullying and harassment will not be tolerated and that unacceptable language and behaviour will be challenged;
 - 26.2. Should they become aware of any potentially offensive material in the workplace for example photographs, posters, postcards, email or Internet material, ensure that is not displayed or circulated;
 - 26.3. Co-operate with any fact finding process into bullying or harassment, including attending fact finding meetings, irrespective of whether or not they have been directly involved themselves; and,
 - 26.4. Raise any concerns about inappropriate conduct in the workplace with their nominated agency contact and direct line manager.

Business Ethics

27. As a public sector organisation, the GLA Group requires the Temporary Worker to act with integrity, impartiality and honesty. The Temporary Worker must not use their authority or position for personal advantage or against the GLA Group's public interest. In particular, the Temporary Worker should:
- 27.1. Handle internal and external business affairs with complete integrity without reference to personal interest;
 - 27.2. Inform the GLA Group in writing if they have any personal interest that might affect, or could be seen by others to affect, their impartiality in dealing with customers, suppliers, contractors or members of the public or in discharging their responsibilities under the Assignment;
 - 27.3. Reject any business practice which might reasonably be deemed improper;
 - 27.4. Follow the letter and spirit of the law, guidance from appropriate professional institutions or bodies, good business practice and contractual obligations; and
 - 27.5. Not deceive or knowingly mislead customers, the public, senior managers or managers, GLA Group employees, workers or other Temporary Workers.

Confidential Information

28. The Temporary Worker should not disclose sensitive or confidential information about the GLA Group, other than that required by the normal course of their Assignment, unless expressly authorised to do so, in writing, by the GLA Group.
29. The Temporary Worker should not use any confidential information, whether technical, commercial, financial, personal or other, for personal gain or against the GLA Group's interests, or pass it on to others who might use it in this way.

Please provide the following and return to the Service Provider (or verify online):

Full Name:

Date:

Signature:

APPENDIX 8

NOT USED

APPENDIX 9

The Authority - Compliance pre-engagement screening matrix

TRANSPORT for LONDON

Pre - engagement Screening Matrix for Temporary Workers

TfL Functional Departments		Identity checks & right to work	Proof of address	Employment history	Occupational Health questionnaire	Occupational Health medical (if questionnaire flags up issues)	Basic DBS disclosure	Enhanced DBS disclosure	Qualifications (inc drivers licence) and / or professional membership verification	Financial Probity	Government Security
A	Operational Staff - including Stations/Trains/Revenue Protection Inspectors & Apprenticeships	x	x	x	x	x	x				
B	Operational Staff - Bus Drivers/Drivers	x	x	x	x	x	x		x		
C	Operational Staff - Dial a Ride	x	x	x	x	x		x	x		
D	Engineering Roles - specifically stated by hiring manager	x	x	x	x	x	x		x		

E	Administration and support staff including other functional and Head office roles	x	x	x			x				
F	Named administrative and support staff including other functional and Head Office roles in contract appendix and as instructed - Financial Probity Checks	x	x	x			x			x	
G	Administrative and support staff including other functional and Head Office roles - Qualifications / Prof Membership	x	x	x			x		x		
H	Named Administrative and support staff, engineering staff including other functional and Head Office roles in contract appendix and as instructed - Qualifications / Prof Membership & Financial Probity	x	x	x			x		x	x	
I	Administrative and support staff including other functional and Head Office roles - Basic Disclosure - Working with Members of the Public / Dealing with Money	x	x	x			x				
J	Office roles - Enhanced Disclosure - Working with Children / Vulnerable Adults	x	x	x				x			
K	Administrative and support staff including other functional and Head Office roles - Government Security	x	x	x			x				x
L	Managers, Senior Managers and Directors	x	x	x			x				
M	Managers, Senior Managers and Directors - Qualifications / Prof membership	x	x	x			x		x		
N	Managers, Senior Managers and Directors - Qualifications / Prof membership & Financial Probity	x	x	x			x		x	x	
O	Managers, Senior Managers and Directors - Basic Disclosure - Working with Members of the Public / Dealing with Money	x	x	x			x				
P	Managers, Senior Managers and Directors - Enhanced Disclosure - Working with Children / Vulnerable Adults including Occupational Health hires	x	x	x				x			
Q	Managers, Senior Managers and Directors - Government Security	x	x	x			x		x		x

HR Services				
METROPOLITAN POLICE SERVICE				
Pre - engagement Screening Matrix for Temporary Workers	LEVEL 1 (BASIC)	LEVEL 2	LEVEL 3 (HIGHEST)	ADDITIONAL
	Counter Terrorist Clearance - (NPPPV2) - CTC	Security Clearance (NPPV3) - SC	Developed Vetting (DV)	STRAP
MPS Functional Departments				
Professional	x	CLEARANCE NOT JOB SPECIFIC	CLEARANCE NOT JOB SPECIFIC	CLEARANCE NOT JOB SPECIFIC
Technology Professionals	x			
General & Admin	x			
Ex-Officers	x			
Finance	x			
Health	x			

HR Services																			
LONDON FIRE BRIGADE																			
Pre- engagement Screening Matrix for Temporary Workers					Basic Criminality check (Basic Disclosure Scotland BDS)	Identity checks & right to work	Proof of address	Employment history	Occupational Health questionnaire	Occupational Health medical (if questionnaire flags up issues)	Basic disclosure	Enhanced DBS disclosure	Qualifications (inc drivers licence) and / or professional membership	Financial Probity	Government Security				
					LFB Functional Departments														
					Accountancy				X	X	X	X			X			X	
					Admin & Secretarial				X	X	X	X			X				
					Admin & Secretarial				X	X	X	X			X				

Commercial/Proc/QS	x	x	x	x			x				
Health & Safety	x	x	x	x			x				
Human Resources	x	x	x	x			x				
Information Management	x	x	x	x			x				
Legal	x	x	x	x			x				
Marketing	x	x	x	x			x				
Medical	x	x	x	x				x	x		
Project Management	x	x	x	x			x				
Planning	x	x	x	x			x				
Risk	x	x	x	x			x				

GLA, OPDC, LLDC

Pre- engagement Screening Matrix for Temporary Workers

GLA Functional Departments

	Basic Criminality check (Basic Disclosure Scotland BDS)	Identity checks & right to work	Proof of address	Employment history	Occupational Health questionnaire	Occupational Health medical (if questionnaire flags up issues)	Basic disclosure	Enhanced DBS disclosure	Qualifications (inc drivers licence) and / or professional membership	Financial Probity	Government Security
Accountancy	x	x	x	x			x			x	
Admin & Secretarial	x	x	x	x			x				
Admin & Secretarial	x	x	x	x			x				

Commercial/Proc/QS	x	x	x	x			x				
Health & Safety	x	x	x	x			x				
Human Resources	x	x	x	x			x				
Information Management	x	x	x	x			x				
Legal	x	x	x	x			x				
Marketing	x	x	x	x			x				
Medical	x	x	x	x				x	x		
Project Management	x	x	x	x			x				
Planning	x	x	x	x			x				
Risk	x	x	x	x			x				

MOPAC				
Pre- engagement Screening Matrix for Temporary Workers	CounterTerrorist Clearance (NPPV2) - CTC	Identity Checks and Right to Work	Proof of Address	Employment History
All roles	x	x	x	x

APPENDIX 10

The Authority Financial Probity and Qualification checks/validation

1. Financial Probity requirements

The Service Provider shall check and provide financial probity checks in every case for roles with the following job titles and in addition, provide financial probity checks for any role when requested by The Authority. Request for checks outside of this list will be via The Solution or via Email to The Service Provider.

Checks are to commence before the worker begins their assignment.

For clarification, this requirement currently applies to workers across the GLA Group:

Commercial Accountant
Commercial Finance Analyst
Technical Accountant
Capital Accountant
Accounts Clerks
Accounts Manager
Accounts Supervisor
Assistant Accountant
Senior / Lead Analyst
Tax Accountant
Tax Manager
Senior Credit Controller
Credit Controller
Finance/Accounts Officer
Finance/Accounts Assistant
Financial Operations & Performance Mgr
Financial Operations Assistant
Business Accounting Manager (Engineering)
Business Operations Officer
Finance Mgr
Senior Finance Manager
Group Financial Accountant/Manager (Qualified)
Principal Group Financial Accountant
Financial Controller
Senior Internal Auditor
Internal Auditor
Investment Support Analyst
Investment Analyst
Investment Analyst (Qualified)
Payroll Manager

Payroll Specialist
Senior Project Accountant
Project Accountant
Reconciliation Clerk
Senior Accountant
Systems Accountant
Senior / Lead Systems Accountant
Treasury Accountant
Senior / Lead Treasury Accountant
Asst Finance BP
Asst Finance BP (qualified)
Finance BP (formerly MA)
Management Accountant
Senior Finance BP (formerly MA)
Senior Management Accountant
Financial Accountant (Qualified)
Senior/Lead Financial Accountant (Qualified)
Cost Assistant
Cost Manager
Programme Controls Manager
Project Controls Manager
Working Capital & Forecasting Mgr
Working Capital & Forecasting Support Mgr
Payroll Integration Lead
Payroll Systems Administrator
Finance & Procurement Lead
Business Analyst
Finance Programmes Manager
Senior Credit Controller
Credit Controller
Assistant Credit Controller
Senior Contract Manager
Contract Manager
Contract Lead
Assistant Contract Manager
Contract Analyst
Contract & Finance Manager
Contract Performance Mgr
Contracts Auditor (higher)
Senior Commercial Lead
Senior Commercial Manager
Commercial Manager
Assistant Commercial Manager

Commercial Assistant
Estimating Manager
Estimating Specialist
Franchise Manager
Senior/Lead Quantity Surveyor
Quantity Surveyor
Assistant Quality Surveyor
Licensing Manager
Category Manager
Senior Claims Manager
Claims Manager
Assistant Claims Manager
Senior Cost Manager
Cost Manager
Senior Procurement Manager
Procurement Specialist
Procurement Manager
Procurement Officer
Procurement Assistant
Senior Buyer
Buyer/Procurement Agent
Project Commercial Manager
Utilities Contract Commercial Manager
Bid Manager
Internal Auditor
Risk Manager
Risk Analyst
Risk Advisor
Risk and Opportunities Manager
Security Auditor
Senior Internal Auditor

About the check

A financial probity check will ensure that candidates have no history of financial mismanagement when recruiting temporary workers to the handling of money, accounts, commercial and auditor roles and sensitive data.

The check must include:

1. County Court Judgements (CCJs)
2. Bankruptcies, voluntary arrangements, decrees and administration orders
3. The check must consult the candidate's electoral roll registration to confirm their current address.

The check will be a UK check only except in cases where the candidate has been resident in other countries in the last 5 years and in that case, an international financial probity check will be carried out..

A record shall be kept of the check and the result and the Authority shall retain the right of audit.

Where an adverse result it obtained the service provider must share the result with the Authority's recruitment manager within 3 days or receipt.

2. Qualification checks and qualification verification checks

The following will be viewed by the Service Provider and the copies taken and retained by the Service Provider for the duration of the Service Provider's contract with The Authority that shall have the right of inspection at any time:

1. Where named as essential or not named as desirable: Educational qualifications, occupational or other certifications, licences, where stated as essential on the job description or listed or stated as part of the job briefing or where named on the via e-form
2. Where named as essential or not named as desirable: Professional memberships, occupational memberships where stated as essential on the job description or listed or stated as part of the job briefing or where named on the via e-form

Qualification and membership validation

For the critical roles listed below, in addition to points 1 and 2 above, the Service Provider will seek validation with the professional institute or issuing body for the following roles where occupational certifications and/or memberships are deemed critical and are held by the individual, in addition, any other named role requested by The Authority.

Request for checks outside of this list of roles will usually be via a note on The Solution.

Medical
Nursing Technician or any Nurse
Consultant Occupational Physician
Doctor
Counsellor
Trauma Practitioner
Flu Nurse
Health Care Assistant
Junior Doctor
Medical Advisor - Employment Screening
Clinical Nurse
Occupational Health Nurse
OH Physiotherapy Manager (Consultant PT)
OH Senior Physiotherapist (Senior 1/Clinical Specialist)
Physiotherapist
Rehabilitation Physiotherapist (Senior 2)

Senior Clinical Nurse
Senior Occupation Health Nurse
Audit:
Audit Manager
Internal Auditor
Security Auditor
Senior Internal Auditor
Legal:
Head of Legal Services
Principal Lawyer
Legal Services Manager
Senior Associate Lawyer
Associate Lawyer
Senior Lawyer
Lawyer
Senior Principal Lawyer
Engineering/risk/safety/site:
H&S Site Inspector
HSE (Health & Safety) Manager
Health & Safety Specialist
H Safety & Environmental Compliance Manager
Health, Safety & Quality Assurance Manager
Human Factors Engineer
Inspector
Surveyor
Financial:
Accountant
Tax Accountant
Group Financial Accountant/Manager (Qualified)
Principal Group Financial Accountant
Financial Controller
Investment Analyst (Qualified)
Payroll Manager
Senior Accountant
Systems Accountant
Senior / Lead Systems Accountant
Treasury Accountant
Senior / Lead Treasury Accountant
Senior Finance Business Partner (Formally Management Accountant)
Engineering track:
Alignment Engineer
Assessment Engineer

Assistant Track Engineer
Assurance Engineer - Track
Design Engineer
Principal Track Engineer
Project Engineer
Senior Design Engineer
Senior Project Engineer
Senior/Lead Assessment Engineer
Senior/Lead Assurance Engineer - Track
Senior/Lead Track Engineer
Track Engineer
Engineering, Signalling:
Assistant Design Engineer
Assistant Signalling Engineer
Assurance Engineer - Signalling
Control and Information Engineer
Design Engineer
Integration Engineer
Lead Signalling Engineer
Principal Design Engineer
Principal Signalling Engineer
Project Engineer
Senior Assurance Engineer - Signalling
Senior Control & Information Engineer
Senior Design Engineer
Senior Integration Engineer
Senior Project Engineer
Senior Testing & Commissioning Engineer
Signalling Engineer
Testing and Commissioning Engineer
Engineering, rolling stock:
Assistant Engineer
Electrical Engineer - Rolling Stock
Engineer
Lead Engineer
Principal Engineer
Principal Safety Engineer - Rolling Stock
Systems Safety Engineer
Rolling Stock Designer
Senior Electrical Engineer - Rolling Stock
Senior Rolling Stock Designer
Senior Systems Engineer - Rolling Stock
Systems Engineer - Rolling Stock

Engineering: Civils
Installation Engineer
Interface Engineer
Lead SCADA & Controls Engineer
Lead Systems Integration Engineer
Lift Quality Inspection Engineer
Modelling Engineer
NRSWA Inspector
Planning Engineer
Power Engineer
Power Engineer - Alternating Current
Power Engineer - Direct Current Traction
Power Engineer - Electrical Mechanical
Project Engineer
RAM (Reliability, Availability, Maintainability) Engineer
Risk Engineer
Route Manager
SCADA Engineer
Section Engineer
Senior Assessment Engineer
Senior Assurance Engineer
Senior CAD Designer
Senior Communications Engineer
Senior Construction Manager
Senior Engineer
Senior Equipment Engineer
Senior Installation Engineer
Senior Interface Engineer
Senior Modelling Engineer
Senior Network Planning Engineer
Senior Outside Parties Engineer
Senior Power Engineer
Senior Power Engineer - Electrical Mechanical
Senior Project Engineer
Senior Quality Engineer
Senior Road Safety Engineer
Senior Systems Engineer
Senior Traffic Engineer
Senior Vesting and Property Engineer
Site Manager
Site Supervisor
Systems Architect
Systems Engineer

Testing & Commissioning Manager
Traffic Engineer
Traffic Surveyor/Technician
Vesting and Property Engineer
Works Inspector

Note: 'Lawyer' means Lawyer or Solicitor

The verification service will be at no extra cost to The Authority here the information is freely available at no cost to the enquirer, where a cost is chargeable to the Service Provider, The Authority will cover the actual cost of verification.

APPENDIX 11

The Authority - Right to Work



Home Office

Right to Work Checklist

Name of person:	
Date of check:	
Type of check:	Initial check before employment <input type="checkbox"/> Follow-up check on an employee <input type="checkbox"/>

Step 1 Obtain

- You must **obtain original** documents from either **List A** or **List B** of acceptable documents.

List A

- ☐ A passport showing the holder, or a person named in the passport as the child of the holder, is a British citizen or a citizen of the UK and Colonies having the right of abode in the UK.
- ☐ A passport or national identity card showing the holder, or a person named in the passport as the child of the holder, is a national of a European Economic Area country or Switzerland.
- ☐ A Registration Certificate or Document Certifying Permanent Residence issued by the Home Office, to a national of a European Economic Area country or Switzerland.
- ☐ A Permanent Residence Card issued by the Home Office, to the family member of a national of a European Economic Area country or Switzerland.
- ☐ A **current** Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder indicating that the person named is allowed to stay indefinitely in the UK, or has no time limit on their stay in the UK.
- ☐ A **current** passport endorsed to show that the holder is exempt from immigration control, is allowed to stay indefinitely in the UK, has the right of abode in the UK, or has no time limit on their stay in the UK.
- ☐ A **current** Immigration Status Document issued by the Home Office to the holder with an endorsement indicating that the named person is allowed to stay indefinitely in the UK or has no time limit on their stay in the UK, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.
- ☐ A **full** birth or adoption certificate issued in the UK which includes the name(s) of at least one of the holder's parents or adoptive parents, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.
- ☐ A birth or adoption certificate issued in the Channel Islands, the Isle of Man or Ireland, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.
- ☐ A certificate of registration or naturalisation as a British citizen, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.

List B Group 1

- ☐ A **current** passport endorsed to show that the holder is allowed to stay in the UK and is currently allowed to do the type of work in question.
- ☐ A **current** Biometric Immigration Document (Biometric Residence Permit) issued by the Home Office to the holder which indicates that the named person can currently stay in the UK and is allowed to do the work in question.
- ☐ A **current** Residence Card (including an Accession Residence Card or a Derivative Residence Card) issued by the Home Office to a non-European Economic Area national who is a family member of a national of a European Economic Area country or Switzerland or who has a derivative right of residence.
- ☐ A **current** Immigration Status Document containing a photograph issued by the Home Office to the holder with a valid endorsement indicating that the named person may stay in the UK, and is allowed to do the type of work in question, **together with** an official document giving the person's permanent National Insurance number and their name issued by a Government agency or a previous employer.

List B Group 2

- ☐ A Certificate of Application issued by the Home Office under regulation 17(3) or 18A (2) of the Immigration (European Economic Area) Regulations 2006, to a family member of a national of a European Economic Area country or Switzerland stating that the holder is permitted to take employment which is **less than 6 months old together with a Positive Verification Notice** from the Home Office Employer Checking Service.
- ☐ An Application Registration Card issued by the Home Office stating that the holder is permitted to take the employment in question, **together with a Positive Verification Notice** from the Home Office Employer Checking Service.
- ☐ A **Positive Verification Notice** issued by the Home Office Employer Checking Service to the employer or prospective employer, which indicates that the named person may stay in the UK and is permitted to do the work in question.

Step 2 Check			
<ul style="list-style-type: none"> You must check that the documents are genuine, that the person presenting them is the prospective employee or employee, the rightful holder and allowed to do the type of work you are offering. 			
1. Are photographs consistent across documents and with the person's appearance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
2. Are dates of birth consistent across documents and with the person's appearance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
3. Are expiry dates for time-limited permission to be in the UK in the future i.e. they have not passed (if applicable)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
4. Have you checked work restrictions to determine if the person is able to work for you and do the type of work you are offering? (for students who have limited permission to work during term-times, you must also obtain, copy and retain details of their academic term and vacation times covering the duration of their period of study in the UK for which they will be employed)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5. Are you satisfied the document is genuine, has not been tampered with and belongs to the holder?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
6. Have you checked the reasons for any different names across documents (e.g. marriage certificate, divorce decree, deed poll)? (Supporting documents should also be photocopied and a copy retained.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Step 3 Copy
<p>You must make a clear copy of each document in a format which cannot later be altered, and retain the copy securely: electronically or in hardcopy. You must copy and retain:</p> <p>1. <input type="checkbox"/> Passports: any page with the document expiry date, nationality, date of birth, signature, leave expiry date, biometric details and photograph, and any page containing information indicating the holder has an entitlement to enter or remain in the UK and undertake the work in question.</p> <p>2. <input type="checkbox"/> All other documents: the document in full, both sides of a Biometric Residence Permit.</p> <p>You must also record and retain the date on which the check was made.</p>

Know the type of excuse you have
<p>If you have correctly carried out the above 3 steps you will have an excuse against liability for a civil penalty if the above named person is found working for you illegally. However, you need to be aware of the type of excuse you have as this determines how long it lasts for, and if, and when you are required to do a follow-up check.</p> <p>The documents that you have checked and copied are from:</p> <p>1. List A <input type="checkbox"/> You have a continuous statutory excuse for the full duration of the person's employment with you. You are not required to carry out any repeat right to work checks on this person.</p> <p>2. List B: Group 1 <input type="checkbox"/> You have a time-limited statutory excuse which expires when the person's permission to be in the UK expires. You should carry out a follow-up check when the document evidencing their permission to work expires.</p> <p>3. List B: Group 2 <input type="checkbox"/> You have a time-limited statutory excuse which expires 6 months from the date specified in your Positive Verification Notice. This means that you should carry out a follow-up check when this notice expires.</p> <p>Date follow-up check required: <input type="text"/></p>

APPENDIX 12

MPS BSS Data Retention Periods

Appendix 12 - MPS data retention periods

Area	Process	Detail	Agreed retention period	Deletion trigger	Exceptions/Comments	Reasoning for the retention period length
Case Management	Case maintenance	HR Advice	7 years	End of employment	* end of employment for the individual who raised the case	To support the execution of the employment contract. 7 years to cover the statute of limitation for any future cases against MPS and to keep the required records should there be any payroll or pensions disputes (where the cases are salary affecting.)
	Case monitoring	Management Information Reporting Case Closure	1 year	Date case closed		To keep a running record of recent reports and requests.
	Case management	<ul style="list-style-type: none"> Performance Management Case Support Reg 12 Case Management Support Reg 13 Case Management Support Performance Management Appeal 	7 years	End of employment		To support the execution of the employment contract. 7 years to cover the statute of limitation for any future cases against MPS and to keep the required records should there be any

		<ul style="list-style-type: none"> Case Support Attendance Management Case Support Reg 28 Case Management Support Extension Of Sick Pay - Police Staff Reg 28 Appeal - Police Officer Extension Of Pay Appeal - Police Staff Recuperative Duties Management Adjusted Duties General HR Advice query Ill health retirement 				payroll or pensions disputes (where the cases are salary affecting.)
	Case management meetings	<p>OCU Monthly Meetings</p> <p>Attend case Face to face meeting with Line Manager</p> <p>Attend meetings that require HR presence as per policy/regulations</p>	3 years from content creation: or 30 days from the data holder leaving organisation			In line with email deletion retention period
Recruitment	External recruitment		1 year for unsuccessful candidates 3 years for successful candidates 5 years for non-personal data	End of the recruitment process	Expression of interest for external promotions where the individual has exceptional circumstances for deferring their application, the record will be kept past the 1 year retention period	Fulfil contractual obligation to gain expressions of interest for promotion campaign. Employment Contract
	New starter administration		Age 85 or 7 years after the end of employment, whichever is longer	N/A	The records (who they are and where they worked only) for agency workers and individuals on work experience placements are kept for 7 years	New starter admin is part of the core record. Agency worker and work

						experience placements – only stripped down records are required to cover for any possible queries
	Internal recruitment		1 year	End date of the campaign; end of process		Only running record required
Learning and development	Course schedule and logistics		3 years	End of financial year		In support of Employment Contract or Police Regulations to provide appropriate training
	Course content		10 years	Date of the content being archived		In support of Employment Contract or Police Regulations to provide appropriate training. Requirement to see how course content has changed over time
	Results		3 year	End of employment	Firearms training is to be kept until age 100 under Firearms Legislation.	In support of Employment Contract or Police Regulations to provide appropriate training. Learning and development results are part of employment record and therefore must be kept until end of employment. 3 year delay for deletion is to cover any potential queries

HR Operations	Employee details administration	<ul style="list-style-type: none"> Personal pay methods maintenance, voluntary deductions set up, maintain info on business interests 	Core details until age 85; the process information for 3 years; documentation for 7 years	End of employment		Execute Contract of Employment or Police Regulations
		<ul style="list-style-type: none"> Absence deletion requests 	7 years	Date of the request		Execute contract of employment or Police Regulations
		<ul style="list-style-type: none"> Maintenance of Equality and Diversity Data 	1 year	End of employment		Execute Contract of Employment or Police Regulations. Info required while the individuals are part of the organisation
		<ul style="list-style-type: none"> Gender reassignment 	Core details until age 85; the process information for 3 years; documentation for 7 years			In support of anti-discrimination legislation
	Administer contract variation		Age 85 or 7 years after the end of employment, whichever is longer			Execute Contract of Employment or Police Regulations
	Attendance administration and processing		Age 85 or 7 years after the end of employment, whichever is longer			Execute Contract of Employment or Police Regulations
	Grievance data		7 years	Date closed		Execute Contract of Employment or Police Regulations
	Administer end of appointment		Age 85 or 7 years after the end of employment, whichever is longer			Execute Contract of Employment or Police Regulations
	Query resolutions;		3 years	Date closed		Execute Contract of

	complaints and process advice requests					Employment or Police Regulations
	Query resolutions; reference request responses and requests for personal information		1 year	Date closed		To keep a running record of recent requests and responses
	Core reporting		1 year	Date closed		To keep a running record of recent reports
	Administer data requests		1 year	Date closed		To keep a running record of recent requests and responses
OH	TBC	TBC	TBC	TBC	TBC	TBC
Health & Safety	TBC	TBC	TBC	TBC	TBC	TBC
Payroll	Payroll administration		6 years + current financial year	End of financial year		Legal requirement
	Information requests and reporting		1 year	Date report created Date request closed		To keep a running record of recent reports and requests
Expenses	Expense administration		6 years + current financial year	End of financial year		Legal requirement
Pensions (Officers)	Reservists		6 years + current financial year	End of financial year		Support the administration of the Met police Officer Pension Scheme
	Internal dispute resolution and pension forfeiture		3 years	Date of case closed		Support the administration of the Met police Officer Pension Scheme
	Review of Pension Administration Tasks of Police Officers		1 year	End of financial year Date task closed		To keep a running record of recent processed tasks

	Pension Scheme					
	Escalated queries		1 year	Date of query closed		To keep a running record of recent queries
Pensions (Staff)	Pension queries		3 years	Date of query closed		To support person service administration
	Option in/out requests, partnership pension requests and amendments, applications of early payment of pensions on medical grounds		6 years + current financial year	End of financial year		To meet the employees' pension requirements
BI Bus Intel	OBI and BI publisher reports and requests		1 year	Date report created Date request closed		To keep a running record of recent reports and requests
F&A Services	Key financial accounting administration and processing information		6 years + current financial year	End of financial year		Legal requirement
	POs, requisitions and invoice processing payment services and suchlike		6 years + current financial year	End of financial year		Legal requirement

APPENDIX 13

GLA Group Rate Card

Cat 1 - Accountancy & Finance	Pay rate (per day)		
Job Title	Min	Max	Mid
Senior Finance Business Partner / Project Manager			
Senior Accountant / Tax Accountant			
Qualified Accountant/Internal Auditor			
Cost Analyst			
Accountant			
Finance Assistant			

Cat 2 Admin & Secretarial	Pay rate (per day)		
Job Title	Min	Max	Mid
Advisors / Assistants / Managers			
Resource Scheduler / Support Assistant / Document Controller			
Administrator			
Junior Administrator			

Cat 3 Building & Facilities	Pay rate (per day)		
Job Title	Min	Max	Mid
Accessibility Consultant			
Building / Facilities / Property Manager / Senior Surveyor			
Surveyor			
Mail Room / Reprographics / Moves Manager			
Warehouse / Maintenance Assistant			
Mail Room Assistant / Reprographics Support / Messenger			

Cat 4 Commercial / Procurement / Quantity Surveyors	Pay rate (per day)		
Job Title	Min	Max	Mid
Senior Commercial Lead			
Senior Commercial / Bid Manager			
Contract Lead / Commercial / Claims Manager			
Senior/Lead Quantity Surveyor			
Senior Buyer / Senior Business Support Analyst			
Quantity Surveyor			
Assistant Manager (Commercial / Claims / Contract)			
Analyst / Officer (Contract / Performance)			
Credit Control			
Assistant			

Cat 10 - Health, Safety, Quality & Environment		Pay rate (per day)		
Job Title		Min	Max	Mid
Risk Assessment Analyst				
Manager				
Coordinator / Advisor				
Inspector				

Cat 11 - Human Resources		Pay rate (per day)		
Job Title		Min	Max	Mid
Senior Manager				
Manager				
Team Leader				
Consultant				
Advisor				
Co-ordinator				

Cat 13 - Legal		Pay rate (per day)		
Job Title		Min	Max	Mid
Senior Principal Lawyer				
Senior Associate Lawyer / S nr Lawyer / S nr Appeals & Prosecutions Manager				
Associate Lawyer				
Prosecutions Manager				
Compliance Advisor/Agreements Manager				

Cat 14 - Marketing & Communications		Pay rate (per day)		
Job Title		Min	Max	Mid
Senior Manager				
Comms Business Partner				
Consultation Specialist/S takeholder Comms Exec				
Assistant				
Officer				

Cat 15 - Medical		Pay rate (per day)		
Job Title		Min	Max	Mid
Consultant Occupational Physician				
Junior Doctor				
Physiotherapy Manager				

Senior Physiotherapist			
Clinical, Senior Nurse / Medical Advisor			
Counsellor / Physiotherapist			
Nurse			
Health Care Assistant			

Cat 17 - Planning		Pay rate (per day)		
Job Title		Min	Max	Mid
Planning / Performance Manager				
Principal Planner				
Planning Manager / Road Safety Auditor				
Development Planning Officer				
Assistant				

Cat 18 - Risk		Pay rate (per day)		
Job Title		Min	Max	Mid
Manager				
Security Auditor				
Support Manager				
Senior Internal Auditor				
Risk Analyst / Advisor / Internal Auditor				

IT Support /Admin

Job Title	Pay rate (per day)		
	Min	Max	Mid
Integration Consultant			
Technical Support			
Business Operations Support			
Data Controller/Input/Administrator			
Information (& Reporting) Officer			

Engineers /Engineering

Job Title	Pay rate (per day)		
	Min	Max	Mid
Development/Software Development Engineer			
Software Engineering Manager			
Application/Digital Engineer			
Experience Designer/Migration & Citrix Network Engineer			
Senior Infrastructure Engineer			
Infrastructure Engineer			

Architects & Designers

Job Title	Pay rate (per day)		
	Min	Max	Mid
(Content Management System) Information Architect			
SAP/Cyber Solution Architect			
Senior Network & Telecomms Architect			
Enterprise/Solution/Data/Infrastructure Architect			
Senior Visualisation specialist			
Visualisation Specialist			
UI (Interaction) / UX (Experience) / Digital Content Designer			

Testers

Job Title	Pay rate (per day)		
	Min	Max	Mid

Requirements & Acceptance Specialist			
SAP Test Manager			
Data & Analytics/Automation Tester			
UAT Test Manager (Co-ordinator)			
Senior test Analyst			
Test Analyst			

IT Technicians / Specialists

Pay rate (per day)			
Job Title	Min	Max	Mid
Continual Service Improvement Specialist			
Business Change Specialist/Senr Data Modeller			
SAP Functional Consultant			
Data Modeller			
GIS Specialist / Technician			
Technical Author			
Mobile Device Support Specialist			

IT Project / Programme Management

Pay rate (per day)			
Job Title	Min	Max	Mid
IT Programme Director - Networks			
SAP Project Manager			
Senior Project Manager			
IM Integration Lead			
Project/Programme Manager			
Transition/Technical Project Manager			
Business Design/PMO			
Associate Project Manager			

Developers / Programmers

Pay rate (per day)			
Job Title	Min	Max	Mid

Development Stream Lead			
Systems Developer			
Data visualisation Developer & Scrum Master			
Scrum Master			
Senior & Back End Developer			
Developer/Analyst Programmer			
Web Developer			

IT Managers /Lead		Pay rate (per day)		
Job Title		Min	Max	Mid
IM Chief Technical Officer				
Service, Technical & Project Manager				
Business Change & Service Manager				
Risk & Issues Manager				
Transition Manager, Development Manager, Technical Lead				
Product & Infrastructure Manager				
IT Manager				
Data Manager				
Document Controller				

IT Analysts		Pay rate (per day)		
Job Title		Min	Max	Mid
Business Change Analyst				
Senior Business/Cyber & SAP Analyst				
Analyst Programmer				
Digital Insight Analyst/Web Analyst/Business Analyst				
GIS Production Support/PMO & Release Analyst				
Senior Business Systems Analyst				
Application Support, Operations & Data Analyst				
Business System Analyst				
Service Desk & Systems Analyst				

Cat 5 - Engineering - Civils	Pay rate (per day)		
	Min	Max	Mid
Job Title			
Manager/Planner			
Senior Engineer			
Assessor/Operations Officer/Coordinator			
Clerk of Works			
Engineer			
Inspector			

Cat 6 - Engineering - General	Pay rate (per day)		
	Min	Max	Mid
Job Title			
Lead Systems Intergration Engineer			
Systems Architect			
CAD Modeller			
Senior Engineer			
Manager			
Engineer			
Inspector			
CAD Designer			
Traffic Surveyor/Technician			
Officer			

<u>Cat 16 - Engineering - Project Managers</u>	Pay rate (per day)		
	Min	Max	Mid
Job Title			
Senior/Lead Analyst			
Senior Manager			
Manager			
Assistant Manager			
Analyst			
Co-ordinator			
Support Officer			
Planner			

<u>Cat 16 - Engineering - Planning</u>	Pay rate (per day)		
	Min	Max	Mid
Job Title			
Programme Planner			
Planning Manager			
Project Planner			
Principal Planner			
Possession/Assistant Project Planner			
Senior Planner			
Transport Planner			

Cat 20 - Engineering - Technical	Pay rate (per day)		
Job Title	Min	Max	Mid
Manager			
Inspector			
Technician			
Labourer			

Cat 7 - Engineering - Rolling Stock	Pay rate (per day)		
Job Title	Min	Max	Mid
Principal Safety Engineer			
Systems Safety Engineer			
Principal Engineer			
Lead Engineer			
Senior Engineer/Designer			
Engineer			
Assistant Engineer			

APPENDIX 14

Talent Pool Technology

1. Talent Pool Technology Functionality Requirement:

- Talent Pool Technology is required to enable The Authority and/or Service Recipients to establish and fully maintain a Talent Pool of Applicants, Candidates and Temporary Workers.
- It is therefore a requirement for The Solution to provide robust Talent Pooling Functionality in the form of a cloud hosted database of Applicants, Candidates and Temporary Workers.
- The Talent Pool function will include and release all updates / platform improvements; enabling evolution and development of the Talent Pool model throughout the duration of the contract.
- Should The Solution not hold the required Talent Pool capability, then a Talent Pool function should be able to interface fully and seamlessly with the Service Providers wider Solution to deliver the full specification requirements with regard to the management and processing of all Talent Pool sourced Applicants, Candidates and Temporary Workers.

2. Access and profile management

- The Talent Pool Function shall establish Authority-wide and individual Service Recipient Talent Pools. Enabling access to a wide range of Applicants, Candidates and Temporary Workers.
- The Talent Pool Function shall enable Applicants, Candidates and Temporary Workers to directly register, create, maintain and delete their own digital profile owned and managed directly by them via an individual and single login through The Solution (including updating rates qualifications, certification, locations, skills, availability, work experience, availability, location etc).
- The Talent Pool Function is required to offer the Applicants, Candidates and Temporary Workers an opt in/out basis to receive automated notifications for relevant jobs.
- As per The Authority's Cyber & Information Governance standards, The Talent Pool Function will ensure any information stored is fully secure & retrievable.

3. Application, Sourcing and Compliance

- The Talent Pool Function will directly publish job requirements to external sites, such as job-boards and social media sites. This functionality will be delivered via an integration with a multi-poster or manually and will direct Applicants, Candidates and Temporary Workers straight to the Talent Pool application/sign-up process.
- Where the Authority or Service Recipient purchases adverts for both temporary and permanent roles the Talent Pool shall be able to directly post vacancies to these pre-agreed set of job boards which will be defined during the implementation stage. Any advert, multi-posting and other third-party costs will be agreed with the The Authority and Service Recipients.
- The Talent Pool Function can be linked with the Service Recipients careers pages/portals to enable the Talent Pool Applicants, Candidates and Temporary Workers to apply for any advertised roles through branded careers pages; from where they can apply directly and subsequently join the Talent Pool via a simple

application/sign up page.

- The Talent Pool capability shall ensure the candidates hold relevant compliance & skill requirements at point of application.
- Matched Applicants, Candidates and Temporary Workers will receive notification of a suitable job, shall be able to review job details and directly apply for the role.
- The Talent Pool Function shall allow Applicants, Candidates and Temporary Workers to apply for a relevant role by both invitation and pro-active job searching.
- The Talent Pool Function must allow the Applicants, Candidates and Temporary Workers to apply to one specific or multiple roles.
- The Applicants, Candidates and Temporary Workers will receive notifications at every stage of the recruitment and compliance process.
- The Talent Pool Function shall have the ability to distribute relevant and appropriate electronic communication to the Applicants, Candidates and Temporary Workers and potential Candidates in the pool to keep both passive and active Talent Pool Applicants, Candidates and Temporary Workers engaged at all times.

4. Sourcing:

- The Talent Pool function shall digitally match, and recommend vetted, suitable Applicants, Candidates and Temporary Workers across all Job Categories specified in Appendix 3.
- The Talent Pool function shall have an intelligent matching / tagging functionality inc. but not limited to: skills, location, compliance status, availability, rate.
- The Talent Pool function shall enable a proactive and targeted search for specific Named Workers using past work history, job role, skill set or other identifier.
- The Talent Pool function shall report on how many Applicants, Candidates and Temporary Workers are available per Category to enable proactive sourcing, and engagement strategies to be implemented – per category outlined in Appendix 3.
- The Talent Pool function shall provide rate benchmarking by collating and reporting (as a minimum) the following data relating to required filters.
- The Talent Pool shall allow for filtered search for sourcing of roles to build 'pipelines'. This is to enable Applicants, Candidates and Temporary Workers attraction and engagement strategies for future requirements to fit with workforce planning.

APPENDIX 15

Reporting and Management Information

Reporting:

In addition to the Invoice Data File as defined in The Solution, the Service Provider shall provide reports for (including but not limited to), all information stated below on a weekly basis or as required to The Authority and Service Recipients.

1.	Requisition reference number
2.	Unique personal identification number for the individual from the Service Provider's Solution (as a minimum)
3.	Unique personal identification number from the Authority's Solution (if supplied) For MPS will require PSOP record number
4.	Name
5.	Job title
6.	Work email address
7.	Service Recipient
8.	Business area plus cost centre
9.	Cost Centre Code/Number
10.	Hours worked; regular hours, overtime hours, including but not limited to – <ul style="list-style-type: none"> • Shift patterns • Weekends • Public Holiday • Total hours • Time worked against Project Codes
11.	Expenses

12.	Value Added Tax if applicable
13.	Apprentice Levy fee
14.	Service Provider fee breakdown as per pricing schedule
15.	Other Supplier Commission (Agency Fee)
16.	Detailed breakdown of all additional / statutory costs
17.	Net and Gross weekly rate
18.	Equivalent day rate for all Temporary Workers paid hourly
19.	Email of the line manager for each temporary worker
20.	Name of Hiring Manager (from Requisition)
21.	Type of engagement: PAYE, Umbrella, PSC worker
22.	Time (to the second) when hours are submitted (saved), rejected, and approved
23.	Name of Submitter & Authoriser for processed hours
24.	Start date of assignment
25.	End date of assignment
26.	IR35 status determination (inside or outside) – i.e. Limited Company, PAYE, etc.
27.	Description of all other costs not identified above
28.	Live report to capture status of hours so they can be filtered to show: <ul style="list-style-type: none"> • Approved • Released • Saved • Rejected Hours

Management Information:

In addition to the above required information; there is a requirement for consolidated Authority and individual Service Recipient`s Management Information.

Management Information shall include, but will not be limited to, the following; with frequencies and format agreed with The Authority and Service Recipients during implementation; and thereafter throughout the contract duration as required.

	Description
Active assignments / Temporary Worker Population	<ul style="list-style-type: none">• Headcount, hours, new hires and tenure report per:<ul style="list-style-type: none">○ Business Unit/Area○ Category○ Job title• A report of Temporary Workers showing:<ul style="list-style-type: none">○ Name of worker○ Order reference number○ Job category○ Job title○ Business Unit/Area○ Cost Centre○ Start date of assignment○ Stated end date of assignment○ Assignment duration report○ AWR○ Worker status (PAYE, Umbrella, Ltd, PSC/outside IR35)• Reason for the assignment that shall include (but not is not limited to) the following: project work, specialist, maternity cover, secondment cover, legal requirement, volume of work and any other reason deemed applicable from a defined list collated and managed by the Service Provider• Month in business• Length of Service• Next IR35 status review and renewal dates• Sourcing Channel – Talent Pool, The Service Provider, Lead or Secondary supplier, Other• Name of the Supplier operating as the end engager• VAT status• Identified Temporary Worker as over/under 21 years of age
Performance against Service Level and KPIs	<ul style="list-style-type: none">• Performance monitoring report – full KPI output against targets• Full details of any requisitions that could not be filled• Source of the filled requisitions/posts, including but not limited to:<ul style="list-style-type: none">○ Named Workers○ Directly via the Talent Pool○ Sourced by the Service Provider○ Lead Supplier○ Secondary Supplier• Filled roles by Lead & Secondary Suppliers, broken down by percentage of hires against each Job Category• List of all hires that are outside of agreed KPIs for – to

	<p>offer/time to hire, against business area</p> <ul style="list-style-type: none"> • Number of CVs submitted and rejected stating reasons • Hiring Manager CV feedback time by % of Red/Amber/Green • Hiring Manager interview feedback time by % of Red/Amber/Green • Lead supply channels ranked in terms of number of Requisitions filled • Candidate and Customer satisfaction survey results • Primary and Secondary supplier feedback survey results <p>A weekly report of (including but not limited to):</p> <ul style="list-style-type: none"> • Temporary Workers that were not paid on time &/or incorrectly. • Late authorisation of time. • Costs associated with payment for authorized hours post deadline. • All pay complaints • Savings for incorrect time claimed
Temporary Worker Management	<ul style="list-style-type: none"> • Reason for Termination of Assignment to include but not limited to: <ul style="list-style-type: none"> ○ Right to work issues ○ Alcohol and drug offences ○ Arrested on or off-site or in custody for misconduct including physical violence incidents ○ Exit Questionnaire survey • Employment tribunals lodged with Service Provider • Ongoing employment tribunals and likely timescales and costs and outcomes • Summary of comments/complaints with corrective action taken via the issue and resolution log
On-boarding and Compliance	<ul style="list-style-type: none"> • International criminality checks and costs • International financial probity and qualification checks completed • Qualification and professional membership verification with professional and educational bodies carried out • DBS checks outstanding where workers have started

	<p>and a count of calendar days incomplete</p> <ul style="list-style-type: none"> • Exceptions where references not taken and defaulted to DBS • Security vetting triage process behind service level agreement • Enhanced DBS not yet complete and time taken to complete • Hire with a criminal conviction or compliance issue' forms completed, in progress and outstanding • VISA/right to work expiry notification
Financial	<ul style="list-style-type: none"> • Cost breakdown per Assignment – as per the pricing schedule • Rate card reporting and benchmarking • Rate card vs. Cost of Hire report • Savings reports • Spend reports and trends per department, Service Recipients and The Authority • Spend per category for specified periods • Highlight report detailing outstanding AWR issues and resolution within defined periods • Pension adjustments outstanding • Other payment adjustments outstanding • Enquiries from HMRC • Statutory requests from police forces • Spend reports to Authorised Users by cost centre • Working Time Regulations (WTR) information as applicable • Annual spend based on Net and Gross pay rates • Temporary Worker rate band split per Business Area &/or Service Recipient • Tenure over 12 months – specifying % of overall Temporary Workforce • Total Temporary Worker FTE (including PSC Workers) • Split of Temporary Workforce per Directorate / per Service Recipient

	<p>Annual spend -</p> <ul style="list-style-type: none"> • Under £100 000 • £101 000 – £144 000k • £144 000 – £200 000 • £200 000 + • Rate band: • £0 - £100 • £100 - £200 • £200 - £300 • £300 - £400 • £400 - £500 • £500 - £600 • £600 - £700 • £700+
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<p>Diversity and Inclusion</p> <p>-Upon request by Service Recipient & anonymized where required in line with GDPR requirements</p>	<ul style="list-style-type: none"> • Ethnic profile – The ethnic profile of Temporary Workers • Disability profile – Volumes of disabled and non-disabled interim Temporary Workers • Gender profile – Volumes of male and female Temporary Workers • Age profile of Temporary Workers • Transgender • Religion • Sexual Orientation • Nationality • D&I reporting by protected characteristic; by category / Service Recipient
<p>Market Update and Trends</p>	<ul style="list-style-type: none"> • Market intelligence • Trends • Future analysis
<p>Interface Reports</p>	<ul style="list-style-type: none"> • Error log reports for file transfers, including but not limited to – creation of mini master record in local system, transfer of approved time data for invoice creation, transfer of data for local costing (project codes etc.), update of local organization structure hierarchy for approvals
<p>Problem Management Reports</p>	<ul style="list-style-type: none"> • Recurring issues/incidents • Incident Severity Levels

APPENDIX 16

RSAS Rules

Rail Training Assurance Scheme (RTAS) Rules

RAILTRAININGASSURANCE SCHEME (RTAS) RULES	1
DOCUMENT CONTROL	2
PURPOSE AND SCOPE	2
DEFINITIONS	3
THE RULES	11
1. General.....	11
2. Roles and Responsibilities.....	14
2.1. The Assurance Organisation.....	14
2.2. Assured Provider).....	15
2.3. Assured Trainers (Individual).....	18
2.4. Assured Assessors (Individual).....	20
2.5. Sole Trainers and Assessors.....	21
2.6. Network Rail.....	21
3. Management System Requirements.....	22
3.1. Assurance Process.....	22
3.2. Scope of the Assurance Process.....	22
3.3. Competence of Assured Trainers and/or Assessors.....	22
3.4. Initial Assurance of Trainers.....	22
3.5. Extension of the Scope of the Assurance for a Trainer.....	23
3.6. Initial Assurance of Assessors.....	23
3.7. Extension of the scope of the Assurance for an Assessor.....	24
3.8. Extension to the scope of the Assurance for an Assured Provider.....	24
3.9. Provision of Training and Assessment Materials.....	24
3.10. Assured Training and Assessment.....	25
3.11. Assured records.....	25
3.12. Management of suspected breaches of the RTAS Rules.....	29
4. Breaches of the RTAS Rules.....	30
5. Investigating breaches of the RTAS Rules.....	31
5.1. Reporting an alleged breach of the RTAS Rules.....	31
5.2. Other investigations.....	32
5.3. Formal Review.....	32
5.4. Other investigations.....	33
5.5. Formal Review Appeals and Hearings.....	34
5.6. Formal Review Process.....	36
5.7. Formal Review Appeals and Hearings Process.....	37
5.8. Assurance Visit Process.....	38
5.9. Assurance Visit Grading Appeal Process.....	39
5.10. RTAS Outcome Guidelines.....	40
6. RTAS Assurance Arrangements.....	41
6.1. Initial Application.....	41
6.2. Assurance Organisation Process.....	41
6.3. Assurance of the Assurance Organisation.....	41
6.4. Unannounced Assurance Visits.....	41

Document Control

Version	Published	Approved
Interim Rules	January 2014	Assurance Organisation Network Rail
V1.0	26 th April 2018	Assurance Organisation Network Rail

Purpose and Scope

The purpose of the Rail Training Assurance Scheme (RTAS) is to ensure that a consistent high standard of training and assessment for specific safety critical railway skills is maintained across all organisations and Individuals providing training and assessment services.

This document, together with its appendices, outlines the rules and compulsory mechanisms for compliance that make up the RTAS together with the consequences of breaching those rules. This document is not designed to detail the core processes associated with the administration of the scheme.

The RTAS Rules are designed to regulate the delivery of rail training and associated Competence interventions.

This document outlines the requirements for those providing training and assessment services (as contained in the Network Rail Training Toolkit) to companies and Individuals who conduct work on the Rail Managed Infrastructure [RMI] (to be referred to herein as RMI).

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

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

The RTAS Rules and the content of this document are implemented and upheld by Network Rail. The compliance to these rules is monitored by the Network Rail identified Assurance Organisation which throughout this document is referred to as the Assurance Organisation.

Where Network Rail policies, standards, procedures and materials are referred to throughout these rules, these are not provided in this document. They are accessed through subscription arrangements to systems authorised, defined and communicated by Network Rail. If an organisation or Individual requires assistance in accessing any document outside of the RTAS Rules it should contact the Assurance Organisation.

RTAS Rules V1.0
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Page 2 of 42

Definitions

Term	Definition
Acceptable Forms of Identification:	For British nationals: a current and valid recognised, branded form of identity token, used for accessing the RMI (such as a Sentinel Card), full driving licence, passport, biometric ID card, resident permit as per Home Office guidance or 'ValIDate' card. For non-British nationals a current and valid passport is required ¹ .
Action Plan	A written plan of action to be taken in order to remedy any areas which did not meet the RTAS Rules and/or Quality Assurance Framework which have been identified during an Assurance Visit.
AOD	Auxiliary Operating Duties.
Appendix 2 [also known as Assured Provider application request]	An Assured Provider application request form that is used to formally apply to, and/or notify of [as applicable], the Assurance Organisation of any new applications, amendments, adjustments and/or changes to the original scope of approved accreditation. The form can be found in training sections of the National Skills Academy for Rail website [www.nsar.co.uk] and upon email request to accreditationadmin@nsar.co.uk
Assurance Organisation	A body identified by Network Rail to provide assurance of the delivery of training with activities including but not limited to Assurance Visits of reviewed and approved NSAR applications from Assured Providers. This may include but not be limited to: <ul style="list-style-type: none"> • training providers; • trainers to deliver specific training events; • facilities to deliver specific training events; • assessment providers; or • assessors to assess specific Competences.
Assurance	Activities that are delivered by the Assurance Organisation, in accordance with the accreditation process, to Assured Providers, Assured Trainers and Assured Assessors, which monitors, supports improvement and awards a grade of compliance with the RTAS Rules and Quality Assurance Framework. The service provided within the Assurance activities is subject to an annual fee paid by the Assured Provider.

¹ 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'.

Term	Definition
Assurance Manager	An employee of the Assurance Organisation who is responsible for undertaking Quality Assurance activities on behalf of Network Rail.
Assurance Visit	The visit by the Assurance Organisation of an Assured Provider and/or Individual that is subject to the RTAS Rules for the purposes of assessing level of compliance with the RTAS Rules and Quality Assurance Framework
Assured Assessor	An assessor who has demonstrated that he or she meets the Assured Assessor criteria described in the standard NR/L2/CTM/202 Quality Assurance in Training and Assessment and who uses Network Rail's Competence Standards and/or assessment materials to provide assessment services and/or complete assessments within the RTAS.
Assured Capabilities / Assured Capability	Individual Competences which an Assured Trainer and/or Assured Assessor is approved to deliver and award Competence to others and listed on the Sentinel Database
Assured Position	A Position within the organisation of an Assured Provider that is an Assured Trainer and/or Assured Assessor.
Assured Provider	<p>An organisation which has been awarded Assurance by the Assurance Organisation and to which the RTAS Rules apply.</p> <p>An Assured Provider:</p> <ul style="list-style-type: none"> • meets the training organisation's approval criteria described within the standard NR/L2/CTM/202 Quality Assurance in Training and Assessment; • has all the tools, equipment and suitable access necessary to deliver specified training events; • is approved by the Assurance Organisation on behalf of Network Rail to deliver specified training event(s) within the RTAS Assured Provider; and • uses Network Rail Competence Standards and/or assessment materials to provide assessment services and/or complete assessments and ensures that they are operating in accordance with the RTAS Rules.
Assured Trainer	A trainer who has demonstrated that he or she meets the Assured Trainer criteria described in the standard NR/L2/CTM/202 Quality Assurance in Training and Assessment and who is approved by the Assurance Organisation on behalf of Network Rail to deliver one or more specific training events within the RTAS.

Term	Definition
Breach	An act of breaking or failing to observe a law, agreement, or code of conduct.
Change of Control	(i) The transfer of the majority of the shares in the Assured Provider; or (ii) a Change of Control occurs if a person who controls any corporate body ceases to do so or if another person acquires control of it.
Competence Standard(s)	A Network Rail standard which sets out the knowledge, performance, pre-requisite and assessment requirements of a competence that is achieved through the successful delivery of training and assessment events.
Competence(s)	Qualifications which are awarded and maintained through training and assessment processes mandated by Network Rail standards which enable the Individual to undertake a particular activity.
Conflict of Interest	<p>A Conflict of Interest includes actual, potential or perceived conflicts of interest and/or duty. The following are examples of where a Conflict of Interest will arise:</p> <ol style="list-style-type: none"> 1. A situation that has the potential to undermine the impartiality of a person because of the possibility of a clash between the person's self-interest and professional interest or public interest; 2. A situation in which a party's responsibility to a second-party limits its ability to properly discharge its responsibility to a third-party; and/or 3. Where a person connected to an Individual stands to gain a benefit. A connected person can be a spouse, parents and grandparents, children and grand-children, brothers and sisters, mother in law and father in law, brothers in law and sisters in law, daughters in law and sons in law. Adopted, half, and step members can also be a connected person.
Contract of Sponsorship	The formal relationship between an Individual and their Primary Sponsor. While similar in intent to a contract of employment, the Contract of Sponsorship relates only to the Sentinel Scheme and does not require or imply direct employment.
COSS	Controller of Site Safety; track safety Competence.

Term	Definition
Day(s)	Days are calculated as calendar days and therefore include weekends and bank holidays. In computing days the day on which the period begins is ignored. For example, if a requirement to provide notification within five (5) days of an event is mandated and the event is on 1 January, the deadline to provide notification will be on 6 January.
Deliberate Breach	An intentional act to operate outside of the RTAS Rules.
Direction(s)	A formal list of actions and activities which are required in Formal Review Appeals and Formal Review Appeal Hearings.
E-Learning System	Network Rail owned and maintained e-Learning system on which courses are held and must be used for Competences as specified within Network Rail approved training and/or assessment materials found on the Network Rail Training Toolkit and/or Competence Standards.
Electronic Signatures	Symbols or other data in digital form attached to an electronically transmitted document as verification of the sender's intent to sign the document, such as tick boxes present to declare a statement of intent and/or electronic file of a handwritten signature.
ES	Engineering Supervisor; track safety Competence
Events Calendar	An on-line calendar hosted by the Assurance Organisation where Assured Providers share their delivery plans.
Fair Culture Consequences Model	Network Rail's Consequences Model that identifies fair outcomes from a Formal Review.
Fatigue	Fatigue is physical and/or mental exhaustion that can be triggered by stress, medication, overwork, or mental and physical illness or disease.
Formal Review	The process of reviewing the notification that there has been an alleged or suspected breach of the RTAS Rules and the subsequent investigating activities undertaken by the Assurance Organisation, overseen by Network Rail.
Formal Review Appeal	An appeal against an RTAS Outcome. An appeal can only be brought where there is new evidence not presented during the Formal Review and/or mitigating circumstances and/or any other compelling reason which in the opinion of Network Rail justifies a Formal Review Appeal.

Term	Definition
Formal Review Appeal Hearing	A hearing, chaired by Network Rail, where a panel of individuals who were not involved in the Formal Review, will review submissions and/or evidence presented by the appellant and Assurance Organisation in response to, or in defence against, the Formal Review Outcome decision made.
Formal Review Outcome	The formal decision made by Network Rail following the completion of the Formal Review process.
Guided Learning Hours [GLH]	The minimum number of hours outlined within lesson plans - i.e. the duration that the training and/or assessment event is required to take in order to deliver a valid result of competence. The duration of one day equates to six hours.
Guiding Mind	A person within an Assured Provider's organisation that has material influence over a particular act, conduct, operation or activity. This includes but is not limited to Assured Positions as well as positions which are not that of an Assured Position, such as a training manager, administrator, director and board member
Individual(s)	Any person(s) involved in an RTAS and/or Quality Assurance Framework activity, such as, but not limited to, a delegate, candidate, Assured Trainer, Assured Assessor, and training and management staff
Joining Instructions Information	<ul style="list-style-type: none"> Course title, date, starting and finishing times, duration, catering arrangements, location (map and directions), smoking policy and provision of proof of identity for the event (all of which are mandatory). Confirmation that pre-requisite requirements related to specific Competences (derived from the relevant Network Rail Competence specific Standard, including age restrictions where these are stated) have been advised to Sponsors. Personal Protective Equipment [PPE] and existing Competence certificates where applicable. The requirements for: The Guide to Personal Track Safety / Rule Book (relevant modules) and Rule Book handbooks as stipulated by the Assurance Organisation. The requirement for technical manuals and completed log books as stipulated by the Assurance Organisation are advised where this is appropriate for the planned event. For recertification courses and/or assessments in relation to Competences where a work experience book/record shall be maintained, the relevant work experience book/record, showing the mandated minimum number of countersigned entries, is brought to the event. Competence pre-requisites for the discipline being delivered, including literacy, numeracy, age and the formal process for identifying and providing reasonable adjustments before the event.

Term	Definition
Lifesaving Rules	Rules identified by Network Rail to address the main causes of death and serious injury. Compliance with the Lifesaving Rules is mandatory for all.
Mistake	An act or judgement that is misguided or wrong
Multiple Occurrence Breach	More than one act which is outside of an RTAS Rule.
Network Rail Approved Training and Assessment	Training and assessment interventions which comprise of a combination of material and delivery methodologies developed, approved and issued by Network Rail.
Network Rail Training Toolkit	A Network Rail owned and maintained electronic repository of all mandatory and Network Rail Approved Training and Assessment material. The system also contains all briefing communications regarding changes to materials which every Assured Provider is mandated to use and remain up to date with its content.
On-Line Exams	Exams which an Assured Trainer and/or Assured Assessor is required to undertake annually in order to maintain Assurance for Competences which are within the scope of the exams.
PICOP	Person in Charge of Possession.
Primary Sponsor	The organisation that is accountable for maintaining the sponsorship arrangements with an Individual and for ensuring their continued Competence and fitness for work through a Contract of Sponsorship. Only Primary Sponsors are permitted to issue Sentinel Smart Cards or request their withdrawal.
PTS	Personal Track Safety; track safety Competence.
Quality Assurance Framework	The document which details a series of quality statements which an Assured Provider shall follow be reviewed and graded against by the Assurance Organisation.
Rail Managed Infrastructure [referred to as RMI]	Any asset or property belonging to or utilised for the purpose of providing transportation by rail.
Rail Training Assurance Scheme (RTAS)	The training assurance scheme operated by Network Rail for supply of training and assessment services.

Term	Definition
Rail Training Assurance Scheme (RTAS) Rules	The rules that govern the RTAS that all participants of the RTAS must adhere to.
Required Personal Information	Personal information about an Individual which is required to be shared with their Sponsor in order to evidence their own personal identity and/or health and wellbeing which affects their day to day work.
Responsible Controller	The individual who holds the position that is responsible for allowing the permission for the person or group, whilst involved in working activities on or about the managed infrastructure, to access the live infrastructure. This may include but is not restricted to Signaller, Route Signalling Manager, Mobile Operations Manager.
Responsible Manager	An Individual identified by relevant policies, standards, procedures and materials as responsible for an associated decision, person or activity
Responsible Team within Network Rail	A team within Network Rail which is responsible for safety and/or Assurance processes and is involved within the RTAS process and rules.
Rule Book	The formal series of operational railway rules which are in handbook format and mandated across RMI.
Sentinel Database	The database which maintains records, including safety critical details of Individuals and organisations involved in working on RMI
Sentinel Scheme	The Sentinel Scheme consists of the Sentinel Scheme Rules and the associated Sentinel Database which maintains records, including safety critical details of individuals and organisations involved in working on RMI.
Sentinel Scheme Administrator	The third party contracted by Network Rail to deliver the Sentinel Scheme, including management of the Sentinel Database, call centre operation and Sentinel Smart Card production.
Sentinel Scheme Rules	The rules that govern the Sentinel Scheme that all participants of the Sentinel Scheme must adhere to.
Sentinel Smart Card	An identity card issued and controlled through the Sentinel Scheme.

Term	Definition
Sponsor	An organisation approved by Network Rail that establishes an agreement with an individual for work on RMI. The Sponsor is the organisation responsible for organising an individual to work on RMI and can be a Primary Sponsor or a Sub Sponsor.
Sub Sponsor	An organisation that, with the permission of the Primary Sponsor, uses an Individual to work on their behalf.
Suspension	Removal of an Assured Provider or individual's assurance to deliver events and their ability to notify competence on the Sentinel Database.
Swiped In/Out	The act of using the Sentinel Smart Card to electronically record within the Sentinel Database the date, time and location that an Individual accessed and egressed to and from premises subject to the Sentinel Scheme.
Unannounced Assurance Visit(s)	Assurance Visits which are subject to short or no notice.
Verification Process	A process by which the quality of decisions and supporting processes are independently assured as in NR/L2/CTM/202 Quality Assurance in Training and Assessment.
Whistle-Blowing	A report of wrongdoing received through a formal confidential reporting process such as, but not limited to, CIRAS, Speak Out or other method where the reporter's identity is protected.
Workplace Assessment	An assessment which an Individual is required to undertake as per the relevant Network Rail Competence Standard in order to maintain Competence and which sits outside the scope of On-Line Exams.

The Rules

1. General

The following general rules shall be adhered to by all parties involved in RTAS activities:

- 1.1.** All Individuals who conduct training and/or assessments must have the Assured Provider as either their Primary Sponsor or Sub Sponsor.
- 1.2.** All Assured Providers who train and/or assess Individuals working or intending to work on RMI must have Assurance and must continue to maintain their Assurance approval through the Assurance arrangements of the RTAS.
- 1.3.** An Assured Provider cannot Sponsor a candidate/delegate purely for the purposes of training and/or assessment. An Assured Provider must also be utilising a delegate/candidate to deliver operational activities on the Rail Managed Infrastructure. Where the Assured Provider cannot utilise a delegate/candidate for operational work they are not permitted to Sponsor the delegate/candidate.
- 1.4.** All Assured Providers, as Sponsors, shall adhere to the Sentinel Scheme Rules.
- 1.5.** All Assured Trainers and Assured Assessors shall adhere to the Sentinel Scheme Rules for Sponsors.
- 1.6.** Assured Providers shall, when necessary, have an Information Commissioner's Office registration and share personal data on Individuals relating to a safety issue or breach of the RTAS Rules with the Assurance Organisation and/or the Responsible Team within Network Rail.
- 1.7.** All personal data shall be controlled and processed in line with all applicable laws relating to data protection and the processing of personal data, including the Data Protection Act 1998, the General Data Protection Regulation (EU) 2016/679 (with effect from 25 May 2018) and any legislation that, in respect of the United Kingdom, replaces or converts into domestic law the General Data Protection Regulation (EU) 2016/679 or any other law relating to data protection and the processing of personal data as a consequence of the United Kingdom leaving the European Union²
- 1.8.** All Individuals are accountable for ensuring that all Required Personal Information is provided to the Assured Provider they work for and that the information remains accurate and up to date.
- 1.9.** Where an Assured Provider identifies an alleged breach of the RTAS Rules, the Assured Provider shall notify the Assurance Organisation in writing as soon as reasonably practicable and, in any event, by the next working day.
- 1.10.** Where a breach of the RTAS Rules by an Assured Provider or Assured Position is alleged or suspected, the Assurance Organisation shall conduct a Formal Review regarding the alleged or suspected breach and determine an

² NB: Significant changes to the laws relating to data protection come into force in May 2018 affecting all Assured Providers.

appropriate outcome, which will be subject to endorsement and a final outcome decision made by Network Rail during Formal Review Panel meetings.

- 1.11.** The Assured Provider or Assured Position will be notified by the Assurance Organisation and must cooperate fully with any Formal Review actions undertaken.
- 1.12.** Assured Providers cannot withdraw the Sponsorship of an Individual for an alleged breach of the RTAS Rules, or remove the Individual from the company profile within Sentinel, without: (i) fully cooperating with any Formal Review actions undertaken by the Assurance Organisation; and (ii) the written approval of the Assurance Organisation.
- 1.13.** Where appropriate, Network Rail will conduct Formal Review Appeal Hearings resulting from an appeal against an RTAS Formal Review Outcome. The panel conducting the Formal Review Appeal Hearing will be independent of the Formal Review panel and will comprise of individuals from Network Rail who have not been involved previously in the Formal Review.
- 1.14.** Formal Review Appeal Hearings will only take place where there is new evidence not presented during the Formal Review and/or mitigating circumstances and/or any other compelling reason why a Formal Review Appeal is necessary determined by Network Rail.
- 1.15.** Where an Individual not in an Assured Position has breached the RTAS Rules, and has been determined during a Formal Review to be the Guiding Mind of an Assured Provider and was involved in conduct or activities relating to the breach, the Assurance Organisation may withdraw the Assured Provider's Assurance for such time as the Assurance Organisation and/or Network Rail considers appropriate in the circumstances.
- 1.16.** Assured Providers shall have processes in place to record working hours, monitor and manage risk and implement mitigation against Fatigue of Assured Trainers, Assured Assessors and any other Sentinel card holders who are part of the training function, such as associates, administrators, planners, verifiers and managers, in line with the Sentinel Scheme Rules section 3.5³. In the event that an Individual has had less than twelve (12) hours of rest at the time of attending a training and/or assessment event, the Assured Provider shall ensure that: (i) a risk assessment is completed; (ii) a reference number is recorded within the Sentinel swipe in/out process; and (iii) records are retained within the training and/or assessment packs.⁴
- 1.17.** Assured Providers shall have processes in place to minimise the risk from Fatigue of any delegate and/or candidate attending a training and/or assessment, in line with the Sentinel Scheme Rules section 3.5⁵. In the event that there has been less than twelve (12) hours rest at the time of attending a training and/or assessment event, the Assured Provider shall ensure that: (i) a risk assessment is completed; (ii) a reference number is recorded within

³ Sentinel Scheme Rules section 3.5- Management of Working Hours which can be aided by the use of swipe in/out facilities within Sentinel.

⁴ If an Individual has previously undertaken a shift on RMI within the last twelve hours (known as double-shifting) that is considered an insufficient rest period.

⁵ Sentinel Scheme Rules section 3.5- Management of Working Hours which can be aided by the use of swipe in/out facilities within Sentinel

the Sentinel swipe in/out process; and (iii) records are retained within the training and/or assessment packs.⁶

- 1.18.** Assured Providers shall always notify the individual and the Assurance Organisation in writing as soon as reasonably practicable, and in any event within five Days⁷, of the reasons for de-sponsoring an individual. Where the individual is an Assured Trainer and/or Assured Assessor, action shall not be taken by the Assured Provider without the Assurance Organisation's advance acknowledgement of the intended action.
- 1.19.** Certification for Competences covered by the RTAS shall normally be in the form of a Sentinel profile accompanied by appropriate authority to work.
- 1.20.** In the event of an Assured Provider ceasing trading or their Assurance being withdrawn, the Assured Provider shall notify the Assurance Organisation in writing by email to accreditationadmin@nsar.co.uk within fourteen (14) Days of the decision made to cease trading and/or the withdrawal of Assurance. Assured Providers shall provide the details of the records of all of their previous training and assessment events completed for Competence actions and activities undertaken on RMI to the Assurance Organisation. The Assured Provider shall then arrange within thirty (30) Days of such notification the transfer of all records to Network Rail Training, which will be kept in accordance with record retention protocols as described in **2.2.23** of the RTAS Rules.
- 1.21.** The Assurance of an Assured Provider shall not be transferred under any circumstances to any other person and/or organisation. In addition, the Assurance of an Assured Provider shall cease immediately if there is a Change of Control of the Assured Provider. In such instances an initial application for Assurance is required.
- 1.22.** The Assured Provider shall inform the Assurance Organisation immediately if there is any Change of Control. Where there is a Change of Control the full Assured Provider approval process shall apply in respect of the Assured Provider and the person(s) in control of it.
- 1.23.** If an Assured Provider or Assured Position fails to cooperate fully with a Formal Review undertaken by the Assurance Organisation, the Assurance Organisation may impose an immediate suspension of the Assured Provider's assurance upon assessment of the circumstances by, and the instruction, of Network Rail.
- 1.24.** An Assured Provider that is suspended more than twice under the RTAS Rules in a three year period may not be eligible for a new or renewed Assurance in line with NR/L2/CTM/202 Quality Assurance in Training and Assessment.
- 1.25.** An Assured Provider that is suspended as a result of allegations under investigation and/or proven breaches of the RTAS Rules is also prohibited from delivery of training and/or assessment via any sub-contractor arrangements.

⁶ If an Individual has previously undertaken a shift on RMI within the last twelve hours (known as double-shifting) that is considered an insufficient rest period.

- 1.26. The Assured Provider shall have in place processes to maintain the Assurance Organisation's on-line Events Calendar in line with the Assurance Organisation's specific requirements.
- 1.27. 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.

2. Roles and Responsibilities

2.1. The Assurance Organisation

The role of the Assurance Organisation is to:

- 2.1.1. Maintain and retain detailed records of all Assured Providers, including names, company numbers, registered and contact addresses, nominated contacts and contact details and locations which are approved for delivery of training for no less than seven (7) years from the creation and/or update of the record .
- 2.1.2. Maintain and retain detailed records of all Assured Trainers and Assured Assessors, including names, contact details, Assured Capabilities and approvals for no less than seven (7) years from the creation and/or update of the record.
- 2.1.3. Manage compliance of the RTAS on behalf of Network Rail. The Assurance Organisation is responsible for the monitoring, supporting improvement and ensuring compliance of Assured Providers and Assured Positions who have Assurance under RTAS Rules, the Quality Assurance Framework and the specific requirements of the policies, standards, procedures and materials of Network Rail.
- 2.1.4. If appropriate, temporarily suspend the assurance of Assured Provider's, and/or Assured Positions with immediate effect, on the receipt of the instruction from Network Rail where an Assured Provider and/or Assured Position, subject to and, fails to fully cooperate with, a Formal Review into an alleged breach of the RTAS Rules.
- 2.1.5. Obtain and/or provide information and/or evidence, for the purposes of determining whether a Formal Review Outcome should be implemented within the context of Formal Reviews, Formal Review Appeals and Formal Review Appeal Hearings.
- 2.1.6. Where the Assurance Organisation is notified by an Assured Provider that an Assured Position intends to leave or has left an Assured Provider, in accordance with 2.2.24 the Assurance Organisation must confirm receipt of the completed application [Appendix 2] and communicate to the Assured Provider any resulting actions before making amendments to any relevant systems, including, but not limited to, the Sentinel Database.

2.2. Assured Provider

The Assured Provider shall:

- 2.2.1. Maintain appropriate management systems which demonstrate compliance to the RTAS Rules and as outlined in Section 3 **Management System Requirements**.
- 2.2.2. Comply with all relevant Network Rail company policies, standards, procedures and materials, including, but not limited to, NR/L2/CTM/202 Quality Assurance in Training and Assessment.
- 2.2.3. Have processes in place to keep up-to-date with changes to Network Rail policies, standards, procedures and materials as applicable to the activities that the Assured Provider is authorised by Network Rail to undertake. All briefings shall be documented and retained in line with NR/L2/CTM/202 Quality Assurance in Training and Assessment.
- 2.2.4. Only allow Assured Positions to use the current Network Rail Approved Training and Assessment materials for the Competences covered by the Sentinel Scheme.
- 2.2.5. Provide managed access for Assured Positions to the Network Rail standards and Training Toolkit materials that are relevant to the Competences and Capabilities for which they train and/or assess.
- 2.2.6. Implement and manage a process to check that, where Individuals require Sentinel Smart Cards, they are current and in date.
- 2.2.7. Only deliver training and/or assessments for which the Assured Provider has Assurance.
- 2.2.8. Deliver the training and/or assessments for which the Assured Provider has Assurance in accordance with all Network Rail specific requirements (including duration and maximum delegate numbers). Any deviation from any Network Rail specific requirement (including the duration or delegate numbers) shall be: (i) risk assessed at the time of the event by the Assured Provider; (ii) documented within Network Rail mandated training and assessment records; (iii) signed by an Assured Trainer and/or Assured Assessor; (iv) signed by an Individual not holding an Assured Position within the Assured Providers organisational structure which excludes the delegate; and (v) dated and retained within the course pack. Risk assessments shall take account of the following list (which is not exhaustive):
 - 2.2.8.1. Competence risk;
 - 2.2.8.2. Trainer experience risk;
 - 2.2.8.3. Type of course (i.e. initial or recertification);
 - 2.2.8.4. Delegate experience;
 - 2.2.8.5. Training materials delivery; and

2.2.8.6. Guided Learning Hours and all guidelines.

- 2.2.9. Only allow training and/or assessment events to be delivered by Assured Trainers and/or Assured Assessors.
- 2.2.10. Have processes in place to monitor, support improvement, document and retain appropriate records and ensure that an Assured Trainer has been directly observed in **no less than** three (3) events delivering training as part of their annual monitoring by an Individual with the required trainer qualifications. Where systematic risk based assessments identify a higher than 'low risk' trainer, more than three observations will be required.
- 2.2.11. Have processes in place to monitor, support improvement, document and retain appropriate records and ensure that an Assured Assessor has been directly observed in **no less than** three (3) events delivering assessments as part of their annual monitoring by an Individual with the required assessor qualifications and who, in addition, holds the Competence(s) being assessed. Where systematic risk based assessments identify a higher than 'low risk' assessor, more than three observations will be required.
- 2.2.12. Have processes in place to monitor and ensure (and to retain appropriate records) that findings from observations are monitored within the Assured Trainer and/or Assured Assessor's Continuous Professional Development (CPD) activities.
- 2.2.13. Where an Individual is both an Assured Trainer and an Assured Assessor, have processes in place to monitor, support improvement, document and retain appropriate records and ensure that at least two (2) training and two (2) assessment events annually that are mandated and as stated in and outlined in the table below, have taken place:

	Assured Trainer	Assured Assessor	Assured Trainer and Assessor
Observation 1	Training	Assessment	Training*
Observation 2	Training	Assessment	Assessment*
Observation 3	Training	Assessment	Training*
Observation 4	Not required	Not required	Assessment*

** One of each type of observation must be completed – it does not matter which is done first or the order in which they are done but two of each must be undertaken over the period of 12 months.*

- 2.2.14. Where an Assured Trainer or Assured Assessor joins the RTAS more than mid-way through the year then the number of observations required can be pro rata ⁸

⁸ Quarterly periods are defined as 01 July – 30 September, 01 October – 31 December, 01 January – 31 March and 01 April to 30 June

- 2.2.15. Only allow training, assessment and Workplace Assessment events to take place in a safe environment.
- 2.2.16. Not allow an environment to be manufactured for the purposes of Competence assessments only.
- 2.2.17. Ensure that all assessments other than end of training assessments, unless defined within the relevant training materials, are carried out in an operational environment with the candidate on shift (with the exception of On Track Plant (OTP)/On Track Machines (OTM) only).⁹
- 2.2.18. Only deliver and host training, assessment and Workplace Assessment events (when not on RMI) at a site or venue approved by the Assurance Organisation.¹⁰
- 2.2.19. Prepare and produce the necessary risk assessments and Safe Work Packs (SWP) in accordance with the Network Rail standard for the discipline concerned to enable training, assessment and Workplace Assessments to be carried out in accordance with the Rule Book, relevant Network Rail and Railway Group standards. Any documents produced, such as a complete SWP¹¹ must be retained, in full, with the relevant training and assessment records.
- 2.2.20. Ensure that SWPs which are required for training events are prepared and produced by a Safe Work Planner holding current and valid Sentinel Competence and approved by a responsible manager as defined in NR/L2/OHS/019 Safety of People Working On or Near the Line.
- 2.2.21. Prepare and produce all SWPs with the appropriate approvals in place in line with Network Rail requirements.
- 2.2.22. Appropriate approvals include written permission to access the intended specific RMI location from the current Responsible Controller dated no earlier than twelve (12) calendar months prior to the date of the event.
- 2.2.23. Retain all training and assessment records for a period of no less than seven (7) years from the date of creation and/or amendment and be able to provide them upon request to Assurance Organisation and/or, Network Rail (as the case may be) within 24 hours. These training and assessment records may be converted into electronic records; where this is the case, records must be backed up and held on a secondary server in a separate location.
- 2.2.24. Where the Assurance Organisation is notified by an Assured Provider that an Assured Position intends to leave or has left an Assured Provider in accordance with 2.1.6 the Assurance Organisation must confirm receipt of the completed application [Appendix 2] and communicate to the Assured Provider any resulting actions before making amendments to any relevant

⁹ N.B. Any assessment which is not an end of training assessment, unless required by the relevant training materials, must take place during the candidate's normal rostered duties. Normal duties **cannot be interpreted** as anything other than a shift which the candidate is working as deployed by their Sponsor – and cannot be for the purpose of the assessment. OTP/OTM assessments, where not undertaken in the live environment, must be undertaken on practical sites as detailed on the Assurance Organisation's approved practical site list.

¹⁰ Non-exhaustive examples include: track induction, on track plant and overhead line electrification in either construction or maintenance.

¹¹ An SWP is in accordance with NR/L2/OHS/019 Safety of People when working on or near the line.

systems, including, but not limited to, the Sentinel Database.

- 2.2.25. Complete and submit the application [Appendix 2] to the Assurance Organisation when an Assured Trainer and/or Assured Assessor leave, or intend to leave, their Contract of Sponsorship, within five (5) Days of the Assured Provider being advised. The Assurance Organisation must confirm receipt of the completed Appendix 2 and communicate to the Assured Provider any resulting actions before the Assured Provider takes any action within any relevant systems, including but not limited to, the Sentinel Database.
- 2.2.26. Fully cooperate with any Formal Reviews or Investigations initiated and/or in progress as requested by the Assurance Organisation and/or Network Rail. Failure to do so may result in an immediate Suspension of the Assured Provider's assurance as instructed by Network Rail.
- 2.2.27. Keep a record of management meetings with Assured Trainers, Assured Assessors and/or other Individuals who do not hold an Assured Position but have input and/or influence to an Assured Provider's activities.
- 2.2.28. Ensure all attendees at management meetings sign an attendance register to confirm the attendance of an Assured Trainer, Assured Assessor and/or other Individuals who do not hold an Assured Position but have input and/or influence to an Assured Providers activities and to record absences.
- 2.2.29. Ensure records are retained of briefings provided to Assured Trainers, Assured Assessors and/ or other Individuals who do not hold an Assured Position but have input and/or influence to an Assured Providers activities who have not attended Assured Providers meetings.
- 2.2.30. Ensure that where a delegate attending Personal Track Safety (referred to herein as PTS) and/or track induction training has declared difficulties with reading and/or writing, a reasonable adjustment is provided by a secondary individual fulfilling the role of reader and/or scribe (as required). This second individual shall not hold the Competence of the questions involved. Where this has taken place, the name and signature of the reader and/or scribe shall be recorded and retained within the training and/or assessment pack.
- 2.2.31. Ensure that a minimum of 30 hours Continuous Professional Development (referred to herein as CPD) is undertaken in line with RTAS requirements. Where an Individual requires dispensation, the Assured Provider shall contact the Assurance Organisation not less than twenty (20) Days in advance of the CPD year end to request this.¹²

2.3. Assured Trainers (Individual)

The Assured Trainers of Competences covered by the RTAS Scheme shall:

- 2.3.1. Comply with the RTAS Rules, Network Rail company policies, standards, procedures and materials, including but not limited to, NR/L2/CTM/202 Quality Assurance in Training and Assessment, and Sentinel Scheme Rules.

¹² N.B. Except for certified ill health, mitigation will not be considered during the last month of the CPD year.