Periodic Management Information Reporting Requirements with Delivery Current Levels

- Current Key Performance Indicators

Email responses (hours)	Less 48
Voicemail responses (less than 24 hours)	Less 24
Average Time in Data Checking Queue (Days)	0.69
Average No. of Submissions per Publication Cycle	1.49
% of Paid Suppliers Published	88%
% of Searchable Suppliers with no expired data	95%
*Audit renewal contact	100%
% Audit Renewals Before Expiry	95%
Cycle Time – Average Audit to Publication (Days)	6.33

  *Suppliers nominated contact is emailed four months prior to their audit expiry date

- Numbers as of 01/11/2016
  - Current Scheme Members
    - Supplier 4318
    - Buyer 115

- Supplier Summary Numbers
  - Numbers of suppliers within status
    - Active subscriptions
    - Archived with a valid subscription
    - Suppliers with a questionnaire in process
    - Fully searchable on Portal

- Summary Position of Suppliers
  - 12 month rolling view

- Summary Position of Suppliers who have not completed
  - Suppliers that have been archived but have a valid subscription
  - Suppliers with a questionnaire in process
    - with no questionnaire submission received
    - with a rejected submission
    - that have submitted for data checking

- Age Profile of Suppliers with a questionnaire in process
  - 0-30 days
  - 31-60 days
  - 61-90 Days
  - over 90 Days

- Average Working Days between Questionnaire Submission and Data Checking
  - 12 month rolling average

- Maximum Working Days between Questionnaire Submission and Data Checking
  - Details of supplier not meeting the KPI including Supplier name and number of days taken

- Average Cycle Time for New Suppliers from First Access to Publication
  - Total cycle time
  - Time taken to complete questionnaire
  - First Data checking
  - Additional changes by supplier
  - Further Data Checking

- Populated Product Codes
    - Number of available Product Code intersections (R, A)
    - Number of intersections with 3 or less suppliers listed
    - Number of intersections with more than 200 suppliers listed

- Online Statistics
    - Total number of Supplier Patron users
    - Total number of Buyer users
    - Total number of Buyer searches in month
    - Total number of Supplier Patron searches in month

- Supplier Registration Satisfaction Results
    - Result for period
    - 12 Month Rolling Average

- **Audit Section**

- Summary of Companies that Require an Audit
    - number of active subscribers
    - require an audit
    - with auditable codes
    - auditable codes, no Infra. Intent
    - **NRMI**
        - with NRMI intent
        - auditable codes and NRMI intent
    - **TFL**
        - auditable codes and TfL Infra. intent
        - with TfL Infra. intent (not NRMI)

            - **Total**
            - **Audited**
            - **Audit Required**
            - **% Audit Required**

        -
- RISQS Audits Conducted
    - Chart showing the of audits conducted per service period in the last 12 months

- RISQS Audit Statistics
    - Average per Service Period
    - Average for pervious 12 months
        - Audit to Report (AtR)
        - Report to Upload (RtU)
        - Audit to Upload (AtU)

- Initial RISQS Audits v Subsequent RISQS Audits
    - Chart showing the percentage of new verses renewal audits for the service period

- RISQS Audit Star Rating Distribution
    - Chart showing the percentage of suppliers in each of the star categories
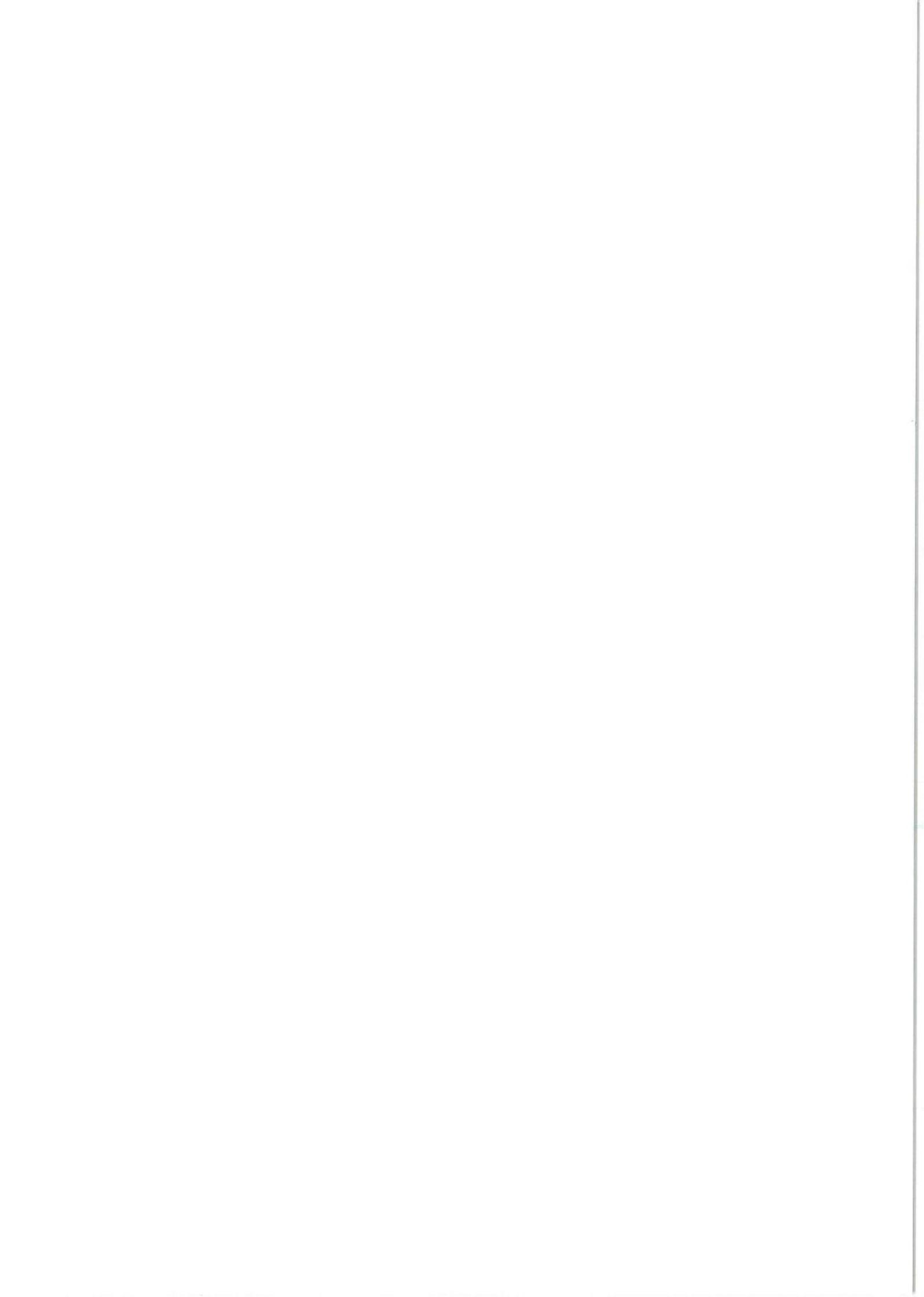
- RISQS Audit Failures
    - Chart showing number of audits undertaken each service period for the last 12 months with number of audits failed and modules failed against

- Auditing Company Statistics
    - Number of audits undertaken by Service provider and its subcontractors in the service period
    - Number of audits undertaken by Service provider and its subcontractors in the last 12 months

- Sentinel Listed Companies
  - **Companies on Sentinel List**
  - NR Trackside sponsors
  - Non-Trackside Sponsors (High Street Environment)

- Audit Satisfaction Results
  - Result for period
  - 12 Month Rolling Average

- **Buyer Summary**
- Buyer Members and Associated Statistics
  - Total Number of Searches per period showing last 12 months
  - Change to Buyers
  - Change to Suppliers

The RISQS Website: http://www.risqs.org/

The Product Code list: http://www.risqs.org/commodity-list/

Sentinel Card ID and competency card for working on the railway: http://info.railsentinel.co.uk/

European Single Procurement Document: https://ec.europa.eu/growth/single-market/public-procurement/e-procurement/espd_en

UK Procurement Document

Periodic Management Information Reporting Requirements with Delivery Current Levels

- Current Key Performance Indicators

Email responses (hours)	Less 48
Voicemail responses (less than 24 hours)	Less 24
Average Time in Data Checking Queue (Days)	0.69
Average No. of Submissions per Publication Cycle	1.49
% of Paid Suppliers Published	88%
% of Searchable Suppliers with no expired data	95%
*Audit renewal contact	100%
% Audit Renewals Before Expiry	95%
Cycle Time – Average Audit to Publication (Days)	6.33

  *Suppliers nominated contact is emailed four months prior to their audit expiry date

- Numbers as of 01/11/2016
  - Current Scheme Members
    - Supplier 4318
    - Buyer 115

- Supplier Summary Numbers
  - Numbers of suppliers within status
    - Active subscriptions
    - Archived with a valid subscription
    - Suppliers with a questionnaire in process
    - Fully searchable on Portal

- Summary Position of Suppliers
  - 12 month rolling view

- Summary Position of Suppliers who have not completed
  - Suppliers that have been archived but have a valid subscription
  - Suppliers with a questionnaire in process
    - with no questionnaire submission received
    - with a rejected submission
    - that have submitted for data checking

- Age Profile of Suppliers with a questionnaire in process
  - 0-30 days
  - 31-60 days
  - 61-90 Days
  - over 90 Days

- Average Working Days between Questionnaire Submission and Data Checking
  - 12 month rolling average

- Maximum Working Days between Questionnaire Submission and Data Checking
  - Details of supplier not meeting the KPI including Supplier name and number of days taken

- Average Cycle Time for New Suppliers from First Access to Publication
  - Total cycle time
  - Time taken to complete questionnaire
  - First Data checking
  - Additional changes by supplier
  - Further Data Checking

- Populated Product Codes
    - Number of available Product Code intersections (R, A)
    - Number of intersections with 3 or less suppliers listed
    - Number of intersections with more than 200 suppliers listed

- Online Statistics
    - Total number of Supplier Patron users
    - Total number of Buyer users
    - Total number of Buyer searches in month
    - Total number of Supplier Patron searches in month

- Supplier Registration Satisfaction Results
    - Result for period
    - 12 Month Rolling Average

- **Audit Section**

- Summary of Companies that Require an Audit
    - number of active subscribers
    - require an audit
    - with auditable codes
    - auditable codes, no Infra. Intent
    - **NRMI**
        - with NRMI intent
        - auditable codes and NRMI intent
    - **TFL**
        - auditable codes and TfL Infra. intent
        - with TfL Infra. intent (not NRMI)
            - **Total**
            - **Audited**
            - **Audit Required**
            - **% Audit Required**
        -
- RISQS Audits Conducted
    - Chart showing the of audits conducted per service period in the last 12 months

- RISQS Audit Statistics
    - Average per Service Period
    - Average for pervious 12 months
        - Audit to Report (AtR)
        - Report to Upload (RtU)
        - Audit to Upload (AtU)

- Initial RISQS Audits v Subsequent RISQS Audits
    - Chart showing the percentage of new verses renewal audits for the service period

- RISQS Audit Star Rating Distribution
    - Chart showing the percentage of suppliers in each of the star categories

- RISQS Audit Failures
    - Chart showing number of audits undertaken each service period for the last 12 months with number of audits failed and modules failed against

- Auditing Company Statistics
    - Number of audits undertaken by Service provider and its subcontractors in the service period
    - Number of audits undertaken by Service provider and its subcontractors in the last 12 months

- Sentinel Listed Companies

    - **Companies on Sentinel List**
    - NR Trackside sponsors
    - Non-Trackside Sponsors (High Street Environment)

- Audit Satisfaction Results

    - Result for period

    - 12 Month Rolling Average

- **Buyer Summary**

- Buyer Members and Associated Statistics

    - Total Number of Searches per period showing last 12 months

    - Change to Buyers

    - Change to Suppliers

Numbers of suppliers registered in the Scheme,

- 4314 registered users.

- The number of suppliers registered in each band is as follows;

Subscription Type	Number of Suppliers
SMS Standard Level 1	817
SMS Standard Level 2	2841
SMS Standard Level 3	599
SMS Standard Level 4	61

Buyers and Patrons per Tier

Numbers of Buyers

- There are 118 Buyers
- There are 182 Supplier Patrons

Please note that not all Buyers, for example infrastructure managers and train operating companies, have supplier subscriptions.

- Supplier Patron and Buyers in each band is as follows;

Subscription Type	Number of Buyers per Level	Number of Patrons per Level
SMS Standard Level 1	0	7
SMS Standard Level 2	13	91
SMS Standard Level 3	46	74
SMS Standard Level 4	38	10

Buyer Searches

Numbers of searches undertaken each month for the past 12 months

Month	Searches
November	13,166
December	12,218
January	23,208
February	18,264
March	12,552
April	17,633
May	9,697
June	11.957
July	11,148
August	15,482
September	17,735
October	12,570

Scheme Storage

- The RISQS database size is currently 700GB.

Member Support contact

The average daily member support volumes are;

- 15 emails
- 50 telephone calls.

Audit Information

Number of audits and number of audit days undertaken for each of the past 12 months

- In the last 12 months 2,088 audits have been undertaken representing 3,042 audit days.

Month	Audits Conducted	Number of Audit days
November 2015	176	309
December 2015	134	201
January 2016	175	298
February 2016	175	278
March 2016	163	260
April 2016	191	301
May 2016	190	307
June 2016	194	319
July 2016	194	327
August 2016	161	262
September 2016	166	280
October 2016	172	305

RISQS Audit Requirements

Industry Minimum Requirements

Table of Contents

1. Management Control

1.1 Management Structure

Suppliers shall create a management structure including:

- Evidence of current organisational structure identifying key managerial posts i.e. health, safety, quality, environmental, technical, etc and their responsibilities for working within the relevant sector.
- Evidence that roles have defined job descriptions and that these are briefed and accepted by the post holder.
- Deputies or alternative arrangements are in place for key roles.
- That there are suitably qualified personnel for the services provided.
- If there are different structures on projects how this relates to the overall hierarchy.

1.2 Health & Safety Competent Support

Suppliers shall have adequate:

- Health and Safety support to manage the work activities identified within their profile
- As a minimum they possess a NEBOSH general certificate or equivalent.
- That the competent personnel are members of an appropriate professional institution e.g. Institute of Occupational Safety and Health; International Institute of Risk and Safety Management.

1.3 Management of Legal and Other Requirements

Suppliers shall have access to and be aware of the requirements of, and changes to legislation and standards:

- Suppliers shall have access to and review Health, Safety and Environmental legislation and standards.
- Suppliers shall have access to and review rail specific legislation and standards appropriate to the scope of services provided for each infrastructure they work on.

1.4 Compliance with CDM Regulations 2015

Suppliers shall show compliance with the relevant requirements within the Construction (Design and Management) Regulations 2015:

- If the Organisation acts as a Client, it must demonstrate mechanisms for:
    - Appointing other duty holders
    - Ensuring relevant information is provided to other duty holders
    - Ensuring the Principal Designer and Principal Contractor carry out their duties
    - Allocating sufficient time and resources (including welfare arrangements)

- If the Organisation acts as a Principal Designer; it must demonstrate mechanisms for:
    - Planning, managing, monitoring and coordinating health and safety in the pre-construction phase of a project including the following:
        - identifying, eliminating or controlling foreseeable risks;
        - ensuring designers carry out their duties;
        - preparing and providing relevant information to other duty holders;
        - Liaising with the principal contractor to assist in the planning, management, monitoring and coordination of the construction phase.

- If the Organisation acts as a Designer, it must demonstrate mechanisms, when preparing or modifying designs, to:
  - Eliminate, reduce or control foreseeable risks that may arise during construction and the maintenance and use of a building once it is built.
  - Provide information to other members of the project team to help them meet their duties.

- If the Organisation acts as a Principal Contractor, it must demonstrate mechanisms for:
  - Planning, managing, monitoring and coordinating the construction phase of a project. This includes:
    - Liaising with the client and principal designer;
    - Preparing the construction phase plan;
    - Ensuring that adequate resources are available to satisfy the work requirements;
    - Organising cooperation between contractors and coordinating their work.
  - Ensuring suitable site inductions are provided
  - Ensuring Site Security (preventing unauthorized access)
  - Ensuring workers are consulted and engaged in health and safety
  - Ensuring welfare facilities are provided.

- If the Organisation acts as a Contractor, it must demonstrate mechanisms for;
  - Planning, managing and monitoring construction work under their control so that it is carried out without risks to health and safety;
  - Ensuring that adequate resources are available to satisfy the work requirements;
  - For projects involving more than one contractor, coordinating their activities with others in the project team
  - For single-contractor projects, preparing a construction phase plan

1.5 Management Systems

Suppliers shall have Health, Safety and Quality Management Systems in place:

- Preferably the Organisation should have an ISO 9001:2008 quality certificate and/or OHSAS 18001:2007 certificate and/or an ISO14001:2004 certificate issued by a UKAS (or equivalent) accredited organisation in place.
- As a minimum a documented management system, appropriate to the scope of services, that meets all the quality, environmental and safety requirements detailed within this document

* The most recent 3rd party surveillance reports should be reviewed to establish that no significant shortfalls were identified that could import unacceptable risk to clients and the general public.

- Where applicable the company must have documented procedures that cover key issues relating to the hire out/supply/maintenance of Possession only Rail Vehicles.

  - o Purchase of new machines
  - o Accreditation of maintenance plans
  - o Modification of machines
  - o Maintenance procedures
  - o Annual brake test procedure
  - o RCI test procedure

1.6 Policy Control

Suppliers shall demonstrate, to employees and other affected parties, the supplier's top level management commitment to Quality, Health, Safety and Environmental requirements and identify the overall framework within which the company operates.

The supplier shall have the following policy statements:

- Health and Safety;
- Environmental;
- Quality.

Note: A single integrated policy statement, in compliance with the Health, Safety and Environmental requirements and Quality objectives, is permissible where the supplier has an integrated management system

- The policies/policy shall:
  - meet UK legislative requirements;
  - be dated and current;
  - be endorsed at top level management (i.e. signed-off at Director Level);
  - cover all areas of the supplier's business.
- The Health and Safety Policy statement shall contain a clear commitment to:
  - safety, in so far as is reasonably practicable;
  - providing sufficient resources for the management of health and safety;
  - setting and monitoring safety objectives;
  - continual improvement in safety performance.

- The Environmental Policy Statement shall contain a clear commitment to:
  - preventing pollution;
  - specifically protecting the environment, with reference to aspects of work activities that are
  - environmentally significant;
  - specifically minimising the environmental impact, for the life cycle; (including disposal), of plant, equipment, and other physical assets under the control of the supplier;
  - setting and monitoring environmental objectives;
  - continual improvement in environmental performance.
- The Quality Policy statement shall contain:
  - whether the supplier is certificated to any standards (e.g. ISO 9001 or any specific standards for the type of product or service);
  - the setting and monitoring of quality objectives;
  - a commitment to work with suppliers and customers to establish and maintain the highest quality standards;
  - a commitment to continual improvement in quality performance.
- The supplier shall have arrangements in place for managing policy statements, including:
  - communicating them to all employees on induction, starting a contract and following policy changes;
  - communicating them to their suppliers (as necessary) and other interested parties;
  - reviewing them (as a minimum annually).

1.7 Document Control

Suppliers shall have arrangements for the identification of all documents that require control to ensure the effectiveness of operations:

- The organisation has a Document Control Procedure that identifies the key documents requiring control. Such as:
    - National and International Standards,
    - Relevant Legislation.
    - Industry and Contract Specific Documentation.
    - Documents supporting the organisation's processes.

- The Document Control Procedure should identify:
    - How documents are reviewed and changes identified.
    - How documents are issued and reach their point of use; in particular multi sites.
    - The process for cancelled and superseded documentation.
    - Archiving and retention.
    - How does the company control the issue of drawings to specialist functions and construction functions/organisations?

- A master list of controlled documents and their status is maintained.

- It should be established that there is a robust system in place, where applicable, to ensure that the following documentation is provided for each machine and trailer in use:

    - Engineering Acceptance (all pages) and endorsements
    - Network rail product acceptance or letter of exemption
    - Record of Thorough Examinations
    - Load radius charts (only for machines fitted with RCI's)
    - Log book/operator inspection report book
    - Brake test certificate

    o For Machine specific documentation has the organisation nominated a responsible manager / individual?

1.8 Monitoring

Suppliers shall have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers. The arrangements shall include:

- That management systems are assessed internally on a regular basis by competent personnel.
- That a documented audit schedule is prepared.
- That internal audit reports are available.
- That corrective actions raised through the internal audit process are reviewed by management and that the organisation has a managed process for the control of corrective actions.
- Obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident frequency reports, etc.
- Analysing and reviewing performance data and other key performance indicators, including the identification of trends.
- Reviewing and discussing suppliers' performance with their suppliers.
- Identifying and closing out corrective actions and concessions in a timely manner.
- During the inspection process, the company must ensure on-site personnel are executing their duties in a safe manner.
- Staff and contractors are in possession of their certification when on site.
- Quality inspections of the installation work are carried out.

1.9 Design Management and Control

Suppliers shall have adequate controls in place to manage the design process within the Organisation (If applicable):

Suppliers shall:
- Provide evidence of acting as designer and co-ordinating designs
- Have arrangements in place for co-ordinating designs in respect of CDM requirements (e.g. designing to meet Workplace regs, consideration of future maintenance, coordination between design disciplines and passing information to subcontracted & specialist design teams).
- Ensure design interfaces are thoroughly reviewed
- Have a documented process for submission of designs (Including revision status, change process etc).
- Have a formal process to show how changes are communicated to the client and where applicable sub-contractors.
- Have a process for third-party review to ensure designs are correct.
- Have a process for managing modifications after the design has been issued.

2. Safety Risk Management

2.1 Health and Safety Risk Controls

Suppliers shall incorporate Health and Safety controls into its risk management process:

- The production of Health and Safety Risk Assessments is formally documented within the organisation's Management Systems.
- Designated responsibility for compiling and authorising the risk assessments.
- Define the minimum competency for personnel authorised to compile risk assessments
- Establish assessments that are generic to the Organisation's scope of operations or unique to each particular contract.
- Ensure that all applicable site issues are incorporated into the relevant risk assessments.
- All infrastructure specific risks appropriate to the scope of services should be captured within the organisation's risk management process.
- Risk assessments shall be communicated to staff, clients and Organisations/subcontractors.
- Records of risk assessment briefing are to be retained.
- Undertake periodic reviews of risk assessments and the types of information the Organisation receives that may initiate a review of the risk assessments.
- Suppliers shall employ programs to reinforce safe behaviour and re-educate un-safe behaviours (Behavioural safety)

2.2 Control of Substances Hazardous to Health

Suppliers shall comply with the Control of Substances Hazardous to Health (COSHH) Regulations:

- Suppliers shall identify any substances used that may fall within the scope of the COSHH Regulations?
- Hold Manufacturers' Safety Data sheets for all substances used.
- Undertake formal COSHH assessments based upon the Manufacturers Safety Data sheets.
- Brief COSHH Assessments to all employees, organizations, subcontractors and the client as applicable.
- Retain records of COSHH assessment briefing

2.3 Implementation of Risk Controls

Suppliers shall have arrangements for implementing the risk mitigation control measures identified through the Risk Assessment process:

- Risk controls are to be identified within the Organisation's processes and communicated throughout their organisation.
- Suppliers shall ensure that responsibility for implementation of these arrangements has been allocated to competent persons, including Professional Heads.
- Detail how control measures are monitored/reviewed on a regular basis by personnel who understand the work being assessed.
- Supplier shall ensure that where method statements are produced, risk assessments are incorporated or referenced.

2.4 Personal Protective Equipment

Suppliers shall have arrangements for the issuing, checking and monitoring of Personal Protective Equipment (PPE) (including Fall Arrest and Fall Prevention Equipment if applicable):

- Issue at induction and following loss or damage.
- PPE is to be provided free of charge to own employees.
- The supplier shall have arrangements for monitoring use of PPE.
- Detail the PPE required where applicable in the risk assessment processes
- Ensure that subcontractors working on associated projects have suitable controls in place for PPE.
- Complies with LOLER and PUWER as appropriate.

2.5 Refusal to Work on the Grounds of Health and Safety (Work Safe)

Suppliers shall have arrangements for managing refusal to work on the grounds of Health and safety (Work Safe):

- Suppliers shall have a documented Policy
- Records of briefing of the Policy shall be retained
- Policy shall include a cascade procedure in the event of conflict / disagreement
- The Policy shall detail that employees are not penalised for refusing to work on grounds of Health and Safety

2.6 Welfare Arrangements

Suppliers shall have arrangements for ensuring that adequate welfare facilities are provided for personnel under their control:

- Where the Welfare is not provided directly the supplier shall confirm that suitable welfare is available and keep records of any checks made.

2.7 Communication and Coordination

Suppliers shall have arrangements in place for Identifying and seeking co-operation from others who their works affect or whose work may affect them and adequately co-operating with them to enable each party to discharge their duties under CDM 2007, the MHSAW Regs and any other relevant statutory duty. In particular, these shall identify how the supplier engages with the wider construction team to coordinate delivery of their service in a way which, so far as reasonably practicable, ensures the health and safety of those carrying out the work and those who are affected by the work.

- Suppliers shall have processes in place for the controlled issue of Method Statements, RAMS, Work Package Plans and Task Briefings to staff and their suppliers (as applicable).
- suppliers shall have a process for the validation and checking of their suppliers Method Statements, RAMS, Work Package Plans and Task briefings (as applicable)

3. Environmental Management

3.1 Environmental Risk

Suppliers shall review Environmental Aspects and Impacts (i.e. Environmental risk assessments) appropriate to the scope of its activities:

- Suppliers shall identify controls to manage environmental legislative requirements appropriate to the scope of it's activities
- Ensure that competent and authorised personnel assess the Environmental Aspects and Impacts associated with the scope of its works.
- Formally document Environmental Risk Management Processes within the organisation's Management Systems.
- Suppliers shall ensure issues such as environmental noise and restrictions on working hours are managed.
- Detail the responsibility and competency for compiling and authorising environmental risk assessments.
- Establish assessments that are generic to the Organisation's scope of operations or unique to each particular contract.
- Communicate environmental risk assessments to staff, clients and the Organisations' subcontractors.
- Records of briefing are retained.
- Suppliers shall verify that staff have appropriate knowledge of Environmental issues
- Define mechanism for periodic reviews of environmental risk assessments and the types of information the organisation receives that may initiate a review of the risk assessments.

4. Management of Accidents and Incidents

4.1 Accident and Incident Reporting and Investigation

Suppliers shall have arrangements for the investigating and reporting of all accidents, incidents, near misses and close calls:

- The supplier shall have understanding of the requirements of RIDDOR
- Suppliers shall have a nominated person for the statutory reporting of accidents and incidents as identified in RIDDOR.
- Suppliers shall maintain records of accidents, incidents, near misses and close calls.
- Supplier shall retain evidence that it has communicated the accident reporting process to its workforce and where applicable sub-contractors.
- The supplier shall ensure that it has a documented process for undertaking local investigations.
  - Including: competent people are undertaking the investigation; all operatives are aware of the investigative process; a mechanism for feeding into the Clients formal enquiry process; that arrangements are in place to assist and provide records to enforcement agencies (Police, Environment Agency, HSE).
- Supplier shall produce and analyse Accident and Incident Statistics.
- Suppliers should produce annual reports detailing Accidents, Incidents and Dangerous Occurrences Statistics and make these reports available.

4.2 Emergency and Contingency Planning

Suppliers shall have arrangements in place for responding to emergencies while undertaking work on rail Infrastructure. These arrangements shall include:

- The preparation and distribution of emergency response plans to its own personnel and suppliers and other affected parties.
- Production and distribution of an emergency contact list.
- Provision of equipment for use in the event of an emergency.
- Provision of competent personnel e.g. first aid staff
- Briefing workers on the plans and testing the effectiveness of such plans.
- Interfacing with, and assisting, Principal Contractors, Infrastructure Managers, Regulatory Authorities, and the emergency services, etc.
- Review and revision of the plans, particularly after an accident/incident or an emergency.

*where the emergency and contingency planning is the responsibility of another party it should be established that the supplier communicates and reviews applicable arrangements

4.3 Restoration of Service (Business Continuity)

Suppliers shall have arrangements for the preparation and implementation of a business continuity management process, which ensures that an effective, coordinated programme can be put into place

- Suppliers shall show that Business Continuity been addressed within the business using a formal plan or corporate process.
- Business Continuity arrangements shall include a phased recovery plan with key recovery stages identified.
- Suppliers shall allocate responsibility to a senior person within the business for business continuity
- Suppliers shall ensure that command and control structure identified in all key areas of the business to ensure that the programme is implemented quickly to ensure minimal disruption to production / service.
- Suppliers shall a communications person (For Business Continuity issues) to deal with media, internal communication and other interested parties including customer base where applicable.

5. Supply Chain Management

5.1 Supplier and Subcontractor Management

Suppliers shall ensure effective supplier and subcontractor management:

Suppliers shall control its supply chain approval process using the

- Suppliers shall assess the historical competence of its supply chain and their ability to meet designated functions under UK Legislation
- Suppliers shall identify the relevant licences and trade associations that the supply chain are members of dependent upon the scope of service offered and records kept.
- Suppliers shall have a process in place for ensuring information is provided to potential suppliers and understood by them.
- Suppliers, where applicable, have in place processes to manage sublet work/design packages with Organisations that are based overseas and that they are able to meet UK regulatory requirements.
- Supplier shall have a n approval process in place prior to placing a contract for works with an approved supply chain member.
- Suppliers shall identify the minimum levels of insurance applicable and required to be held by its supply chain.
- Suppliers shall undertake supply chain auditing or use third party systems or organisations to undertake this for them.
- Suppliers shall have a process for the recording and monitoring of any corrective actions raised at supply chain audits.
- Suppliers shall undertake post contract reviews of supply chain performance and the results of these reviews should be communicated through the business.
- Suppliers shall have a mechanism to verify and ensure that products and components procured are approved and fit for purpose.

6. Competence Management

6.1 Recruitment and Induction

Suppliers shall have a policy on and arrangements for the recruitment and induction of employees and others under its control including sub-contractors and self-employed personnel.

Suppliers shall have:
- Suitable process and evidence of implementation
- Records of induction and ongoing communication.
- Suitable induction process and evidence of implementation
- A process in place to assess / verify that workers carrying out protection activities can communicate in English (both written and oral)
- Arrangements for selecting personnel (e.g. advertising selection, interview) (TfL only)
- Processes for communicating the need for workers carrying out safety critical tasks to carry identification: (induction / toolbox talks / briefing records) (TfL)

6.2 On-going Competence Management

Suppliers shall be able to demonstrate the effectiveness of the competency management system, including:

- How the Organisation identifies competence requirements for particular activity.
- Evidence of identifying and meeting statutory competence requirements as distinct from client-specific competencies.
- Evidence that current personnel have experience with that work type (for multi-disciplinary organisations)
- How the Organisation records what training or levels of competency required for the position.
- The Organisation a process for certification expiry/re-training event dates.
- The capability to meet the professional qualification requirements and review and changes or updates for its activities. (if applicable)
- That the Organisation has a means of identifying certification expiry/re-training event dates and also where necessary competency assessment events due dates.
- How the Organisation identifies and meets industry/client-specific competence/ training requirements (e.g. Sentinel Sponsorship)
- That the relevant competency standards been documented; these may be drawn from external organisations.
- Where competency standards have been developed internally these must be signed off by competent personnel.
- How remote workers are advised of their need to be re-assessed (if applicable)
- If appraisals of personnel performance and personal training plans put in place.
- Whether the company has documented process in place for complying with the IRSE Licensing Scheme. (Signalling only)
- Where IRSE is used that the organisation has documented procedures for the management of IRSE licensing requirement and if not how does the company ensure the competence of signalling personnel
- Ensuring that the company has a process in place for the mentoring and development of personnel deemed "not yet competent"
- Demonstrating that competency management records support the management system presented.
- Demonstrating that nominated competent personnel have been appointed with responsibility for the relevant engineering streams (e.g. Professional Heads)
- Processes for the nomination of key staff for projects
- Having a process for the mentoring, development and re-training of personnel following an accident or who are unfamiliar with an area.

7. Plant & Equipment

7.1 Management, Maintenance and Servicing

Suppliers shall ensure that work equipment is fit for purpose.

Suppliers shall:
- Have a process to identify each item of plant or machinery
  - For suppliers providing On-track plant (OTP) the company must have an up to date inventory of all on-track plant that it operates.
- Arrangements to ensure that all plant, small hand tools and equipment are approved prior to use?
- Processes to ensure that calibration requirements are controlled (if applicable)
- Equipment from a third party fit for purpose.
- Have processes in place to identify and deliver statutory and other inspections/ service maintenance (e.g. Vehicle mounted fire extinguishers, Lifting Accessories, LEV).
- Ensure that maintenance and service procedures identify quarantine arrangements to ensure equipment that is not fit for purpose cannot be used
- Lifting equipment and its ancillary (chains/ slings/ strops) equipment are used, with processes to ensure they remain safe (if applicable)
- Detail the competence requirements for internal staff involved in maintenance, inspections and servicing of equipment.
- Ensure that maintenance work plans are signed by a competent person.
- Understand the requirements of Product and Engineering Acceptance, Where applicable. (supplying OTP)
- Ensure maintenance / service check sheets are in place for all machines, trailers and attachments, along with an annual maintenance programme indicating when next planned maintenance is due.
- Retain records of completed maintenance/service check sheets for all machines, trailers and attachments.
- Ensure that arrangements are in place for the implementation of 'Pre-Delivery Inspection' (Fitter) and 'Pre start' checks (Operator) and that these are formally recorded.
- Have, where applicable, a documented process for the reporting of high risk / safety related defects

8. Human Resources including Occupational Health Management

8.1 Occupational Health

Suppliers shall have processes to meet occupational health surveillance requirements

Suppliers shall:
- Have a process in place to ensure that long-term health issues are risk assessed.
- Document who has been in involved in setting up the occupational health process (employees, specialist advice, Unions or representatives)
- Detail how the potential hazards are identified.
- Detail whether the company undertake Alcohol and Drugs screening for personnel engaged in Safety Critical works, and show evidence of this.
- Manage fatigue of its employees & contractors under its control, and keep records.
- Have processes in place to bring the risks down to as low as is reasonably practicable.
- A process for understanding the medical condition of all employees before they start working for the Organisation.
- Have a process in place for when personnel change roles for reviewing their occupational health requirements assessed prior to starting.
- Undertake a programme of routine health surveillance
- Have processes in place to ensure that control measures remain appropriate to individual's condition/ requirements
- Have access to occupational health surveillance/ advice, undertaken in-house or by a specialist provider.
- Detail how often is the occupational health process reviewed and record evidence of this review.
- Detail whether the Organisation manages their subcontractors in this area, if applicable.
- Securely store its occupational health information on employees
- Give employees have the opportunity to review the Records kept regarding them if requested.
- Retain records for the minimum period applicable to the type of record.

London Underground

ICI-LU and Sentinel

A Guide for Sponsor Companies

Introduction

A Sentinel card endorsed with the Industry Common competence plus the LU endorsement is the minimum requirement to access London Underground (LU) infrastructure to carry out work for all contractor staff without a valid, in date LUCAS card.

For existing Sentinel card holders the ICI competence alone is not enough to gain access or work on LU infrastructure, they must have the LU endorsement of this competence – ICI-LU. Network Rail PTS is not a valid competence for accessing LU infrastructure.

All Sponsors and Sponsored individuals must abide by the Sentinel Scheme Rules, the latest version of these can be found here:

https://www.railsentinel.co.uk/Content/Downloads/SentinelSchemeRules.pdf

Already a Sentinel Sponsor?

If your company is already set up as a sponsor in Sentinel, then you are able to book ICI-LU assessments immediately.

To book an ICI assessment:

1. Register the individual for a login to the ICI e-learning induction at: https://elearning.networkrail.co.uk/ If you do not have a sponsor account on the e-learning system please contact networkrailsupport@epic.co.uk to request one.
2. Ensure the individual completes the ICI e-learning module online.
3. Ensure the individual has the right to work in the United Kingdom. Proof of identification will need to be presented by the individual at the assessment centre.
4. Ensure the individual has been issued with the ICI -LU specific booklet prior to the assessment. Each individual must:
   - Read the booklet and understand its contents
   - Sign and date the declaration in the back of the booklet
   - Ensure the declaration has been countersigned by a Training Co-ordinator or Manager at the sponsoring company
   - Ensure they take the booklet when they attend their assessment
5. Select an assessment centre which is RTAS accredited to deliver the ICI assessment and has been approved by LU to award the LU ICI endorsement. For a list of approved Training Providers please contact the LU Sentinel Team (sentinel@tfl.gov.uk).
6. Book the individual on an ICI assessment quoting their Sentinel number (if they do not have a Sentinel number they should be added to the Sentinel system before you book them on to the ICI assessment).
7. If the individual does not have a Sentinel card, one can be requested in the Sentinel system once they have obtained the ICI competence. An existing Sentinel card will be automatically updated.

Transport for London
London Underground

Not yet a Sentinel Sponsor company?

Your company must be a sponsor in Sentinel before individuals can be booked onto the ICI assessment.

To become a sponsor in Sentinel your company will need to join the Railway Industry Supplier Qualification Scheme (RISQS). The scheme is run and administrated by Achilles.

Once your company is qualified on RISQS, your company's identification number will be visible to the administrators of the Sentinel system (MITIE). However, you will need to contact Sentinel to inform them of your company's qualification at sentinel@mitie.com. You will then be able to add your staff to Sentinel and book them an ICI-LU assessment at an approved training provider when their LUCAS card expires.

Sponsor types

Which type of Sentinel Sponsor type is appropriate for my organisation?

Non-trackside
Non Trackside Sentinel Sponsorship is a category of membership within the Sentinel scheme that allows organisations to act as sponsors for individuals who do not need to work trackside and whose tasks or work location does not require them to hold the following track safety competences:

London Underground – BTA (Basic Track Awareness) and above

"The Non Trackside Sponsorship Declaration" applies to all organisations and individuals who join scheme to act as the Primary Sponsor for individuals who do not require any track safety competences. *For the purposes of Sentinel you are considered trackside if you require an LU Safety on the Track certificate endorsed Basic Track Awareness or higher.*

Trackside
Trackside Sentinel Sponsorship is a category of membership within the Sentinel scheme that allows organisations to act as sponsors for individuals who work anywhere where additional track certification is required. **London Underground – BTA (Basic Track Awareness) and above.**

Where a supplier has indicated they wish to be a Trackside Sentinel Sponsor then, on completion of initial registration – they will go into Sentinel as a "Non-Trackside Sponsor. If an audit is required the company will be upgraded to "Trackside Sponsor" once the necessary audits have been undertaken and/or have their auditable product codes published as 'Approved'.

London Underground

What action do I need to take?
For Non-Trackside Sponsorship

1. Complete the application form by clicking "join as a supplier" on rail.achilles.com
2. Sign and return the Non-Trackside Sponsor Declaration
3. Pay a small Non-Trackside Sponsor fee (this is in addition to the annual RISQS subscription fee you already pay to Achilles)

The declaration is valid for one year and must be renewed annually. Your company will also be subject to a random audit against the RISQS Industry Minimum Requirements and Sentinel Audit modules. There is no additional fee for this audit.

For Trackside Sponsorship

Your company will be subject to an annual audit against the RISQS Industry Minimum Requirements and Sentinel Audit modules. The cost of a RISQS Audit is based on days on site and includes audit planning and reporting.

1. Complete the application form by clicking "join as a supplier" on rail.achilles.com
2. Sign and return the Non-Trackside Sponsor Declaration (this will enable you to get a Sentinel login while any audits are pending)
3. Complete the Audit application form available under Audit related documents on rail.achilles.com and return a completed form to risqsauditapplication@achilles.com
4. Book a date for your audit
5. Watch our video about How to prepare for an Achilles audit to help you get ready for your company's audit.

Once your company is qualified on RISQS, your company's identification number will be visible to the administrators of the Sentinel system (MITIE). However, you will need to contact Sentinel to inform them of your company's qualification at sentinel@mitie.com. You will then be able to add your staff to Sentinel and book them an ICI-LU assessment at an approved training provider when their LUCAS card expires.

Further information:

For more information on the RISQS process and current pricing please visit the Achilles web site (www.rail.achilles.com)

For more information about the ICI assessment please go to the ICI FAQ page (https://safety.networkrail.co.uk/On-site-Solutions/Industry-Common-Induction)

To contact the TfL Sentinel team please email Sentinel@tfl.gov.uk

Accepted identification documentation

LU follows the guidance laid down by the Centre for Protection of National Infrastructure (CPNI) and

the Home Office UK Border Agency Guidance for Employers on Preventing Illegal Working.

Only original of the following identification documentation can be accepted:

British citizens:

- A UK passport

  or

- An original UK birth certificate (long or short) issued within six weeks of birth, accompanied by a UK driving license or current payslip and bank statement.

Other EE nationals:

- A full in date EEA passport or national identity card
  Croatian citizens should also provide their documentation certification (blue card or yellow card) or any visa issued to them.

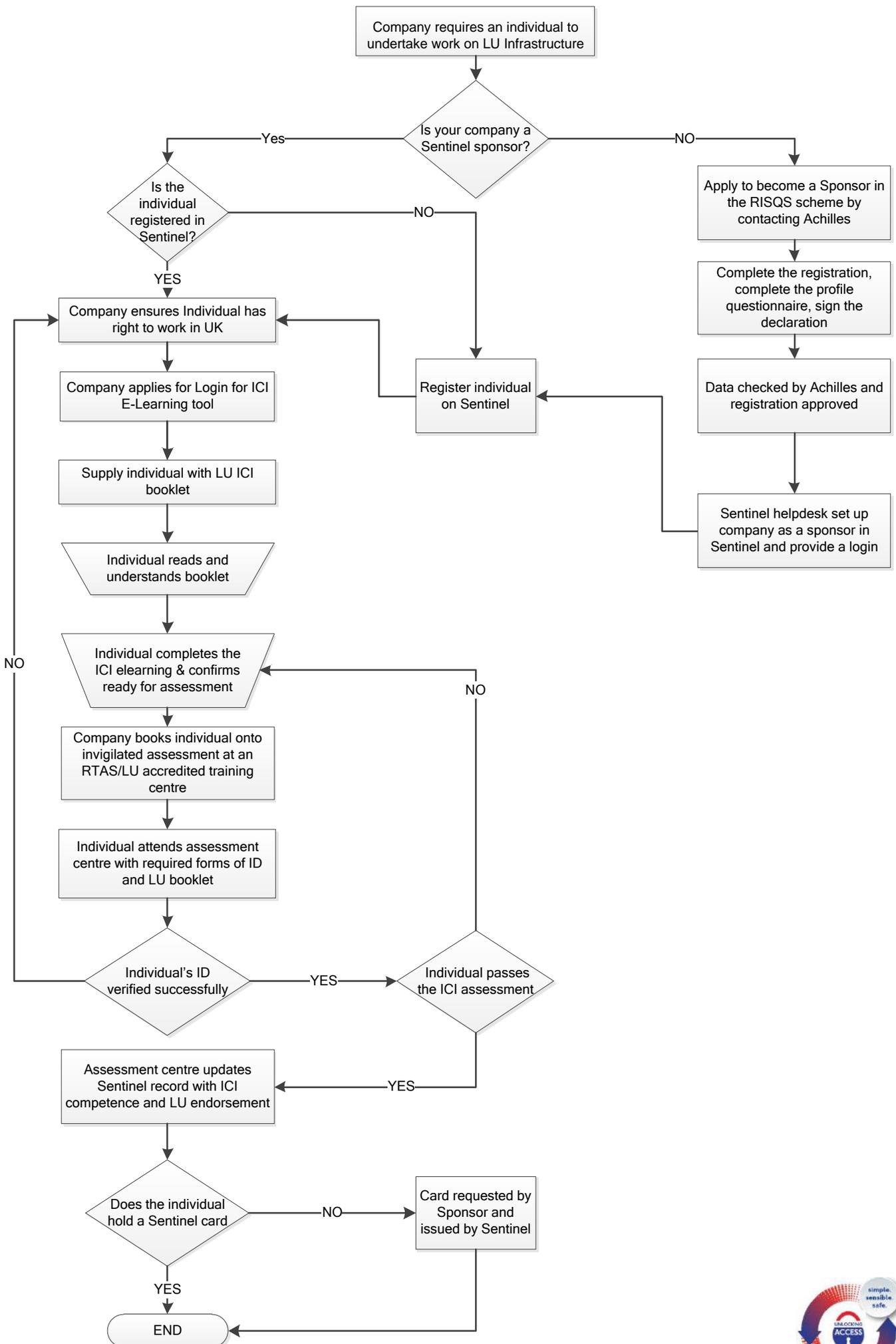### Other Nationals must provide:

A full in date passport with proof of right to work in the UK.

LU ICI Module Booklet

The booklet will be sent out to you.

Please contact the Sentinel Team (sentinel@tfl.gov.uk) if you have problems receiving, opening or printing the booklet.

```
                          ┌─────────────────────────┐
                          │ Company requires an     │
                          │ individual to undertake │
                          │ work on LU Infrastructure│
                          └───────────┬─────────────┘
                                      │
                                      ▼
                            ◆ Is your company a ◆
              Yes ──────────◆   Sentinel sponsor?  ◆────────── NO
              │             ◆                      ◆            │
              ▼                                                 ▼
         ◆ Is the ◆                                   ┌──────────────────┐
         ◆ individual ◆──── NO ─────────────┐          │ Apply to become a│
         ◆ registered in ◆                  │          │ Sponsor in the   │
         ◆ Sentinel? ◆                      │          │ RISQS scheme by  │
              │                             │          │ contacting       │
             YES                            │          │ Achilles         │
              ▼                             │          └────────┬─────────┘
   ┌──────────────────────┐                │                   ▼
   │ Company ensures      │◄──────┐        │          ┌──────────────────┐
   │ Individual has right │       │        │          │ Complete the     │
   │ to work in UK        │       │        │          │ registration,    │
   └──────────┬───────────┘       │        │          │ complete the     │
              │                   │        │          │ profile          │
              ▼                   │        ▼          │ questionnaire,   │
   ┌──────────────────────┐       │  ┌──────────────┐ │ sign the         │
   │ Company applies for  │       │  │ Register     │ │ declaration      │
   │ Login for ICI        │       │  │ individual   │ └────────┬─────────┘
   │ E-Learning tool      │       │  │ on Sentinel  │◄─────────┤
   └──────────┬───────────┘       │  └──────────────┘          ▼
              │                   │               ┌──────────────────┐
              ▼                   │               │ Data checked by  │
   ┌──────────────────────┐       │               │ Achilles and     │
   │ Supply individual    │       │               │ registration     │
   │ with LU ICI booklet  │       │               │ approved         │
   └──────────┬───────────┘       │               └────────┬─────────┘
              │                   │                        │
              ▼                   │                        ▼
   ╱ Individual reads and ╲       │               ┌──────────────────┐
   ╲ understands booklet  ╱       │               │ Sentinel helpdesk│
              │                   │               │ set up company as│
              ▼                   │               │ a sponsor in     │
   ╱ Individual completes ╲◄──── NO              │ Sentinel and     │
   ╲ the ICI elearning &  ╱       │               │ provide a login  │
    ╲ confirms ready for ╱        │               └──────────────────┘
     ╲ assessment       ╱         │
              │                   │
              ▼                   │
   ┌──────────────────────┐       │
   │ Company books        │       │
   │ individual onto      │       │
   │ invigilated          │       │
   │ assessment at an     │       │
   │ RTAS/LU accredited   │       │
   │ training centre      │       │
   └──────────┬───────────┘       │
              │                   │
              ▼                   │
   ┌──────────────────────┐       │
   │ Individual attends   │       │
   │ assessment centre    │       │
   │ with required forms  │       │
   │ of ID and LU booklet │       │
   └──────────┬───────────┘       │
              │                   │
              ▼                   │
       ◆ Individual's ◆      ◆ Individual ◆
  NO ──◆ ID verified  ◆─ YES ─◆ passes the  ◆── NO
  │    ◆ successfully ◆       ◆ ICI         ◆
  │         ◆                 ◆ assessment ◆
  │                                │
  │                               YES
  ▼                                ▼
┌──────────────────────┐
│ Assessment centre    │◄────────── YES
│ updates Sentinel     │
│ record with ICI      │
│ competence and LU    │
│ endorsement          │
└──────────┬───────────┘
           │
           ▼
   ◆ Does the        ◆            ┌──────────────────┐
   ◆ individual hold ◆── NO ──────│ Card requested by│
   ◆ a Sentinel card ◆            │ Sponsor and      │
           ◆                      │ issued by Sentinel│
           │                      └────────┬─────────┘
          YES                              │
           ▼                               ▼
      ( END )◄──────────────────────────────
```

Sentinel Scheme Rules

Sentinel Scheme Rules

Purpose and Scope

The purpose of this document is to define the rules and mechanisms for compliance for the Sentinel Scheme 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 rules outlined in this document are mandatory for all parties involved in putting people to work safely on Network Rail Managed Infrastructure (NRMI). The process for investigating suspected breaches of the Sentinel Scheme Rules and the range of possible outcomes for such breaches if proven are also included.

This document applies to all organisations undertaking the role of Sponsor, and to all Individuals holding a valid Sentinel Smart Card, as well as Network Rail Workforce Safety Team as the Sentinel Scheme custodians.

This document does not cover the rules associated with the delivery of track safety training and associated competence interventions. All activities and roles associated with railway training are detailed within the Railway Training Accreditation Scheme (RTAS) Rules. This document also does not cover the rules associated with medical and drugs and alcohol (D&A) providers.

NOTE: Trainers, Assessors and D&A Collection Officers who are required to hold Sentinel Smart Cards are treated as Individuals within the Sentinel Scheme. Training and assessment providers acting as Sponsors are covered by this document.

Sentinel Scheme Rules

1.   The Sentinel Scheme Rules

1.1   All Individuals must have a Primary Sponsor to be able to use their Sentinel Smart Card to access NRMI. Under the Scheme, an Individual is permitted to have a maximum of one Primary Sponsor and two Sub-Sponsors, dependent upon the Primary Sponsor granting permission for sub-sponsorship.

1.2   All Sponsors must be approved, and shall continue to maintain approval through the Sentinel Scheme Assurance Arrangements set out in Section 6 of this document.

1.3   All Sponsors must act as Primary Sponsor, and must hold primary sponsorship responsibility for a minimum of 30% of their total workforce, measured periodically.

1.4   Where an organisation is the Sub-sponsor of an Individual it has an obligation to update and maintain, all safety related information with the Primary Sponsor.

1.5   Sponsors shall freely share information about Individuals, relating to a safety issue or an alleged breach of the Sentinel Scheme Rules with the Sentinel Scheme Administrator and the Network Rail Workforce Safety Team, and must update and maintain records of Individuals in the Sentinel Database in a timely fashion.

1.6   Individuals are accountable for providing accurate personal information to their Primary Sponsor and for keeping it up to date.

1.7   Alleged breaches of the Sentinel Scheme Rules shall be investigated by the Primary Sponsor. The Sub-Sponsor putting an Individual to work at the time of the alleged breach shall assist in collating information and supporting the Primary Sponsors Local Investigation where applicable.

Where an alleged breach is identified as part of a wider incident investigation, the Primary Sponsor must still instigate the Local Investigation for each Individual to which the allegations relate.

1.8   If the recommended outcome of the Primary Sponsors Local Investigation is a Scheme Outcome, the Primary Sponsor shall refer the matter to the Network Rail Workforce Safety Team for a Formal Review. The Network Rail Workforce Safety Team may request further information from the Sponsor and a statement from the Individual as part of the Formal Review process.

1.9   Sponsors cannot de-sponsor an Individual for a breach of the Sentinel Scheme Rules without first conducting a Local Investigation.

1.10   Primary Sponsors shall always notify the Individual and Sentinel Scheme Administrator of the reasons for de-sponsoring the Individual.

Sentinel Scheme Rules

1.11   The decision as to whether to apply a Scheme Outcome is taken by the Network Rail Workforce Safety Team after a Formal Review and is subject to a Formal Review Appeal.

A Formal Scheme Investigation may be instigated by Network Rail Workforce Safety as a result of conducting the Formal Review process. When this occurs, the Formal Review may be suspended pending the conclusion of the Formal Scheme Investigation

1.12   Network Rail will conduct any Formal Review Appeal Hearings where a Scheme Outcome has been applied. The panel conducting the Formal Review Appeal Hearing will be independent from the Formal Review panel.

A Formal Review Appeal can only be sought by an individual where there is new evidence or mitigating circumstances that were not presented at the Formal Review.

1.13   Where a breach of the Sentinel Scheme Rules by a Sponsor is alleged or suspected, the Network Rail Workforce Safety Team shall conduct a Formal Scheme Investigation into the matter and determine the appropriate outcome.

1.14   Where as a result of a Formal Scheme Investigation a company director or senior manager is proven to have breached the Sentinel Scheme Rules, Network Rail Workforce Safety Team will determine the appropriate outcome.

1.15   Every Individual has a personal responsibility to comply with health and safety rules including, but not limited to:

a) No Individual shall undertake or attempt to report for duty, if they have worked on NRMI within the preceding 12 hours (sometimes referred to as double-shifting), unless a risk assessment has been conducted by the Primary Sponsor and suitable controls implemented
b) No Individual shall exceed the maximum working hours determined by law, Network Rail requirements and the Sponsor
c) Every Individual has a responsibility to be fit for work, not fatigued by excessive travel, and not under the influence of drugs or alcohol. Individuals shall report anything that may affect their ability to work safely including medication, lack of equipment or personal circumstances
d) An Individual shall report for duty with the appropriate Personal Protective Equipment (PPE) to enable them to undertake their duties
e) No Individual shall undertake a task for which they are not competent, do not have the right equipment or the relevant information or local knowledge to complete safely
f) Individuals shall act in a safe manner at all times when on NRMI, and report any incident, close call or breach of the Sentinel Scheme Rules they are aware of
g) Individuals shall always carry their Sentinel card when on NRMI
h) Where accountable; undertaking 100% verification checks on Sentinel smart cards before allowing Individuals to start work.

Sentinel Scheme Rules

2.   Roles and Responsibilities

2.1   All Sponsors

The Sponsor putting the Individual to work is responsible for the following, regardless of whether they are a Primary Sponsor or Sub-Sponsor of the Individual;

- Providing the Safety Critical Equipment required to enable the Individual to undertake their competencies trackside and ensuring that it is fit for purpose, in accordance with the Sentinel Management System (see Section 3).
- Maintaining all records associated with any works undertaken by an Individual on NRMI, as is required by the Sentinel Management System (see Section 3).
- Maintaining a minimum contracted insurance level for works undertaken by Individuals being put to work.

2.2   Primary Sponsor

The Primary Sponsor shall establish a 'Contract of Sponsorship' with each Individual they intend to Sponsor.

The Primary Sponsor shall undertake checks of an Individual's suitability to work on NRMI prior to engaging in a Contract of Sponsorship.

As part of the Contract of Sponsorship, Primary Sponsors shall provide Individuals under their Contract of Sponsorship with:
a) A valid Sentinel Smart Card
b) An induction briefing which will include as a minimum the rules and responsibilities of the Sentinel Scheme
c) Suitable PPE, so marked as to identify who an Individual is working for when on NRMI, and suitable training to be able to use that protective equipment effectively
d) Regular briefings on changes to standards, Rule Book updates and Sentinel Scheme Rule updates
e) Training and assessment to ensure competence at required intervals
f) Safety Critical Equipment to enable the Individual to undertake their role (jointly with any Sub-sponsor)
g) Personal issue information such as handbooks and relevant information
h) Advice, guidance or instruction on any restrictions based on medication and other medical fitness issues
i) Mentoring support to develop the competence of the Individual
j) Clear contractual arrangements between the Primary Sponsor and Individual, and whether Sub-Sponsors are permitted

Sentinel Scheme Rules

Regardless of the employment status of the Individual, the Primary Sponsor through the Contract of Sponsorship shall fulfil the role of the employer for the purposes of health and safety.

The Primary Sponsor which enters into the Contract of Sponsorship with an Individual is also responsible for:

- Monitoring and management of working hours of Individuals under their Contract of Sponsorship. Shifts worked with Sub-Sponsors must be considered in the monitoring of working hours and the management of fatigue
- Agreeing any sub-sponsorship arrangements with the Individual and to grant permission to any Sub-sponsor to use their resources
- Enacting the Local Investigation process where any suspected breach of the Sentinel Scheme Rules becomes apparent
- Collating information from Sub-sponsors to enable conclusion of the Local Investigation.
- Maintaining records of Local Investigations and requesting a Formal Review where a Scheme Outcome is recommended following a Local Investigation
- Providing a reason for de-Sponsoring an Individual
- Conducting a Local Investigation before de-Sponsoring an Individual for any breach of the Sentinel Scheme Rules
- Collating and maintaining all records associated with the Contract of Sponsorship of an Individual as required by the Sentinel Management System (see Section 3)
- Requesting a temporary Suspension or issuing a temporary Take Down of competence pending the conclusion of Local Investigation where appropriate.

2.3   Sub-Sponsor

The Sub-sponsor must request permission to use an Individual from their Primary Sponsor. The Sub-sponsor must receive confirmation of sub-sponsorship status before resourcing the Individual to work.

The Sub-sponsor is responsible for providing all information to the Primary Sponsor to enable the Primary Sponsor to manage the overall safety of the Individual. This includes, but is not limited to information on working hours, safety incidents, competencies used and competence short-falls.

The Sub-sponsor must notify the Primary Sponsor of any alleged breach of the Sentinel Scheme Rules as soon as is reasonably practicable after becoming aware of such allegation, and co-operate in collecting information and evidence to enable the Primary Sponsor to conduct a Local Investigation.

The Sub-sponsor must co-operate with the Primary Sponsor in the management of working hours. Where a risk assessment has been conducted and extra working hours approved, this information must be provided to the Primary Sponsor.

Sentinel Scheme Rules

2.4   Individual Cardholder

The Individual shall carry their Sentinel Smart Card at all times while working on NRMI and will co-operate with their Primary Sponsor to keep the personal information held in the Sentinel Scheme Database and printed on the Sentinel Smart Card up to date.

The Individual shall follow the rules of personal accountability for working safely on NRMI, including compliance with the Lifesaving Rules.

The Individual has a responsibility to manage their Sponsor relationships and at all times when working on the NRMI an Individual has a responsibility to:

- Know the identity of their Primary Sponsor
- Know which Sub-Sponsor they are working for (when they are not working for their Primary Sponsor)
- Provide the correct name of the Sponsor they are working for when booking into site

Individuals are required to notify the Primary Sponsor if they no longer wish to be sponsored by them so that they can be de-sponsored. Change of sponsorship can be requested online through My Sentinel.

Individuals can access their personal records on the Sentinel Scheme Database. This can be requested from their Primary Sponsor, or by direct access to the My Sentinel area of the Sentinel website.

2.5   Network Rail

The Network Rail Workforce Safety Team is the owner of the Sentinel Scheme Rules and responsible for keeping the Sentinel Scheme Rules up to date and available to the industry, Sponsors and Individuals.

Following notification by a Primary Sponsor that a Local Investigation into a breach of the Sentinel Scheme Rules has recommended a Scheme Outcome, the Network Rail Workforce Safety Team will conduct a Formal Review to determine if the recommended Scheme Outcome should apply.

An Individual who is alleged to have breached the Sentinel Scheme Rules will, save for exceptional circumstances, be given the opportunity to submit a written statement to the Network Rail Workforce Safety Team for consideration as part of the Formal Review.

The Network Rail Workforce Safety Team can impose a temporary Suspension on an Individual where appropriate following notification of an alleged breach of the Sentinel Scheme Rules and pending the conclusion of a Local Investigation, Formal Scheme Investigation, British Transport Police Investigation or other investigation. Such Suspensions, if imposed will be regularly reviewed by the Network Rail Workforce Safety Team.

Sentinel Scheme Rules

The Network Rail Workforce Safety Team may instigate a Formal Scheme Investigation if a Local Investigation fails to adequately investigate an alleged breach of the Sentinel Scheme Rules.

The Network Rail Workforce Safety Team may suspend a Sponsor pending the outcome of a Formal Scheme Investigation, British Transport Police or other investigation.

The Network Rail Workforce Safety Team shall hear any Individual appeal against a Scheme Outcome following a Formal Review where new information or mitigating circumstances not available to the Individual at the Formal Review are submitted as part of a request for a Formal Review Appeal Hearing. Appeals must be submitted to the Network Rail Workforce Safety Team within 30 days together with the new information or mitigating circumstances.

2.6   Sentinel Scheme Administrator

The Sentinel Scheme Administrator is responsible for maintaining all records on behalf of the industry through the Sentinel Scheme Database, for providing a call-centre to support Sponsors and Individuals in the management of the Sentinel Scheme records and for giving access to the Sentinel Scheme information.

The Sentinel Scheme Administrators are required to provide Sentinel Scheme Database and access accounts to both Sponsors and Individuals. Accounts will be administered to Sponsors on a request basis and once the assurance arrangements have been satisfied (see Section 6).

Sentinel Scheme Rules

3. Management System Requirements

3.1 Pre-Sponsorship Process

Each Sponsor shall have a process in place for undertaking pre-sponsorship checks for all Individuals. Pre-sponsorship checks shall be undertaken in advance of the Individual undertaking any duties on behalf of the Sponsor.

Before undertaking the role of Primary Sponsor, the following checks shall be completed (as a minimum) as part of the pre-sponsorship process:

- Ensure that there are no Suspensions in place that may prevent the Individual from holding a Sentinel Smart Card
- Complete a pre-sponsorship drugs and alcohol screening, results of which will be required to be entered on the Sentinel Scheme Database
  NOTE: The Sponsor will not need to complete a pre-sponsorship screening if the Individuals record shows that a screening has taken place in the last 3 months.
- Review the period for which the Individual has had no Primary Sponsor. Where this is in excess of 6-months the new Primary Sponsor will be required to undertake and document a mentoring assessment to confirm the Individual is competent
- Undertake a review of work experience to determine the extent to which the Individual has utilised each competence. Where it is it determined that the Individual has not practiced a competence within the last 6 months the new Primary Sponsor shall undertake and document a mentoring assessment to confirm that the Individual remains competent in the applicable competencies
- Conduct and document a pre-sponsorship interview to determine the Individual is legally eligible to work in the UK and is able to sufficiently communicate in verbal and/or written English (dependent on the safety critical nature or the competencies held).

Following the conclusion of the pre-sponsorship process, the Primary Sponsor will enter into a Contractor of Sponsorship with the Individual as set out in Section 3.2.

The Sub-sponsor must have in place the following agreements and carry out the following pre-use checks before putting an Individual to work:

- Agree that the Individual wishes to undertake work for the Sub-sponsor in addition to the work undertaken on behalf of the Primary Sponsor
- Check who is the Primary Sponsor for the Individual and if the Contract of Sponsorship permits Sub-Sponsors
- Check the Individual's personal information, including Sentinel Smart Card number, NI Number and Date of Birth are correct.

Sentinel Scheme Rules

The Sub-Sponsor can then make a request to the Primary Sponsor, through the Sentinel Scheme Database to Sub-Sponsor the Individual. The Sub-Sponsor cannot put the Individual to work until the Primary Sponsor has accepted the request in the Sentinel Scheme Database.

3.2   Contract of Sponsorship

The Primary Sponsor must have processes in place to complete an induction with each Individual when they join their sponsorship. As part of this induction process the Sponsor shall brief the Individual on (as a minimum) their Contract of Sponsorship and their responsibilities under the Sentinel Scheme Rules.

The Primary Sponsor must have processes in place to engage the Individual in a Contract of Sponsorship. The Contract of Sponsorship as a minimum shall:

a) Define the contractual relationship between the Primary Sponsor and Individual (i.e. directly employed/self employed, sub-contractor) and whether Sub-Sponsors are permitted
b) Regardless of the employment status of the Individual, commit the Primary Sponsor to fulfilling the role of employer of the Individual for the purposes of health and safety
c) Define the responsibilities of the Individual and the Primary Sponsor in relation to compliance with the Sentinel Scheme Rules
d) Ensure the provision of suitable PPE, in accordance with the Sponsor's defined PPE Policy;
e) Define the process for and commitment to the provision of regular Briefings, Rule Book updates and Sentinel Scheme Rule updates
f) Make provision for training, assessment and mentoring at required intervals;
g) Make provision for Safety Critical Equipment to enable the Individual to undertake their competencies trackside (in accordance with Section 3.8)
h) Make provision for personal issue information such as handbooks and relevant Standards
i) Explain how the sponsor will prove advice, guidance or Instruction on any restrictions based on medication and other medical fitness issues
j) Require the Individual to notify the Primary Sponsor of any changes in circumstance including health issues, that may need the Primary Sponsor to take action to ensure the Individual's continued fitness for work trackside
k) Make provision for mentoring support to develop the competence of the Individual.

Sub-sponsors are not required to enter into a Contract of Sponsorship with the Individual as they will be permitted by the Primary Sponsor to use the Individual. The Primary Sponsor maintains the sponsorship relationship with the Individual.

Sentinel Scheme Rules

3.3   Management of Sub-Sponsors

Primary Sponsors shall have processes in place for the management of Sub-sponsors. This shall include:

- A mechanism for reviewing and then either approving or rejecting the Sub-sponsor's request
  NOTE: Where rejected, a reason for rejection must be provided.
- A documented list of Sub-sponsors and any associated agreements for sharing of labour that are in place between the organisations
- A process for reviewing and for analysing usage by Sub-sponsors
- The means of obtaining information on an Individual from the Sub-sponsor as required in Sections 2.2 and 3

NOTE: It is optional that a Primary Sponsor may have processes in place for recovering costs from a Sub-sponsor for the use of an Individual; any payment framework is not managed through the Sentinel Scheme Rules.

3.4   Competence Management

Sponsors shall have a Competence Management System in place to flag the training and assessment interventions and for undertaking mentoring required for Individuals for whom they are the Primary Sponsor, in advance of their expiry. The Sponsor shall then arrange training, assessment and mentoring to take place in advance of expiry, where the competence is still required.

3.5   Management of Working Hours

Primary Sponsors shall have a Fatigue Risk Management System in place for Individuals they have entered in to a Contract of Sponsorship with.

The Sentinel Scheme Database will provide data on when cards are authenticated for each Individual under their contract of sponsorship, whether on behalf of the Primary Sponsor, or the associated Sub-sponsor.

The Primary Sponsor shall use the data from Sentinel as part of their Fatigue Risk Management System.

Sub-sponsors shall notify the Primary Sponsor of any approved excessive working hours, along with the associated risk assessment to enable the Primary Sponsor to manage any fatigue risk associated with the Individual.

The Primary Sponsors' Fatigue Risk Management System should proactively predict fatigue and therefore prevent excessive working hours, rather than just relying on the Sentinel Smart Card to flag actual exceedence once it occurs on site.

Sentinel Scheme Rules

3.6   Provision of PPE and other Personal Issue Equipment

Primary Sponsors shall have a process in place for the provision of Person Protective Equipment (PPE) and other personal issue equipment to each Individual for which they are the Primary Sponsor, and suitable training to be able to use that protective equipment effectively. PPE must be of a minimum standard to comply with both Network Rail and the Primary Sponsor's PPE Policy.

This process shall include documenting the provision and routine check of PPE to ensure it is maintained and fit for purpose. The process shall also provide details for the provision of additional or replacement equipment when lost or damaged.

Sub-sponsors must provide further PPE as required by any task based risk assessment they conduct.

3.7   Routine Briefings and Cascade of Core Information

Primary Sponsors shall have a process in place for the cascade of briefings to all Individuals for which they are the Primary Sponsor. The process shall cover as a minimum, Rule Book updates, competence specific briefing events and changes to these Sentinel Scheme Rules and any other rules and standards that apply to an Individuals role. The process shall require documented records to be maintained of all such briefings. Where this is a competence specific briefing the event shall be recorded through the Sentinel Scheme Database.

3.8   Procurement, Management, Calibration and Provision of Safety Critical Equipment for use on NRMI

Sponsors must have processes in place for the procurement, management, transport, calibration and provision of equipment for use by Individuals working on their behalf on NRMI.

The process shall have assurance checks in place to ensure that only equipment that is calibrated and fit for purpose is provided for use on the NRMI.

NOTE: This includes but is not limited to: Marker Boards, Possession Limit Boards, Electrification Isolation Test Equipment, Lookout Equipment. This also includes providing equipment to read/verify Sentinel Cards for Individuals who's role requires them to check the competencies of other staff.

This requirement is not solely for the Primary Sponsor. The Sponsor responsible for putting the Individual to work is required to ensure that suitable equipment is provided to site, regardless of their sponsorship status with the Individual. Provision is not the responsibility of the Individual.

The Sponsor responsible for putting the Individual to work must liaise with the person responsible for the works (where different), in advance of the planned works, to ensure the Safety Critical Equipment needs are clearly identified.

Sentinel Scheme Rules

Sponsors must maintain a documented register of all Safety Critical Equipment required by their activities. Sponsors must have a documented equipment register, identifying all equipment currently held by the Sponsor (either owned or on loan), and when it next requires inspection, test or calibration.

The Sponsor shall have a process in place for the management of non-conforming products to ensure these are not provided for use on NRMI.

3.9   Management of Alleged Breaches in the Sentinel Scheme Rules

Sponsors shall have a process in place to identify report and investigate any alleged breaches of the Sentinel Scheme Rules.

Where an Individual is working on behalf of the Primary Sponsor at the time of an alleged breach, the Primary Sponsor must conduct a Local Investigation. (see Section 3.10).

Where the Individual is working on behalf of a Sub-sponsor at the time of an alleged breach, the Sub-sponsor must collate any evidence and witness statements and provide this to the Primary Sponsor who must then conduct a Local Investigation.

The Sub-sponsors shall have a process in place to collate information and report all alleged breaches of the Sentinel Scheme Rules to the Primary Sponsor in a timely manner.

Sponsors shall have processes in place for reviewing alleged breaches of the Sentinel Scheme Rules by Individuals they sponsor. These can be received from various sources including Sub-sponsors, clients, Whistle-blowers, the Sentinel Scheme Administrator or Network Rail.

This review must decide whether a temporary Suspension is required due to the severity of the allegation whilst a Local Investigation is taking place. Where a temporary Suspension is deemed appropriate, the Primary Sponsor should request a temporary Suspension of the Individual's Sentinel Smart Card subject to a Local investigation from the Sentinel Scheme Administrator.
NOTE: A temporary Take Down of specific competencies can be implemented directly by the Primary Sponsor in the Sentinel Database, with a review date of no more than 3 months.

3.10   Investigations into alleged breaches of the Sentinel Scheme Rules

Primary Sponsors shall have an investigation process in place that will enable investigation of any alleged breach of the Sentinel Scheme Rules involving an Individual for which they are the Primary Sponsor.

The Local Investigation process must be suitably independent and also be able to review system and management decisions that may be relevant to an alleged breach. The process will ensure that all alleged breaches of the Sentinel Scheme Rules as outlined in Section 4 of this document will be subject to a Local Investigation.

Sentinel Scheme Rules

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

The Primary Sponsor's Local Investigation process must be compliant with the investigatory process outlined in Section 5 of the Sentinel Scheme Rules.

3.11   Management of Records

Sponsors shall have processes in place to manage and maintain all records required by Section 3 – Management System Requirements of the Sentinel Scheme Rules. Sponsors will maintain all records for those Individuals for which they are the Primary Sponsor. Sub-sponsors need maintain only the necessary records for those Individuals for which they are Sub-sponsor.

3.12   De-sponsoring Individuals

Primary Sponsors must have processes in place for de-sponsoring Individuals for which they are the Primary Sponsor, which includes providing a reason for de-sponsoring and writing to the Individual to cancel the Contract of Sponsorship. The Primary Sponsor must provide documented reasons for de-sponsoring, even if this is at the Individual's request. Records of anyone de-sponsored must be maintained by the Primary Sponsor.

Where an Individual is de-sponsored by a Primary Sponsor, any Sub-sponsors will receive notification that the Individual is currently not available for work on NRMI, as they do not have a valid Primary Sponsor. A Sub-sponsor could then elect to become Primary Sponsor for the Individual by following the pre-sponsorship process (Section 3.1).

NOTE: The Primary Sponsor must act upon Individuals request for de-sponsorship, unless the Individual is under investigation for an alleged breach of the Sentinel Scheme Rules.

3.13   Confidential Reporting Service

Sponsors must be members of an independent and confidential industry reporting service and have a process in place for receiving and responding to reports provided by the service.

Sentinel Scheme Rules

4.   Breaches of the Sentinel Scheme Rules

Breaches of the Sentinel Scheme Rules by either an Individual or a Sponsor include (but are not limited to) the following:

4.1   Any action of theft, attempted theft, fraud, or falsification of documentation or records;

4.2   Any conviction related to theft or attempted theft of railway materials

4.3   Any breach of the Drugs and Alcohol policy, including reporting or endeavouring to report to site under the influence of drugs or alcohol or being in possession of illegal drugs on site, either for sale or personal use

4.4   Any breach in working hours, including reporting or endeavouring to report for a shift of work, having previously undertaken a shift on NRMI within the last 12 hours (known as double-shifting); unless a risk assessment has been conducted by the Primary Sponsor and suitable controls implemented

4.5   Any event of presenting a falsified or altered Sentinel Smart Card, or claiming a false identify for the purposes of trying to gain entry on NRMI

4.6   The infringement of any health and safety rules

4.7   Any event of negligence which causes, or has the potential to cause loss, damage or injury;

4.8   Any event of physical violence while at work

4.9   Any event of deliberate damage to NRMI property

4.10   Any event of bullying, harassment or discrimination

4.11   Any breach of confidence

4.12   Any breach of the Lifesaving Rules

4.13   Any failure to investigate an alleged breach of the Sentinel Scheme Rules for an Individual they currently sponsor or sponsored at the time of the alleged breach. (This also applies where investigations are undertaken, but are deemed inadequate at Formal Review)

4.14   Any allegation of a breach of the Sentinel Scheme Rules which is found to be false and is proven to have been made with malicious intent

4.15   Any other event that brings the Sentinel Scheme into disrepute.

Sentinel Scheme Rules

5. Investigating breaches of the Sentinel Scheme Rules

5.1 Reporting an alleged Breach of the Sentinel Scheme Rules

Where an Individual observes any alleged breach of the Sentinel Scheme Rules, they shall report this event either to their Primary Sponsor, Sub-Sponsor or anonymously to Network Rail through the Whistle-blowing process.

Where a Sub-sponsor observes or suspects an alleged breach of the Sentinel Scheme Rules, they shall notify the Primary Sponsor of the alleged breach to enable the Primary Sponsor to follow their process for Local Investigation.

Where Network Rail receives notification of an alleged breach of the Sentinel Scheme Rules by an Individual, Network Rail will, where appropriate, contact the Sponsor in the first instance. This may result in the Primary Sponsor conducting a Local Investigation.

Where Network Rail receives a notification of an allegation that a Sponsor is in breach of the Sentinel Scheme Rules, Network Rail Workforce Safety Team will, where appropriate, instigate a Formal Scheme Investigation into the Sponsor, in accordance with Section 5.5 of this document.

5.2 Local Investigations by Primary Sponsor

Whatever the source of the alleged breach of the Sentinel Scheme Rules, the Primary Sponsor shall undertake a Local Investigation in accordance with their management system processes.

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

Following completion of the Local Investigation, the Primary Sponsor shall make recommendations as to any action involving the Individual and any other parties found to be involved. Where these actions involve a Scheme Outcome, the Network Rail Workforce Safety Team must be notified so that a Formal Review can take place.

Recommendations for action shall be made in accordance with the guidelines in the Sentinel Scheme Rules (Section 5.10), and will apply the 'Just Culture' Consequences Model that supports the Lifesaving Rules.

Primary Sponsors cannot de-sponsor an Individual following an allegation of a breach of the Sentinel Scheme Rules without first concluding a Local Investigation. Where the Local Investigation identifies that the outcome should be a Scheme Outcome the Primary Sponsor must make this recommendation to the Network Rail Workforce Safety Team to conduct a Formal Review before de-sponsoring the Individual.

Sentinel Scheme Rules

5.3 Other Investigations

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

5.4 Formal Review by Network Rail

5.4.1 Primary Sponsor Local Investigations

Where the outcome of a Local Investigation recommends a Scheme Outcome, the Primary Sponsor shall refer the matter to the Network Rail Workforce Safety Team for Formal Review by sending a copy of the Local Investigation report.

A Local Investigation subject to Formal Review will proceed to one of the following outcomes:

- Apply the recommended Scheme Outcome;
- Apply a different Scheme Outcome to the one recommended;
- Apply no Scheme Outcome and refer back to the Sponsor who may choose to apply a Primary Sponsor Outcome

Where insufficient information is presented at the Formal Review, the Network Rail Workforce Safety Team may request further information from the Sponsor. The Formal Review will be suspended until the information is provided.

During the Formal Review, if it has become necessary to undertake a Formal Scheme Investigation into the Sponsor the Formal Review shall be suspended until the Formal Scheme Investigation is completed or sufficient information is available to conclude the Formal Review.

The Sponsor shall be advised in writing of the outcome of the Formal Review within 30 days of the conclusion of the Formal Review.

The Formal Review panel shall be made up of representatives from both the Network Rail Workforce Safety and the Network Rail Training Assurance Teams.

5.4.2 Other investigations

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

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

Sentinel Scheme Rules

These reports may be subject to a Formal Review and the Network Rail Workforce Safety Team may request any allegations made against Individuals be investigated by their Primary Sponsor in the first instance.

Allegations made against the Sponsor will be subject to a Formal Scheme Investigation where appropriate. The Network Rail's Workforce Safety Team may request, at their discretion, that the Individual or Sponsor attend a hearing as part of the Formal Scheme Investigation process.

5.5   Formal Scheme Investigation by Network Rail

For investigations into the conduct of Sponsors, the Network Rail Workforce Safety Team shall appoint an independent Lead Investigator who will undertake the Formal Scheme Investigation.

Following the conclusion of the investigation and any associated hearing, the Network Rail Workforce Safety Team shall advise the Sponsor in writing of the outcome of the Formal Scheme Investigation and any associated outcomes.

During the Formal Scheme Investigation stage, Individuals and Sponsors may be asked to attend a hearing to provide further information.

5.6   Notification of Scheme Outcomes

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

All decisions on outcomes shall be communicated in writing to the Individual either directly or via the Sponsor, along with any right to appeal against these outcomes.
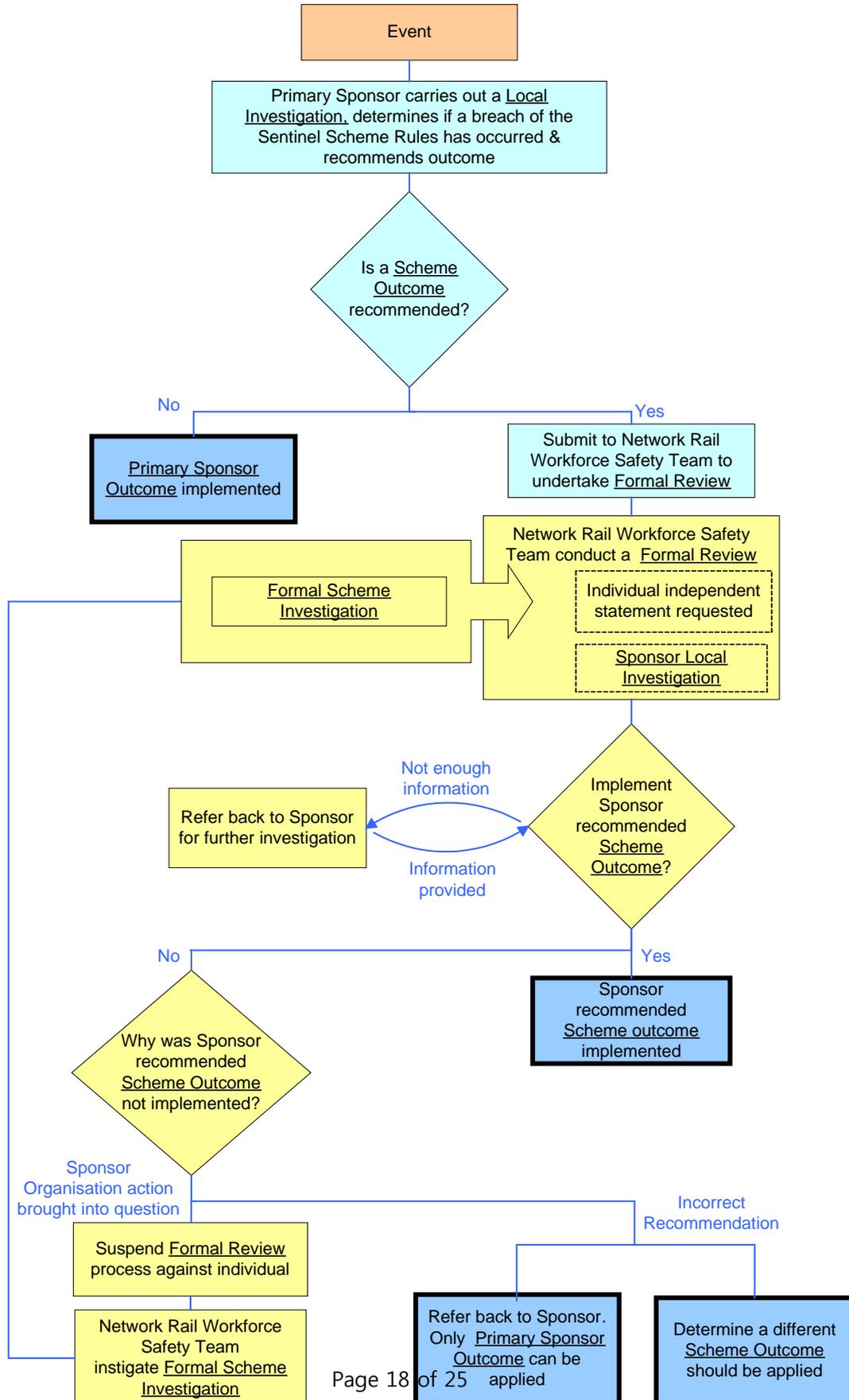
5.7   Formal Review Appeals

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

The Formal Review Appeal panel shall be made up of representatives from both the Network Rail Workforce Safety and the Network Rail Training Assurance Teams. These Individuals will be independent of the Formal Review panel.
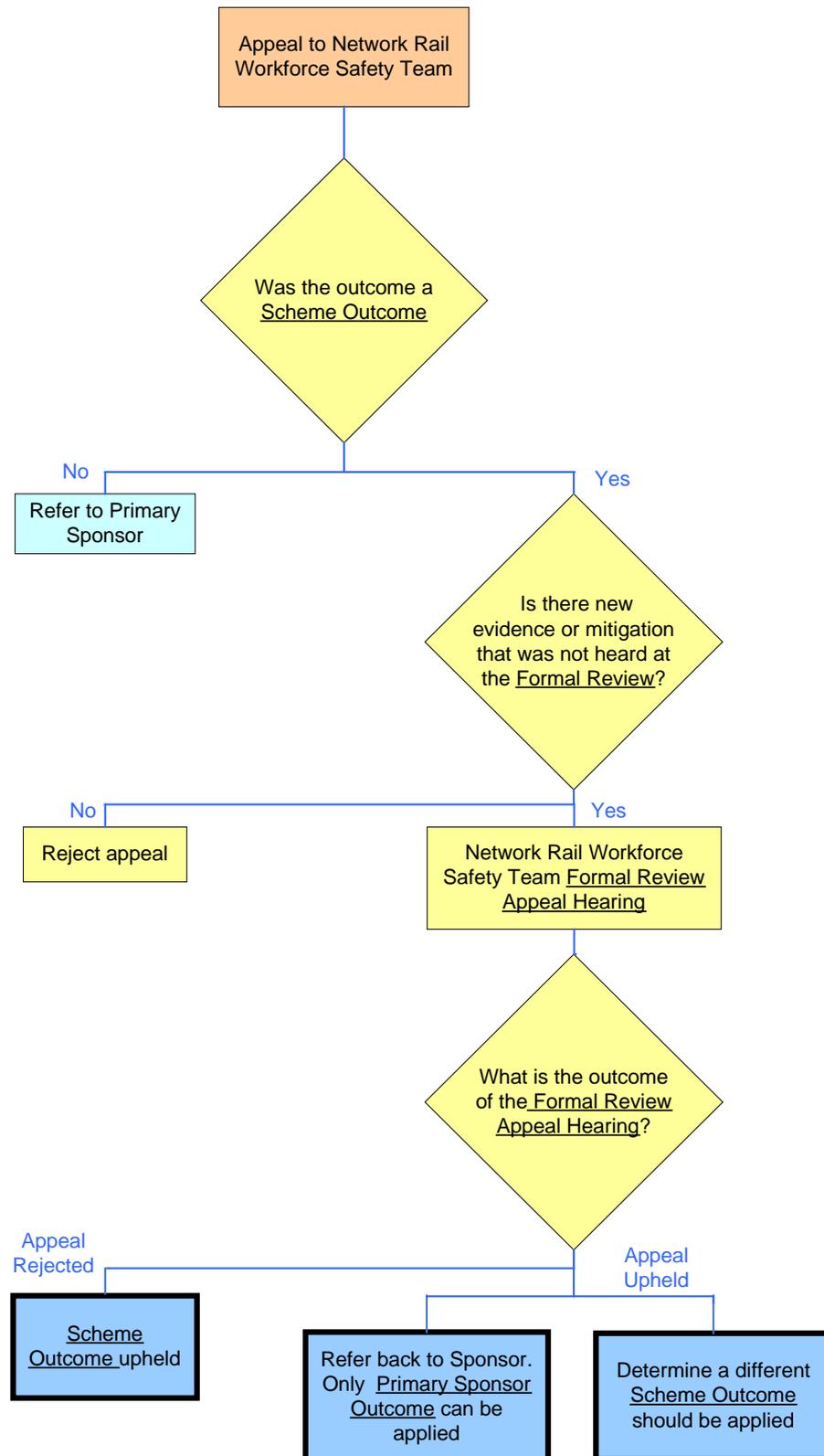
Sentinel Scheme Rules

5.8   Primary Sponsor Local Investigation & Formal Review Process

Event

Primary Sponsor carries out a Local Investigation, determines if a breach of the Sentinel Scheme Rules has occurred & recommends outcome

Is a Scheme Outcome recommended?

No

Yes

Primary Sponsor Outcome implemented

Submit to Network Rail Workforce Safety Team to undertake Formal Review

Formal Scheme Investigation

Network Rail Workforce Safety Team conduct a Formal Review

Individual independent statement requested

Sponsor Local Investigation

Not enough information

Refer back to Sponsor for further investigation

Information provided

Implement Sponsor recommended Scheme Outcome?

No

Yes

Sponsor recommended Scheme outcome implemented

Why was Sponsor recommended Scheme Outcome not implemented?

Sponsor Organisation action brought into question

Incorrect Recommendation

Suspend Formal Review process against individual

Network Rail Workforce Safety Team instigate Formal Scheme Investigation

Refer back to Sponsor. Only Primary Sponsor Outcome can be applied

Determine a different Scheme Outcome should be applied

Sentinel Scheme Rules

5.9   Formal Review Appeal process

```
                    ┌─────────────────────────┐
                    │ Appeal to Network Rail  │
                    │ Workforce Safety Team   │
                    └─────────────────────────┘
                                │
                           ╱─────────╲
                          ╱ Was the   ╲
                         ╱  outcome a   ╲
                         ╲ Scheme       ╱
                          ╲ Outcome    ╱
                           ╲─────────╱
              No │                    │ Yes
        ┌──────────────┐         ╱─────────────╲
        │ Refer to     │        ╱ Is there new  ╲
        │ Primary      │       ╱  evidence or    ╲
        │ Sponsor      │       ╲ mitigation that  ╱
        └──────────────┘        ╲ was not heard  ╱
                                 ╲ at the Formal ╱
                                  ╲ Review?     ╱
                                   ╲─────────╱
                     No │                    │ Yes
              ┌──────────────┐      ┌──────────────────────┐
              │ Reject appeal│      │ Network Rail Workforce│
              └──────────────┘      │ Safety Team Formal    │
                                    │ Review Appeal Hearing │
                                    └──────────────────────┘
                                              │
                                         ╱─────────╲
                                        ╱ What is   ╲
                                       ╱ the outcome ╲
                                       ╲ of the Formal╱
                                        ╲ Review      ╱
                                         ╲ Appeal    ╱
                                          ╲ Hearing? ╱
                                           ╲───────╱
         Appeal Rejected │                          │ Appeal Upheld
    ┌──────────────┐          ┌──────────────┐    ┌──────────────┐
    │ Scheme       │          │ Refer back to│    │ Determine a  │
    │ Outcome      │          │ Sponsor. Only│    │ different     │
    │ upheld       │          │ Primary Sponsor│  │ Scheme        │
    └──────────────┘          │ Outcome can be│   │ Outcome should│
                              │ applied      │    │ be applied    │
                              └──────────────┘    └──────────────┘
```

Sentinel Scheme Rules

5.10 Outcome Guidelines

Event	Primary Sponsor Outcome		Scheme Outcome	
	Unintentional Error or System Error *Coaching, Mentoring, Re-training, Assessment*		**Deliberate Violation** *Take Down, Suspension*	
Breach of the drugs and alcohol policy			Single Occurrence Proven by screening	
Conviction related to theft or attempted theft or railway materials			Single Occurrence	
Falsification of Sentinel Card/ False ID			Single Occurrence	
Physical Violence				
Bullying, harassment or discrimination				
Any action of theft, attempted theft, fraud, or falsification of documentation or records		Unknown breach	Following Management Instruction	Multiple occurrence/ Deliberate Breach
Negligence which causes or has the potential to cause loss, damage or injury				
Deliberate Damage to NRMI				
Breach of confidence				
Malicious allegation of breach				
Breach in working hours or double shifting	Unknown breach of working hours (other than double shifts)		Multiple occurrence/Deliberate Breach	
Infringement of Health & Safety rules	Unknown breach		Multiple occurrence/Deliberate Breach	
Breach of Lifesaving Rules				
Failure to investigate alleged rules breach				
Bringing Sentinel Scheme Rules into disrepute				

Sentinel Scheme Rules

6.   Scheme Assurance Arrangements

6.1   Registration of a Sponsor

All Sponsors must act as Primary Sponsor, and must hold primary sponsorship responsibility for a minimum of 30% of their total workforce,

For an organisation to be approved by Network Rail as a Sponsor, they must initially register with the Railway Industry Supplier Qualification Scheme (RISQS) (formally Link-Up). All Sponsors will need to have a management system in place to demonstrate their ability to be a Sponsor, in accordance with section 3 of the Sentinel Scheme Rules.

6.1.1   Sentinel Audit Process

An organisation is registered with RISQS to sponsor trackside competencies, shall be subject to an annual assurance process which will include a management system audit to demonstrate that the organisation has documented processes for the key management system requirements required to be a Sponsor.

The audit shall check the sponsorship management systems and processes are present and sufficient to meet to the minimum requirements of the Sentinel Scheme Rules. The audit shall also review sample records throughout the processes to demonstrate the management system processes are being robustly applied.

6.1.2   Single Sponsor ID for multi companies within same group

Where a number of organisations within one group all use the same sponsored workforce and the same sponsorship management system processes, they need only be required to complete one Sentinel Audit, and will only have one Sentinel sponsorship ID across the group of companies.

Any intention by the company to single Sentinel sponsorship for multiple companies within a group, and the name of all the relevant companies must be identified to the RISQS audit provider in advance. The RISQS audit shall then be undertaken at both the head office responsible for the sponsorship processes and at satellite offices operating the sponsorship processes in practice to confirm that the sponsorship processes are sufficiently embedded to operate consistently and effectively across the group.

6.1.3   Novation of Sponsorship

Where a company is acquired by another company or group the RISQS audit provider and the Sentinel Scheme Administrator must both be notified in advance of the acquisition.

A Material Change Report must be prepared by the acquiring organisation to determine how the sponsorship processes will be merged and the Contracts or Sponsorship transferred or novated. This

Sentinel Scheme Rules

must cover both changes in the Sentinel Scheme Database and how changes will be subsequently applied.

This Material Change Report shall be reviewed and considered by Network Rail which, if satisfied of the proposals, will then enable the transfer of staff in the Sentinel Database. Acceptance of the Material Change Report may be subject to an assurance audit within 3-months of the novation to check that the measures outlined within the report have been adequately implemented.

6.2   Verification of Auditors and Inspectors

All external assurance auditors shall be subject to independent verification to ensure the standard and consistency of Sentinel Audits and any linked processes are maintained. This will include auditing both the audit supplier's system and operational staff.

6.3   Verification Audits of Sentinel Scheme Administrators

Network Rail shall undertake annual audits of the Sentinel Scheme Administrators to check proper application of the Sentinel Scheme Rules.

6.4   Verification Audits of Network Rail

Network Rail Internal Audit function will audit the company application of the Sentinel Scheme Rules biannually so that Network Rail remains compliant. Results of verification audits, along with an annual review of performance will be made available to all Sponsors so that the transparency of the Sentinel Scheme is maintained.

Sentinel Scheme Rules

Definitions

For the purpose of these Rules the following terms and definitions apply:

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

Competence Management System: A documented system to manage competence of Individuals under their Sponsor, including assessments, mentoring and recertification events and outcomes.

Contract of Sponsorship: The formal relationship between an Individual and their Primary Sponsor.
NOTE: 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.

Fatigue Risk Management System: A documented system for managing both the hours worked by an Individual, and the tasks being undertaken, as well as other conditions that contribute to fatigue such as shift patterns and travel time to determine a persons fatigue risk and to control that risk.

Formal Review: The review undertaken by Network Rail's Workforce Safety Team following notification by a Primary Sponsor that they have conducted a Local Investigation into an alleged Breach of the Sentinel Scheme Rules and recommended a Scheme Outcome.
NOTE: The Network Rail Workforce Safety Team in conjunction with the Network Rail Training Assurance reviews the Local Investigation report and (unless in exceptional cases) an independent statement, requested from the Individual before determining whether the recommended Scheme Outcome should be implemented.

Formal Review Appeal: An Individual appeal against a Scheme Outcome.
NOTE: An Appeal can only be brought where there is new evidence or mitigating circumstances that were not presented at the Formal Review. Where such additional evidence or circumstances are presented, the Network Rail Workforce Safety Team will convene a Formal Review Appeal Hearing.

Formal Review Appeal Hearing: A hearing where a panel from the Network Rail Workforce Safety and Network Rail Training Assurance Teams reviews the Scheme Outcome decision made at the Formal Review.
NOTE: The panel will be independent of those who conducted the Formal Review.

Formal Scheme Investigation: An investigation undertaken by, and at the discretion of, Network Rail's Workforce Safety Team in to an allegation that a Sponsor may have been in breach of the Sentinel Scheme Rules.

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

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

Sentinel Scheme Rules

Lead Investigator: A person nominated by the investigating organisation having sufficient training and competence in investigation techniques, and who is sufficiently independent from the alleged breach, to conduct a fair and independent investigation.

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

Local Investigation: An investigation into an allegation of a Breach of the Sentinel Scheme Rules undertaken by the Primary Sponsor for the Individual and work involved.

My Sentinel: Individual access to the Sentinel Database.

Material Change Report: A report created by the Sponsor acquiring another Sponsoring organisation to determine how the sponsorship processes will be merged and the Contracts or Sponsorship transferred or novated.

NRMI: Network Rail Managed Infrastructure.

Network Rail Workforce Safety Team: An independent team within Network Rail who act as custodians of the Sentinel Scheme Rules.

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

Primary Sponsor Outcome: Action taken by a Primary Sponsor as a result of a breach of the Sentinel Scheme Rules, where a full investigation has been conducted.

Safety Critical Equipment: Equipment required to support an Individual's delivery of a safety critical competence, e.g. lookout equipment, marker boards.
NOTE: This also includes card reading equipment for those who's role requires them to check/verify Sentinel Cards.

Scheme Outcome: A formal action to Take Down an Individual's competence or to impose a Suspension, following recommendation by a Local Investigation, and after a Formal Review.
NOTE: Where a Scheme Outcome is recommended following a Local Investigation, Network Rail Workforce Safety Team will undertake a Formal Review to determine if the Scheme Outcome can be applied.

Sentinel Audit: An audit of a sponsoring organisation

Sentinel Management System: The supporting management system requirements that each Sponsor is required to have in place to demonstrate they are fulfilling their duties as a Sponsor.

Sentinel Scheme Rules

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

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

Sentinel Scheme Database: The database containing Individuals Sentinel Smart Card information

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

Sponsor: An organisation, approved by Network Rail that establishes an agreement with an individual for work on NRMI.
NOTE: The Sponsor is the organisation responsible for putting an Individual to work on NRMI 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 Individual's permission to access NRMI by suspending the Individual on the Sentinel Scheme Database.

Take-Down: Removing a competence from an Individual for safety reasons or after a breach of the Sentinel Scheme Rules has been committed.
NOTE: A number of higher level competencies can be removed, leaving the Individual able to undertake works on NRMI but within a narrower range of responsibility.

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

Non Trackside Sponsor Declaration

Rules for Non Trackside Sponsors joining the Sentinel Scheme

Introduction

Non Trackside Sentinel Sponsorship is a category of membership within the Sentinel Scheme that allows organisations to act as sponsors for individuals who will not undertake work trackside (and who therefore don't require Personal Track Safety competence).

The Non Trackside Sponsorship Declaration applies to all organisations and Individuals who join scheme, but who will not work, or sponsor Individuals who work trackside.

By completing this declaration, the individual named confirms they are authorised to act on behalf of the applicant organisation; that the organisation wishes to become a Non Trackside Sponsor and agrees to comply with and be bound by these rules.

Name:

Position:

Company:

Date:

Non Trackside Sponsor Declaration

1. Sponsorship

1.1   All Sponsors

The Sponsor putting the Individual to work is responsible for the following, regardless of whether they are a Primary Sponsor or Sub-Sponsor of the Individual;

- Maintaining all records associated with any works undertaken by an Individual on NRMI, as is required by the Sentinel Management System (see Section 2).
- Checking Individuals suitability to work, prior to putting them to work

All Individuals must have a Primary Sponsor to be able to use their Sentinel Smart Card to access NRMI. Under the Scheme, an Individual is permitted to have a maximum of one Primary Sponsor and two Sub-Sponsors, dependent upon the Primary Sponsor granting permission for sub-sponsorship.

A Non Trackside Sponsor must not represent or attempt to represent itself as a sponsor or trackside competencies. Prior to making such as claim, it must apply to the Sentinel Scheme Administrator for membership as a Trackside Sponsor and be subject to the Sentinel Scheme Rules

1.2   Primary Sponsor

The Primary Sponsor shall establish a 'Contract of Sponsorship' with each Individual they intend to Sponsor and shall undertake checks of an Individual's suitability to work on NRMI prior to engaging in a Contract of Sponsorship

As part of the Contract of Sponsorship, Primary Sponsors shall provide Individuals under their Contract of Sponsorship with:

- A valid Sentinel Smart Card
- An induction briefing which will include as a minimum the rules and responsibilities of the Sentinel Scheme
- Clear contractual arrangements between the Primary Sponsor and Individual, and whether Sub-Sponsors are permitted

Regardless of the employment status of the Individual, the Primary Sponsor through the Contract of Sponsorship shall fulfil the role of the employer for the purposes of health and safety.

Non Trackside Sponsor Declaration

The Primary Sponsor which enters into the Contract of Sponsorship with an Individual is also responsible for:

- Monitoring and management of working hours of Individuals under their Contract of Sponsorship. Shifts worked with Sub-Sponsors must be considered in the monitoring of working hours and the management of fatigue
- Agreeing any sub-sponsorship arrangements with the Individual and to grant permission to any Sub-sponsor to use their resources
- Enacting the Local Investigation process where any suspected breach of the Sentinel Scheme Rules becomes apparent
- Collating information from Sub-sponsors to enable conclusion of the Local Investigation.
- Maintaining records of Local Investigations and requesting a Formal Review where a Scheme Outcome is recommended following a Local Investigation
- Providing a reason for de-Sponsoring an Individual
- Conducting a Local Investigation before de-Sponsoring an Individual for any breach of the Sentinel Scheme Rules
- Collating and maintaining all records associated with the Contract of Sponsorship of an Individual as required by the Sentinel Management System (see Section 3)
- Requesting a temporary Suspension or issuing a temporary Take Down of competence pending the conclusion of Local Investigation where appropriate.

1.3   Sub-Sponsor

The Sub-sponsor must request permission to use an Individual from their Primary Sponsor. The Sub-sponsor must receive confirmation of sub-sponsorship status before resourcing the Individual to work.

The Sub-sponsor is responsible for providing all information to the Primary Sponsor to enable the Primary Sponsor to manage the overall safety of the Individual. This includes, but is not limited to information on working hours, safety incidents, competencies used and competence short-falls.

The Sub-sponsor must notify the Primary Sponsor of any alleged breach of the Sentinel Scheme Rules as soon as is reasonably practicable after becoming aware of such allegation, and co-operate in collecting information and evidence to enable the Primary Sponsor to conduct a Local Investigation.

The Sub-sponsor must co-operate with the Primary Sponsor in the management of working hours. Where a risk assessment has been conducted and extra working hours approved, this information must be provided to the Primary Sponsor.

Non Trackside Sponsor Declaration

1.4 Individuals

Individuals are accountable for providing accurate personal information to their Primary Sponsor and for keeping it up to date

The Individual shall follow the rules of personal accountability for working safely on NRMI, including compliance with the Lifesaving Rules.

Individuals are required to notify the Primary Sponsor if they no longer wish to be sponsored by them so that they can be de-sponsored. Change of sponsorship can be requested online through My Sentinel.

Individuals can access their personal records on the Sentinel Scheme Database. This can be requested from their Primary Sponsor, or by direct access to the My Sentinel area of the Sentinel website.

Every Individual has a personal responsibility to comply with health and safety rules including, but not limited to:

a) No Individual shall undertake or attempt to report for duty, if they have worked on NRMI within the preceding 12 hours (sometimes referred to as double-shifting), unless a risk assessment has been conducted by the Primary Sponsor and suitable controls implemented

b) No Individual shall exceed the maximum working hours determined by law, Network Rail requirements and the Sponsor

c) Every Individual has a responsibility to be fit for work, not fatigued by excessive travel, and not under the influence of drugs or alcohol. Individuals shall report anything that may affect their ability to work safely including medication, lack of equipment or personal circumstances

d) An Individual shall wear the appropriate Personal Protective Equipment (PPE) mandated on site.

e) No Individual shall undertake a task for which they are not competent, do not have the right equipment or the relevant information or local knowledge to complete safely

f) Individuals shall act in a safe manner at all times when on NRMI, and report any incident, close call or breach of the Sentinel Scheme Rules they are aware of

The Individual has a responsibility to manage their Sponsor relationships and at all times when working on the NRMI an Individual has a responsibility to:

- Know the identity of their Primary Sponsor
- Know which Sub-Sponsor they are working for (when they are not working for their Primary Sponsor)
- Provide the correct name of the Sponsor they are working for when booking into site

Non Trackside Sponsor Declaration

2. Management System Requirements

2.1 Pre-Sponsorship Process

Each Sponsor shall have a process in place for undertaking pre-sponsorship checks for all Individuals. Pre-sponsorship checks shall be undertaken in advance of the Individual undertaking any duties on behalf of the Sponsor.

Before undertaking the role of Primary Sponsor, the following checks shall be completed (as a minimum) as part of the pre-sponsorship process:

- Ensure that there are no Suspensions in place that may prevent the Individual from holding a Sentinel Smart Card
- Conduct and document a pre-sponsorship interview to determine the Individual is legally eligible to work in the UK and is able to sufficiently communicate in verbal and/or written English (dependent on the safety critical nature or the competencies held).

Following the conclusion of the pre-sponsorship process, the Primary Sponsor will enter into a Contractor of Sponsorship with the Individual as set out in Section 2.2.

The Sub-sponsor must have in place the following agreements and carry out the following pre-use checks before putting an Individual to work:

- Agree that the Individual wishes to undertake work for the Sub-sponsor in addition to the work undertaken on behalf of the Primary Sponsor
- Check who is the Primary Sponsor for the Individual and if the Contract of Sponsorship permits Sub-Sponsors
- Check the Individual's personal information, including Sentinel Smart Card number, NI Number and Date of Birth are correct.

The Sub-Sponsor can then make a request to the Primary Sponsor, through the Sentinel Scheme Database to Sub-Sponsor the Individual. The Sub-Sponsor cannot put the Individual to work until the Primary Sponsor has accepted the request in the Sentinel Scheme Database.

2.2 Contract of Sponsorship

The Primary Sponsor must have processes in place to complete an induction with each Individual when they join their sponsorship. As part of this induction process the Sponsor shall brief the Individual on

Non Trackside Sponsor Declaration

(as a minimum) their Contract of Sponsorship and their responsibilities under the Sentinel Scheme Rules.

The Primary Sponsor must have processes in place to engage the Individual in a Contract of Sponsorship. The Contract of Sponsorship as a minimum shall:

a) Regardless of the employment status of the Individual, commit the Primary Sponsor to fulfilling the role of employer of the Individual for the purposes of health and safety
b) Define the responsibilities of the Individual and the Primary Sponsor in relation to compliance with the Sentinel Scheme Rules
c) Ensure the provision of suitable PPE, in accordance with the Sponsor's defined PPE Policy;
d) Make provision for health and safety training, assessment and mentoring at required intervals;
e) Require the Individual to notify the Primary Sponsor of any changes in circumstance including health issues, that may need the Primary Sponsor to take action to ensure the Individual's continued fitness for work

Sub-sponsors are not required to enter into a Contract of Sponsorship with the Individual as they will be permitted by the Primary Sponsor to use the Individual. The Primary Sponsor maintains the sponsorship relationship with the Individual.

2.3 Management of Sub Sponsors

Primary Sponsors shall have processes in place for the management of Sub-sponsors. This shall include:

- A mechanism for reviewing and then either approving or rejecting the Sub-sponsor's request
  NOTE: Where rejected, a reason for rejection must be provided.
- A documented list of Sub-sponsors and any associated agreements for sharing of labour that are in place between the organisations
- A process for reviewing and for analysing usage by Sub-sponsors
- The means of obtaining information on an Individual from the Sub-sponsor as required in Sections 1.2 and 2

NOTE: It is optional that a Primary Sponsor may have processes in place for recovering costs from a Sub-sponsor for the use of an Individual; any payment framework is not managed through the Sentinel Scheme Rules.

Non Trackside Sponsor Declaration

2.4 Competence Management

Sponsors shall have a Competence Management System in place

2.5 Management of Working hours

Primary Sponsors shall have a Fatigue Risk Management System in place for Individuals they have entered in to a Contract of Sponsorship with.

2.6 Provision of PPE and other Personal Issue Equipment

Primary Sponsors shall have a process in place for the provision of Person Protective Equipment (PPE) and other safety related personal issue equipment to each Individual for which they are the Primary Sponsor, and suitable training to be able to use that protective equipment effectively.

2.7 Routine Briefings and Cascade of Core Information

Primary Sponsors shall have a process in place for the cascade of briefings to all Individuals for which they are the Primary Sponsor. This must include any changes or updates to sentinel which affect them.

2.8 Investigating Breaches

The Primary Sponsor must have process in place to investigate any alleged breaches of the Sentinel Scheme Rules (see Section 3 and Appendix A).

2.9 De-Sponsoring Individuals

Primary Sponsors must have processes in place for de-sponsoring Individuals for which they are the Primary Sponsor, which includes providing a reason for de-sponsoring and writing to the Individual to cancel the Contract of Sponsorship.

3. Breaches of the Sentinel Scheme Rules

All breaches of the Sentinel Scheme Rules must be investigated**.** Whatever the source of the alleged breach of the Sentinel Scheme Rules, the Primary Sponsor shall undertake a Local Investigation, with the full co operation of the Sub Sponsor where necessary.

*NOTE: The Sponsor may Take Down an individuals competence, or request a temporarily suspension of their Sentinel Smart Card whilst they undertake Local Investigation A request for temporary Suspension of an Individuals Sentinel Smart Card can be made through the Network Rail Workforce Safety Team. Temporary Take Down and Suspensions are for a maximum of 3 months**.***

Following the conclusion of the investigation, if the allegations are proven, then the Investigation report must be sent to the Network Rail Workforce Safety Team if the recommended outcome for the Individual is a Scheme Outcome. The Primary Sponsor must not de sponsor an individual until the investigation is completed.

The Network Rail Workforce Safety Team will hold a Formal Review to decide if the recommended outcome should apply. Individuals shall have the right to appal the outcome.

Where a breach of the Sentinel Scheme Rules by a Sponsor is alleged or suspected, the Network Rail Workforce Safety Team shall conduct a Formal Scheme Investigation into the matter and determine the appropriate outcome.

Where as a result of a Formal Scheme Investigation a company director or senior manager is proven to have breached the Sentinel Scheme Rules, Network Rail Workforce Safety Team will determine the appropriate outcome.

4. Scheme Assurance Arrangements

4.1 Registration of a Sponsor

For an organisation to be approved by Network Rail as a Non-Trackside Sponsor, they must initially register with the Railway Industry Supplier Qualification Scheme (RISQS) (formally Link-Up) and sign a Non Trackside Sponsor Declaration.

4.2 Maintaining Approval

All Sponsors must register and complete a Non Trackside Sponsor Declaration, and shall continue to maintain registration through the Sentinel Scheme Assurance Arrangements set out in Section 6 of this document.

Network Rail reserves the right to audit a percentage of Non-Trackside Sponsors every year to monitor compliance with the Non-Trackside Sponsor Declaration. This audit will be carried out by RISQS.

Non Trackside Sponsor Declaration

Appendix A – Breaches and Investigations

Breaches of the Sentinel Scheme Rules

Breaches of the Sentinel Scheme Rules by either an Individual or a Sponsor include (but are not limited to) the following:

4.1   Any action of theft, attempted theft, fraud, or falsification of documentation or records;

4.2   Any conviction related to theft or attempted theft of railway materials

4.3   Any breach of the Drugs and Alcohol policy, including reporting or endeavouring to report to site under the influence of drugs or alcohol or being in possession of illegal drugs on site, either for sale or personal use

4.4   Any breach in working hours, including reporting or endeavouring to report for a shift of work, having previously undertaken a shift on NRMI within the last 12 hours (known as double-shifting); unless a risk assessment has been conducted by the Primary Sponsor and suitable controls implemented

4.5   Any event of presenting a falsified or altered Sentinel Smart Card, or claiming a false identify for the purposes of trying to gain entry on NRMI

4.6   The infringement of any health and safety rules

4.7   Any event of negligence which causes, or has the potential to cause loss, damage or injury;

4.8   Any event of physical violence while at work

4.9   Any event of deliberate damage to NRMI property

4.10   Any event of bullying, harassment or discrimination

4.11   Any breach of confidence

4.12   Any breach of the Lifesaving Rules

4.13   Any failure to investigate an alleged breach of the Sentinel Scheme Rules for an Individual they currently sponsor or sponsored at the time of the alleged breach. (This also applies where investigations are undertaken, but are deemed inadequate at Formal Review)

4.14   Any allegation of a breach of the Sentinel Scheme Rules which is found to be false and is proven to have been made with malicious intent

4.15   Any other event that brings the Sentinel Scheme into disrepute.

Non Trackside Sponsor Declaration

Outcome Guidelines

Event	Primary Sponsor Outcome — Unintentional Error or System Error — Coaching, Mentoring, Re-training, Assessment	Scheme Outcome — Deliberate Violation — *Take Down, Suspension*
Breach of the drugs and alcohol policy		Single Occurrence Proven by screening
Conviction related to theft or attempted theft or railway materials		Single Occurrence
Falsification of Sentinel Card/ False ID		
Physical Violence		Single Occurrence
Bullying, harassment or discrimination		
Any action of theft, attempted theft, fraud, or falsification of documentation or records		
Negligence which causes or has the potential to cause loss, damage or injury	Unknown breach	Following Management Instruction / Multiple occurrence/ Deliberate Breach
Deliberate Damage to NRMI		
Breach of confidence		
Malicious allegation of breach		Multiple occurrence/Deliberate Breach
Breach in working hours or double shifting	Unknown breach of working hours (other than double shifts)	Multiple occurrence/Deliberate Breach
Infringement of Health & Safety rules	Unknown breach	
Breach of Lifesaving Rules		Multiple occurrence/Deliberate Breach
Failure to investigate alleged rules breach		
Bringing Sentinel Scheme Rules into disrepute		

Non Trackside Sponsor Declaration

Primary Sponsor Local Investigation & Formal Review Process

Event

Primary Sponsor carries out a Local Investigation, determines if a breach of the Sentinel Scheme Rules has occurred & recommends outcome

Is a Scheme Outcome recommended?

No

Yes

Primary Sponsor Outcome implemented

Submit to Network Rail Workforce Safety Team to undertake Formal Review

Formal Scheme Investigation

Network Rail Workforce Safety Team conduct a Formal Review

Individual independent statement requested

Sponsor Local Investigation

Not enough information

Refer back to Sponsor for further investigation

Information provided

Implement Sponsor recommended Scheme Outcome?

No

Yes

Why was Sponsor recommended Scheme Outcome not implemented?

Sponsor recommended Scheme outcome implemented

Sponsor Organisation action brought into question

Incorrect Recommendation

Suspend Formal Review process against individual

Network Rail Workforce Safety Team instigate Formal Scheme Investigation

Page 11

Refer back to Sponsor. Only Primary Sponsor Outcome can be applied

Determine a different Scheme Outcome should be applied

Non Trackside Sponsor Declaration

Formal Review Appeal process

```
              ┌─────────────────────┐
              │ Appeal to Network Rail │
              │ Workforce Safety Team  │
              └─────────────────────┘
                         │
                    ◇ Was the outcome a
                      Scheme Outcome ◇
          No                          Yes
    ┌──────────────┐
    │ Refer to Primary │
    │ Sponsor          │
    └──────────────┘
                              ◇ Is there new
                                evidence or mitigation
                                that was not heard at
                                the Formal Review? ◇
          No                          Yes
    ┌──────────────┐       ┌─────────────────────┐
    │ Reject appeal │      │ Network Rail Workforce │
    └──────────────┘      │ Safety Team Formal Review │
                          │ Appeal Hearing           │
                          └─────────────────────┘
                                ◇ What is the outcome
                                  of the Formal Review
                                  Appeal Hearing? ◇
  Appeal                                      Appeal
  Rejected                                    Upheld
┌──────────────┐   ┌─────────────────┐   ┌─────────────────┐
│ Scheme       │   │ Refer back to Sponsor. │ Determine a different │
│ Outcome upheld│  │ Only Primary Sponsor │ Scheme Outcome       │
└──────────────┘   │ Outcome can be     │  │ should be applied   │
                   │ applied            │  └─────────────────┘
                   └─────────────────┘
```

Non Trackside Sponsor Declaration

Appendix B Definitions

For the purpose of these Rules the following terms and definitions apply:

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

Competence Management System: A documented system to manage competence of Individuals under their Sponsor, including assessments, mentoring and recertification events and outcomes.

Contract of Sponsorship: The formal relationship between an Individual and their Primary Sponsor.
NOTE: 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.

Fatigue Risk Management System: A documented system for managing both the hours worked by an Individual, and the tasks being undertaken, as well as other conditions that contribute to fatigue such as shift patterns and travel time to determine a persons fatigue risk and to control that risk.

Formal Review: The review undertaken by Network Rail's Workforce Safety Team following notification by a Primary Sponsor that they have conducted a Local Investigation into an alleged Breach of the Sentinel Scheme Rules and recommended a Scheme Outcome.
NOTE: The Network Rail Workforce Safety Team in conjunction with the Network Rail Training Assurance reviews the Local Investigation report and (unless in exceptional cases) an independent statement, requested from the Individual before determining whether the recommended Scheme Outcome should be implemented.

Formal Review Appeal: An Individual appeal against a Scheme Outcome.
NOTE: An Appeal can only be brought where there is new evidence or mitigating circumstances that were not presented at the Formal Review. Where such additional evidence or circumstances are presented, the Network Rail Workforce Safety Team will convene a Formal Review Appeal Hearing.

Formal Review Appeal Hearing: A hearing where a panel from the Network Rail Workforce Safety and Network Rail Training Assurance Teams reviews the Scheme Outcome decision made at the Formal Review.
NOTE: The panel will be independent of those who conducted the Formal Review.

Formal Scheme Investigation: An investigation undertaken by, and at the discretion of, Network Rail's Workforce Safety Team in to an allegation that a Sponsor may have been in breach of the Sentinel Scheme Rules.

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

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

Non Trackside Sponsor Declaration

Lead Investigator: A person nominated by the investigating organisation having sufficient training and competence in investigation techniques, and who is sufficiently independent from the alleged breach, to conduct a fair and independent investigation.

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

Local Investigation: An investigation into an allegation of a Breach of the Sentinel Scheme Rules undertaken by the Primary Sponsor for the Individual and work involved.

My Sentinel: Individual access to the Sentinel Database.

Material Change Report: A report created by the Sponsor acquiring another Sponsoring organisation to determine how the sponsorship processes will be merged and the Contracts or Sponsorship transferred or novated.

NRMI: Network Rail Managed Infrastructure.

Network Rail Workforce Safety Team: An independent team within Network Rail who act as custodians of the Sentinel Scheme Rules.

Non Trackside Sponsor A category of membership within the Sentinel Scheme for sponsors who sponsor individuals who do not go trackside and who are not required to hold Personal Track Safety competence

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

Primary Sponsor Outcome: Action taken by a Primary Sponsor as a result of a breach of the Sentinel Scheme Rules, where a full investigation has been conducted.

Safety Critical Equipment: Equipment required to support an Individual's delivery of a safety critical competence, e.g. lookout equipment, marker boards.
NOTE: This also includes card reading equipment for those who's role requires them to check/verify Sentinel Cards.

Scheme Outcome: A formal action to Take Down an Individual's competence or to impose a Suspension, following recommendation by a Local Investigation, and after a Formal Review.
NOTE: Where a Scheme Outcome is recommended following a Local Investigation, Network Rail Workforce Safety Team will undertake a Formal Review to determine if the Scheme Outcome can be applied.

Sentinel Audit: An audit of a sponsoring organisation

Non Trackside Sponsor Declaration

Sentinel Management System: The supporting management system requirements that each Sponsor is required to have in place to demonstrate they are fulfilling their duties as a Sponsor.

Sentinel Scheme: The Sentinel Scheme consists of the Sentinel Scheme Rules and the associated Sentinel Scheme Database which maintains records including safety critical details of Individuals and organisations involved in working on NRMI.

NOTE: Its purpose is to minimise the risk of untrained, unqualified, unsuitable, unfit or un-sponsored personnel accessing and carrying out safety critical work on NRMI. Its members include Individuals, Sponsors, training providers and medical providers.

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

Sentinel Scheme Database: The database containing Individuals Sentinel Smart Card information

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.

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

Sponsor: An organisation, approved by Network Rail that establishes an agreement with an individual for work on NRMI.

NOTE: The Sponsor is the organisation responsible for putting an Individual to work on NRMI 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 Individual's permission to access NRMI by suspending the Individual on the Sentinel Scheme Database.

Take-Down: Removing a competence from an Individual for safety reasons or after a breach of the Sentinel Scheme Rules has been committed.

NOTE: A number of higher level competencies can be removed, leaving the Individual able to undertake works on NRMI but within a narrower range of responsibility.

Trackside Sponsor A Sponsor who sponsors Individuals who work Trackside and who must hold Personal Track Safety

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

Railway Industry Supplier Qualification Scheme

Operation and Management

Part A

Issue record

This document will be updated when necessary by distribution of a complete replacement.

Issue	Date	Comments
1	January 2016	Initial Issue

Application

This document sets out the methods by which the RISQS Board will direct and supervise the Operation and Management of the Rail Industry Supplier Qualification Scheme

Supply

Copies of this document may be obtained from:

RISQS Board
RSSB,
The Helicon,
1 South Place,
London,
EC2M 2RB

E-mail:admin@risqs.org

Or from the RISQS website www.risqs.org

Definitions

Definitions of the terms used throughout the RISQS documents are set out in RISQS/001 Appendix A.

References / Related Documents

References / Related documents are set out in RISQS/001 Appendix B.

Part B

1. INTRODUCTION

1.1 This document describes the operation and management of the RISQS scheme. It is separated into three sections, Operation, Review and Management and provides information on all aspects of the scheme.

2. OPERATION

2.1. Customers

2.1.1. It is critical that customers participate in RISQS for it to become the preferred route for suppliers to engage with the industry. By specifying that RISQS is their preferred supplier qualification assessment mechanism, customers will encourage suppliers to use the scheme

2.2. Role of Scheme Manager

2.2.1. The Scheme Manager will be appointed by the RISQS Board subject to approval of the RSSB Board and will report to the RISQS Board as required but at least at every RISQS Board meeting where a report will be provided as to progress against objectives set by the Board including the business plan.

2.2.2. The Scheme Manager is responsible to the RISQS Board for the management of RISQS, particularly the operation and management of the Service Provider(s) and accrediting agent this includes delivery of information which demonstrates the efficiency and effectiveness of the scheme in improving product quality and reducing costs to the rail industry in accordance with the business plan priorities and budget. The Scheme Manager is also responsible for the promotion and extension of the scheme, in accordance with the RISQS business plan priorities.

2.2.3. The full Job Description of the Scheme Manager is provided at Appendix A

2.2.4. The Scheme Manager shall act as the main point of contact for suppliers and customers when there are significant issues either with the performance or with the operation of the scheme. There are mechanisms to provide feedback on the RISQS scheme through the IT application and the help desk (see sections 7 and 8).

2.2.5. The Scheme Manager shall develop and make recommendations to the RISQS Board on any proposed changes to the product or service groups.

2.2.6. The Scheme Manager will be responsible for managing the appeals process on behalf of the RISQS Board.

2.2.7. The Scheme Manager will act as custodian and maintain the risks register and keeping the RISQS Board informed of any changes to it, and will act on behalf of the Board to mitigate the risks.

2.2.8. The Scheme Manager will be responsible for maintenance of the Railway Industry Commodity Classification List (RICCL)

2.3. Service provision and accreditation

2.3.1. The requirements for the provision of services and the accreditation of service providers is set out in document RISQS/004

2.4. Qualification of Suppliers

2.4.1. A Company, seeking qualification as a RISQS supplier should register on the IT application and select the product codes it wishes to supply and from these the relevant questionnaire will be created by the Service Provider, including notification as to whether an Audit or other Intervention will be required. Once the questionnaire has been completed this will be assessed by the Service Provider and the company advised whether it has been successful at this stage.

2.4.2. Where an audit is required this will be carried out by one of the approved audit providers. On successful completion of which the Audit Provider will advise the supplier company and the Service Provider who will ensure that the qualification is published on the IT application

2.4.3. Where a company fails an audit there is a process for corrective actions to address any shortcomings and allow the company to continue to supply or to disallow further supply. This is detailed in document RISQS/004. However if the failure gives rise to concerns as to the suitability of the supplier to carry out provision of other / non auditable Product Group/s the Audit Provider must bring this to the attention of the Scheme Manager who will decide – where necessary with reference to the RISQS Board – what action should be taken.

2.4.4. The process whereby a supplier can arrange to extend the scope of their supply is detailed in document RISQS/004

2.4.5. A supplier whose qualification is due to expire shall arrange for a re-assessment to be carried out in sufficient time for any required actions to be closed out prior to qualification.

2.4.6. If a supplier, who is not currently qualified for a Product Group, fails an Assessment for the Product Group, the result does not need to be published on the IT Application

2.5. Appeals and Complaints

2.5.1. An appeal on any decisions taken within RISQS by the Service Provider(s) should be made in the first instance to the Provider(s). If it is not possible to resolve it in this way, then it may be taken to the Scheme Manager or ultimately to the RISQS Board. Procedures for appealing against any decisions are set out in Appendix B

2.5.2. Where a RISQS qualified supplier fails an assessment or the scheme manager informs the qualified supplier that it should have its qualification withdrawn, the supplier shall confirm what action is proposed, including whether an appeal is to be submitted within five working days from receipt of notification.

2.5.3. The same process is used for any other compliant about the scheme.

2.6. Feedback

2.6.1. RISQS, the RISQS website and associated IT application, is used and accessed by a wide range of suppliers and Customers in the rail industry, all of whom are permitted to use the procedure described in this section for submitting feedback.

2.6.2. Feedback about RISQS, the RISQS website or IT application, the qualification or audit process or content or the accreditation / management of Service Providers is used to assist in the development and improvement of the scheme. Feedback should be submitted, by any user, to the Service Provider. However in cases of urgency or confidentiality or where the feedback relates to the Service Provider the Scheme Manager can be approached directly via scheme.manager@RISQS.org . Feedback can also be via the User Forum(s) or through the relevant Board Representative.

Service Provider(s) deal with and answer issues raised in the feedback. Where an issue raised in feedback is of a difficult or strategic nature, Service Provider(s) should seek support from and if necessary pass it to the Scheme Manager for resolution. The Scheme Manager shall investigate and

resolve the issue. Where necessary the Scheme Manager shall submit the feedback and the outcome of the investigation to the RISQS Board for adjudication.

2.6.3. Where a customer has a complaint about a product or service provided by a RISQS qualified supplier, the customer should first attempt to resolve it directly with the supplier under the terms of their contract. RISQS is not the primary service for resolving any such disputes, however the customer is permitted to provide feedback informing RISQS about a problem that could have repercussions for the wider industry.

2.6.4. The auditor will not be able to see feedback from a supplier on the IT application when a complaint has been raised against it as supplier confidentiality is kept. The service Provider has the responsibility to raise issues with the Scheme Manager.

2.6.5. The details of all feedback, the respective responses and resolutions, shall be recorded by the Service Provider and copied to the Scheme Manager. This permits the Service Provider(s) to view any feedback submitted and is able to sort issues by type and to enter the resolution and date of resolution of the issue. For other concerns (for example an observation by a customer about a supplier), the Service Provider(s) shall consult the Audit Provider who had last assessed the supplier. The Service Provider shall review all feedback submitted within three working days of receipt and respond indicating a likely timescale for resolution of the issue or for a more detailed response.

2.6.6. All users can obtain the status of feedback submitted by their own company from the Scheme Manager.

2.7. IT System

2.7.1. The exact workings of the IT application may change to meet the requirements of the scheme, and in response to recommendations made by users.

2.7.2. The IT application is created and managed by the Service provider in order to meet the requirements set out in RISQS/004

2.7.3. The IT application can be accessed through the website of the Service Provider. A link is available on the RISQS website at www.RISQS.org

2.8. Working Group(s)

2.8.1. The purpose of a working group is to support the Scheme Manager and the RISQS Board in improving the RISQS Scheme. Attendance is by invitation from the Scheme Manager however, anyone that is interested in becoming a member of a working group can offer to become a member by application to the RISQS Scheme Manager. Membership of the working group shall be from across the industry as this gives a representative cross section of users. Members should have experience of the RISQS scheme and the IT application.

2.8.2. The terms of reference of working group(s) are:

- Review all aspects of the RISQS scheme including performance and the IT application.
- Share best practice and improve operation of the scheme.
- Make recommendations on changes to the RISQS Scheme.
- Make recommendations on changes to the IT application

2.8.3. The RISQS Board will initiate and govern Working Groups to discuss, analyse and develop solution concepts for specific topic areas.

2.8.4. The RISQS Board will appoint a Chair for each Working Group from amongst its members.

2.8.5. The members of each Working Group will agree the frequency of their meetings.

2.8.6. The Service Provider(s) will participate in the Working Groups and act as facilitator as appropriate.

2.8.7. Recommendations from the Working Groups will be submitted to the RISQS Board for consideration and approval.

3. MANAGEMENT

3.1. Introduction

3.1.1. This section describes the activities to be carried out in order for the operation and management of RISQS.

3.2. Business Plan

3.2.1. The Scheme Manager shall develop a business plan. The plan shall be reviewed and updated each year. Chapters of the plan should include the following:

- Vision.
- Objectives.
- The plan.
- Risk.
- Monitoring and Review

The plan shall be reviewed prior to finalisation of the budget cycle by the RISQS Board, so that the new year 1 plan determines the budget required for that year, with priorities set by the RISQS Board depending on the final budget settlement.

The Scheme Manager shall prepare a draft of the revision to the business plan which shall be reviewed and approved by the RISQS Board.

3.3. Communications

3.3.1. A communications plan shall be developed that identifies the stakeholders to be communicated with and the channels that will be used to allow for effective communication. The RISQS Scheme Manager will obtain approval for the plan from the RISQS Board. Delivery of the communications strategy will be one of the objectives for the Scheme Manager.

4. REVIEW

4.1. Introduction

4.1.1. One of the principles embedded within the RISQS scheme is continuous improvement. This applies to all stakeholders in the scheme, not just the qualified suppliers.

4.1.2. The improvement brought about by the Scheme must be demonstrable. Statistics demonstrating efficiency and effectiveness of the scheme will be developed by the RISQS Scheme Manager and made available to industry. Requirements for improvement by the Service Provider(s) will be set as KPI and monitored by the Scheme Manager in conjunction with the RISQS Board

4.2. RISQS Scheme

4.2.1. The Scheme Manager shall review the RISQS scheme on an on-going basis, to ensure that it continues to meet the requirements set out by the RISQS Board. This shall include a review of applicable statutory, mandatory and related industry requirements.

4.2.2. Where guidance is required on the RISQS scheme, the Scheme Manager shall be responsible for issuing guidance notes that clarify how the RISQS scheme is applied. This may be via the service provider. The relevant working group(s) will be the normal forum for discussion about guidance notes, prior to issue.

4.3. Feedback & Performance

4.3.1. The Scheme Manager shall develop monitoring and feedback arrangements to review the performance of the scheme. The feedback shall contain a number of different elements which are outlined below. The Scheme Manager shall provide to the RISQS Board reports covering feedback at each RISQS Board meeting.

4.3.2. The Scheme Manager will liaise with suppliers and their Audit Providers when significant incidents occur affecting a RISQS approved supplier. Decisions on withdrawing certification, communicating the results of the investigation to the industry and lessons learnt are dealt with on a case by case basis. This shall be in conjunction with the Service Provider and, where necessary, the RISQS Board.

Appendix A   Scheme Manager Job Description

JOB DESCRIPTION

RISQS Scheme Manager

Overview

The RISQS scheme provides qualification to the GB mainline rail sector and also to Transport for London. The scheme is specified and governed by the cross industry RISQS Board which has been established under the endorsement of the RSSB Board and the Rail Delivery Group. The Scheme Manager is responsible to the RISQS Board for the development and operational performance of the scheme.

Role

The Scheme Manager's role is to efficiently lead the operation, development and promotion of the RISQS Scheme on behalf of the RISQS Board and manage all service providers to the scheme.

Line Management

The role will report to the RISQS Board and in particular the RISQS Chair.

Responsibilities

- Establish, review, maintain and publish scheme documentation including principles, tools, procedures and guidance.

- Develop and maintain the specification for the provision of accreditation agency, information system, qualification and audit service providers and any other scheme roles.

- Develop and where appropriate administer the funding model for the scheme which meets the objectives of the RISQS Board.

- Appoint on behalf of the board the accreditation agency and the service provider(s) for the information system, qualification and audit.

- Supervise the operation of the accreditation agency and scheme service providers.

- Promote the scheme to suppliers, customers and other stakeholders; respond to requests; lead the response to significant issues (including investigations) and manage the complaints and appeals process on behalf of the RISQS Board.

- Lead the development of the scheme business plan and deliver objectives as assigned by the RISQS Board.

- Produce management information, performance metrics, reports and papers on all aspects of scheme operation for the RISQS Board and other parties as directed.

- Communicate with other schemes, regulators and relevant stakeholders to improve the efficiency and effectiveness of both the RISQS Scheme and wider GB rail supplier assurance regime.

JOB DESCRIPTION

Competence Requirements

Required	Desirable
10 Years Rail Experience Senior management Experience Experience of the Rail Industry Supplier Qualification Scheme 5 years Quality Management experience Leadership Skills High Level Communication Skills Good Organisational Skills Negotiation Skills Presentation Skills Computer Literacy Effective Time Management Self Motivation	NEBOSH Certificate IRCA Qualified Lead Auditor Member of Relevant Procurement Body

Resources

There will not initially be any provision of full time staff in support of the role but the following resources will be made available by the RSSB:

- Administration
- Secretarial Support
- Communications
- Marketing

Appendix B   Appeals/Complaints Process
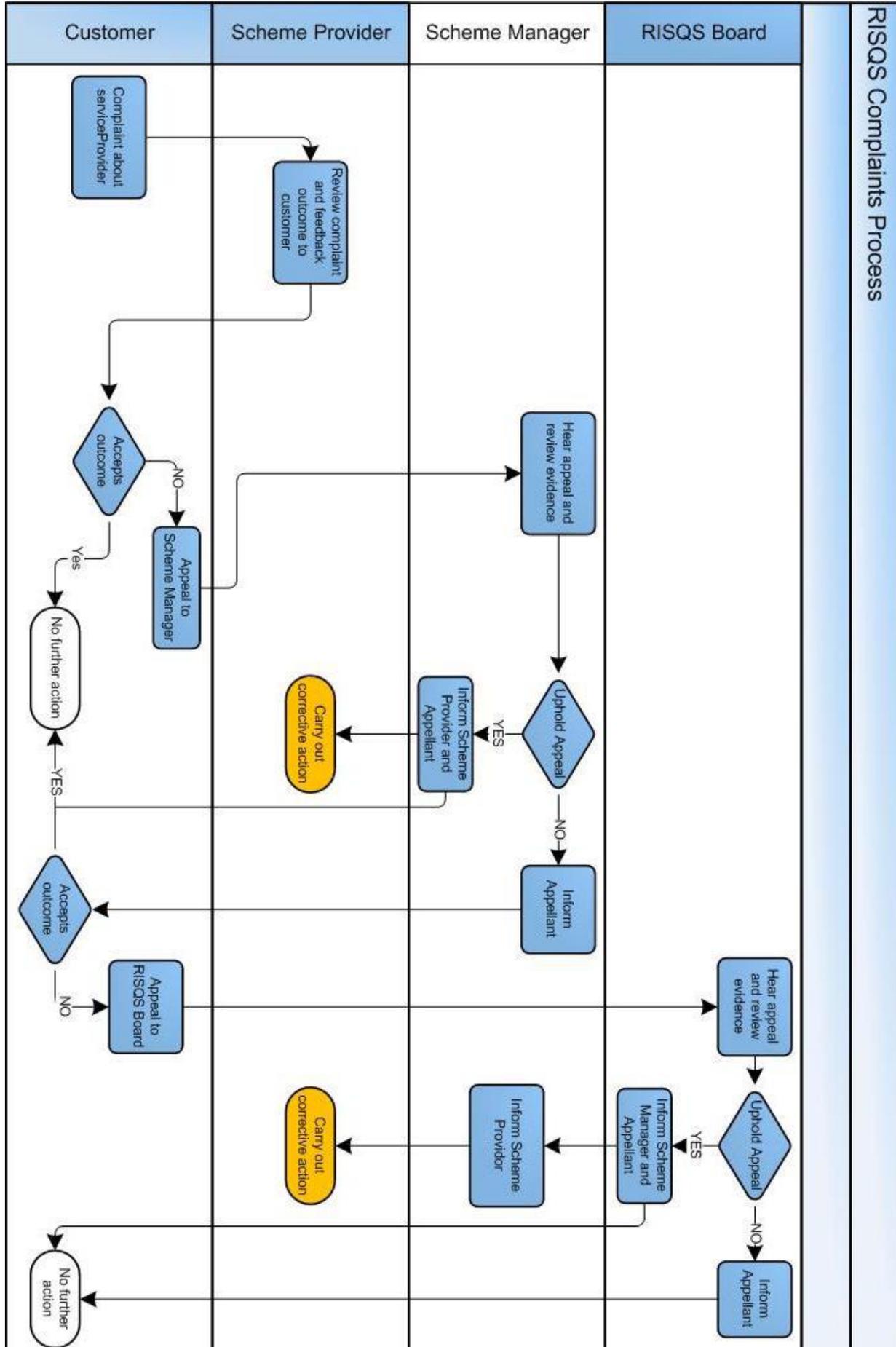
On-Track Plant Operations Scheme (POS)
Implementation by Contractor Organisations
Frequently Asked Questions (FAQs)

The On-Track Plant Operations Scheme (POS) replaced the Rail Plant Operating Company in Possessions Licence (POL) on the 28th June 2014. The following FAQ's and the associated answers relating to the POS are aimed at helping those seeking to become a POS provider understand the approval process.

Contents:

- **What are the benefits of becoming a POS provider?**
- **Who do the POS Rules apply to?**
- **Are there any prerequisites to becoming a POS provider?**
- **How do I apply to become a POS provider?**
- **What happens after I have made an application to become a POS provider?**
- **How is approval moved from Provisional to Full?**
- **How long will the process take?**
- **What is involved in maintaining POS provider approval?**
- **What is a suitable maintenance facility?**
- **Why does the POS Representative have to be an employee of the POS provider?**
- **Why does the POS provider have to be a plant owner?**
- **Why can't the POS Representative be engaged in, or responsible for, any other site safety critical duties?**
- **The Scheme Rules mention a whistle-blowing process – is this just for Network Rail or is it available to contractors?**
- **Why is an OTP plan needed?**
- **Are non-OTP operations included in the POS?**

What are the benefits of becoming a POS provider?

Upon successful completion of the process you will have demonstrated you have sufficient and suitable management system/s in accordance with the POS Rules to act as a OTP Operations Scheme provider engaged in contracts directly with Network Rail (NR) or as a sub-contractor for a Principal Contractor (PC) on Network Rail Managed Infrastructure (NRMI).

Although this does not guarantee contract work it is a requirement NR places on its contractors in order to achieve consistent improvement in the delivery of maintenance programmes and infrastructure projects.

Who do the POS Rules apply to?

The POS Rules extend to all organisations carrying out OTP operations on NRMI for NR or for a PC. The scope extends to OTP operations on sites yet to be commissioned and sites temporarily disconnected from the railway. Other contracts may be dealt with under the RISQS qualification regime, including OTP suppliers managed under NR's POS provider qualification from Spring 2015.

On-Track Plant Operations Scheme (POS)
Implementation by Contractor Organisations
Frequently Asked Questions (FAQs)

Are there any prerequisites to becoming a POS provider?

A Company that applies to become a POS provider shall, as a minimum:

- Be registered with RISQS and have passed the Industry Minimum Requirements Module and Sentinel Scheme audit requirements
- Have the RISQS product or service codes relevant to the service(s) being provided.
- Comply with the POS Rules and have passed the assurance requirements described within the POS Rules.
- Be a Primary Sponsor as described in the Sentinel Scheme Rules.
- Obtain, or be in possession of, a licence, or licence exemption, issued by the Office of Rail Regulation under Section 6 of the Railways Act 1993.

You should note that meeting the above criteria will not automatically guarantee a successful application.

How do I apply to become a POS provider?

A company seeking approval must register with Achilles for the respective RISQS product codes and submit an application form for the On-Track Plant Operations Qualification. The On-Track Plant Operations Scheme will be administered and listed by Achilles as a specialist supplier qualification that can be searched for by buyers in the community. Achilles will publish the On-Track Plant Operations Scheme as a qualification option in their portfolio.

What happens after I have made an application to become a POS provider?

Following receipt of a POS provider application Achilles/NR will send an acknowledgement to the applicant. Where the applicant qualifies Achilles will arrange with the applicant for a POS Management Audit to be conducted. This audit is in addition to the industry Minimum Requirements Audit and follows a POS audit protocol. The POS management audit can be undertaken together with other RISQS audit modules.

On successful completion of the management audit NR will provide the applicant with the necessary details for progression to the Technical Audit. This audit will be carried out by the NR Safety, Technical and Engineering (STE) Directorate, Workforce Safety Team who will agree the arrangements once contacted by the applicant. The NR STE Audit Team will choose the site or depot for this audit and follow the POS technical audit protocol.

On successful completion of the Technical Audit the applicant will be awarded Provisional qualification which will be displayed on the Achilles/RISQS website. The Provisional status enables the contractor to be included/ invited to tender whereupon relevant/suitable works can be awarded.

Second Issue dated: 10 November 2014

On-Track Plant Operations Scheme (POS)
Implementation by Contractor Organisations
Frequently Asked Questions (FAQs)

How is approval moved from Provisional to Full?

Upon award of the first contract where the contractor is discharging the role of a POS provider the NR STE Audit Team will arrange with the applicant for an on-site audit to take place. The objective of the site audit is to view the implementation of the management system processes, which the company would not be able to demonstrate at the initial management system audit. This is carried out under live work conditions (no simulation allowed) when available and chosen by the NR STE Audit Team.

Following successful completion of the on-site audit the NR STE Audit Team will inform Achilles and the applicant will be registered with full approval (indicated by a blue rosette) and entered onto a programme of annual retention audits. The POS provider will be subject to proactive and reactive monitoring throughout the period of their Provisional or Full approval status.

How long will the process take?

The length of time it takes to meet the requirements for full approval status will depend on the following factors:

- The existing standard of your HSQ&E management systems.
- The size and scope of your activity and the risks associated with it.
- The development resources you have available.
- The availability of audit opportunities.

At the outset a timetable and programme for the audits will be agreed between the applicant and Scheme Auditors, based on the assessment of the development work needed to bring the applicant's processes up to the required standard. The process from Provisional to Full status must be completed within three months.

What is involved in maintaining POS provider approval?

Approval will remain valid through continued compliance with the POS Rules and through an ongoing programme of annual audits and monitoring.

Any proposed changes to the POS provider's arrangements or organisation that the original approval was based on will be subject to rigorous assessment of the revised document(s) and any supporting evidence (such as a material change report). Acceptance of the proposed changes may be subject to a re-audit within three months to assure that the measures outlined have been adequately implemented.

The POS provider will be required to nominate and maintain a point of contact within their organisation to liaise with the NR STE Workforce Safety Team for all approval retention issues.

What is a suitable maintenance facility?

Suitable maintenance facilities should have an appropriate level of equipment and accommodation required to carry out the work described in the relevant OTP maintenance plans. The minimum level needed is as follows:

- Clean, dry, covered accommodation for dealing with wheel sets, bearings, mechanical, electrical, pneumatic and hydraulic components etc.
- Adequate illumination for the inspection of components, bogies, and undercarriages.
- Cleaning facilities which will not cause damage to the machine or its components.
- Jacking and blocking devices for raising the machine to remove bogies, wheels and axles.
- Mechanical handling equipment for the removal and refitting of components such as rail bogies and engines etc.
- Protection of vulnerable areas and components from adverse weather conditions.
- A length of straight level track for the conducting of brake tests
- Provision of a suitable anchor and calibrated load cell for the conducting of RCI testing.

Why does the POS Representative have to be an employee of the POS Provider?

The POS representative is not a new role; it merely develops further the previous POL representative requirement. The role has now been brought in line with the requirements of the Sentinel Scheme Rules. The POS representative role is to be renamed to POS Supervisor at the next revision of the POS Rules in Spring 2015.

There are proven advantages in personnel commitment, allegiance and behaviour from using the direct employee / employer relationship in the selection of safety critical personnel. It is intended to capture those benefits in the role of POS representative to improve the on-site supervision of OTP operations. The direct employee (not a zero hour's sub-contractor) requirement will assist in improving the competence of POS representatives through their knowledge of the staff, systems and OTP owned and deployed by the POS provider.

Why does the POS provider have to be a plant owner?

The ownership of operational OTP is essential for the POS provider to be able to achieve and deliver the detailed knowledge, experience and understanding of the OTP being used. The ownership requirement also subjects the owner to the technical audit requirements of the scheme. The type and number of OTP is not specified in

the scheme rules and the POS provider would be permitted to cross-hire specific equipment for work if required. The ownership of a token item of plant in order to meet the ownership requirement would not guarantee a successful application as the level of ownership should be proportionate to the scope of the applicant's work. This would be confirmed during the application process so applicants that are unable to qualify are not processed through to the audit stage. Compliance with the ownership criteria will continue to be monitored throughout scheme assurance activities.

Why can't the POS Representative be engaged in, or responsible for, any other site safety critical duties?

In order to avoid any potential conflict in responsibilities or priorities the POS Representative must not be engaged in any other safety critical duties which may lead to confusion, distractions or dilute the primary responsibility of ensuring safe OTP operations. There are some obvious roles that would conflict with the primary objective of the POS Representative e.g. COSS, ES, PICOP, etc. These roles have other objectives to achieve which could distract or subordinate the purpose of the POS Representative. It is important to remember that the POS Representative would need to be both a direct employee and in close proximity to the OTP carrying out the work so any other duties or role that could not fulfil these requirements would not be acceptable. The single exception to this rule is where only one item of OTP is in use on site. In this circumstance the POS Representative may also carry out the role of machine controller/crane controller.

The POS provider must make a risk based decision on how many POS representatives are required to provide adequate OTP control and supervision. Whatever decision is reached would need a safety justification and validation and not be a decision made simply out of cost, expediency or convenience.

The Scheme Rules mention a whistle-blowing process – is this just for Network Rail or is it available to contractors?

Whistle-blowing has been used as a generic term for an anonymous report. This can be through CIRAS or Speak Out as these are industry tools where anyone can report things like incidents or irregularities. These are passed on to a separate part of Network Rail to investigate where necessary. These anonymous reporting channels are separate from the POS or Sentinel Scheme Rules.

Why is an OTP Plan needed?

The POS provider provides the detailed knowledge, understanding and expertise in the use of OTP in the same way a crane operating company would provide a 'contact lift' to a client. This activity supports one of the main principles behind the POS scheme in that 'those who do the work should be involved in planning the work'.

On-Track Plant Operations Scheme (POS)
Implementation by Contractor Organisations
Frequently Asked Questions (FAQs)

The scheme requires that the POS and the PC communicate and collaborate in developing a method statement. The OTP plan required by the scheme is an input into that method statement and is a means of compliance to the Infrastructure Plant Manual (NR/PLANT/0200). Although the scheme deliberately avoids being prescriptive about the paperwork there remains a requirement in the Infrastructure Plant Manual for Work Plan form SMF/PL/0253 to be used for Infrastructure Maintenance work.

Are non-OTP operations included in the POS?

Plant operations utilising non-rail mounted plant working within 3m of the line are included within the scope of the POS Rules. Other usage of non-OTP is not in the scope of the POS rules and therefore the rules do not cover detail in this area. However, it is a pre-requisite that a POS provider has adequate arrangements in place for the provision and use of non-rail mounted plant, similar to the arrangements they apply to OTP. This pre-requisite is to enable compliance with the requirements for the Selection and Use of Suppliers Plant and Services described within the scheme rules.

Principal Contractors will continue to carry out the provision, control and management of non-rail mounted 'civils' type construction plant on construction site environments. The PC Licence Standard includes a requirement for a PC to have adequate arrangements in place for the provision and use of such plant.

Where a POS provider is engaged to manage the OTP operations on site it is seen as sensible and beneficial for them to provide and manage the non-rail mounted plant activities where possible.

Second Issue dated: 10 November 2014

Infrastructure Plant Manual

Module P521 – On-track plant operations scheme

Technical content authorised by:

Peter Ellis, Principal Engineer [Plant and T&RS] | 10/11/2015

Technical content endorsed by:

Rashid Wahidi, Head of Plant and T&RS | 10/11/2015

Accepted for publication by:

Mick McManus, National Standards Manager | 10/11/2015

NetworkRail

Contents

1 Purpose

The application of this module contributes to the control of the following risks:

a. risk of runaway, uncontrolled movement and collisions by OTP with infrastructure, workforce or other vehicles

b. risk of personal injury within a worksite: Slips, trips and falls, struck by OTP

c. risk of implementing ineffective management control and supervision of on-track plant operations

2 Scope

This document defines the on-track plant operations scheme (POS) for the provision and operation of on-track plant (OTP) on Network Rail Managed Infrastructure (NRMI) and Network Rail Projects.

This document applies to organisations carrying out OTP operations on NRMI and Network Rail projects. The following are pre-requisites for compliance with the POS:

a) safe use of plant for infrastructure work, as set out in this manual NR/PLANT/0200;

b) product introduction and change, as set out in NR/L2/RSE/100/05;

c) engineering acceptance, as set out in RIS-1530-PLT; and

d) specific rules controlled through the Sentinel scheme.

Arrangements for the operation of on-track machines (OTM), portable and transportable plant, whether operating inside or outside of a possession, are outside the scope of the POS.

The Network Rail POS review panel act as the owners and administrators of the POS.

3 The on-track plant operation scheme rules

OTP operations on NRMI and Network Rail projects shall be carried out by an approved POS provider.

POS providers are approved by the POS review panel.

To gain approval a POS provider shall demonstrate to the POS review panel that they have:

1. a fully documented management system and framework for the safe delivery of OTP operations;

2. a competence management system for assuring the competence and fitness of their employees and contracted staff involved in the operation, maintenance and supervision of OTP operations in accordance with the Sentinel scheme rules;

3. adequate processes to enable effective communication and co-ordination within all worksites;

4. an adequate number of POS representatives present on each site to act as the point of contact. POS representative shall be employees of the POS provider and not be engaged in any other concurrent safety critical duties on site;

5. arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers;

6. arrangements in place to respond to emergencies while undertaking OTP operations;

7. title of ownership of operational OTP and have adequate and fully documented processes in place for the approval, acceptance, operation and maintenance of their OTP;

8. adequate arrangements in place for the selection and use of suitable suppliers, including safety critical goods, products or services. Suppliers used to provide OTP shall be Network Rail approved through the Railway Industry Safety Qualification Supplier (RISQS).;

9. adequate arrangements for the operational control, preparation, development, communication and implementation of the safe system of work for OTP operations; and

10. identified and maintained information relating to the scope of the OTP operations they undertake.

NOTE: In the above rules, the term adequate is a risk based assessment that determines suitable and sufficient means to eliminate risk involved in an operation, or to reduce the risk to an acceptable level if elimination is not possible.

Section 5 contains requirements and guidance on demonstrating compliance with the on-track plant operation scheme rules.

4 POS provider's responsible roles

4.1 On-track plant operations

POS providers shall nominate a person to be responsible for OTP operations and the continued competence of all individuals involved with the work. The person fulfilling this role shall be:

a) competent in managing the planning, operation and maintenance of OTP operations; and

b) responsible for assigning competent OTP personnel including POS representatives.

4.2 On-track plant engineering

POS providers shall nominate a person to be responsible for OTP engineering and the continued competence of all individuals involved with the work. The person fulfilling this role shall:

a) competent in the design, manufacture, maintenance and engineering change aspects of OTP engineering;

b) have been trained in the use of the safety systems used on items of OTP that are owned directly by their employing company or might be used in OTP operations within the POS provider's scope of work; and

c) be responsible for the product approval and engineering acceptance of OTP including engineering change.

If this role is sourced from an external organisation, the POS provider shall identify a person within their organisation to be responsible for liaising with the external organisation.

4.3 On-track plant operations scheme representative

POS providers shall nominate at least one POS representative on each site where OTP is being utilised. The person(s) fulfilling this role shall be:

a) trained, and assessed as competent in the POS provider's management systems for delivery of the OTP plan and arrangements made by the POS provider;

b) the single point of contact for the Safe Work Leader for OTP operations;

c) assist in the planning of OTP operations and the documenting of these in the OTP plan; and

d) an employee of the POS provider.

A POS representative shall not be engaged in, or be responsible for any other site safety critical duties except as a machine controller (MC) or crane controller (CC), when only a single item of OTP is in use and they hold the corresponding competence.

5 Management system requirements

5.1 Plant operations scheme provider approval

POS providers shall comply with the requirements of NR/PLANT/0200 and have passed the assurance requirements for POS qualification described within the POS.

5.2 Organisation

POS providers should have a management system and framework for the safe delivery of OTP operations. They should have arrangements in place to:

a) document the organisational structure to demonstrate it is adequate for OTP operations and planning;

b) keep their organisational structure current;

c) obtain the acceptance of responsibilities from all post holders;

d) set up a means of communication with suppliers where key health, safety, quality, environmental or technical expertise is procured from outside the organisation;

e) demonstrate their understanding of the roles and responsibilities of a principal contractor (PC) in relation to the POS provider; and

f) risk assess, validate and brief out material changes to the management system. Proposed material changes should be notified to the POS administrator in sufficient time for review and approval prior to the material changes being implemented.

5.3 Training and information

POS providers should have documented operational and resource arrangements in place to demonstrate that all employees and supplier's staff have their rail related competencies maintained and developed in line with new requirements or technological change. They should demonstrate that adequate and appropriate training:

a) is delivered to employees and supplier's staff working (or about to work) on OTP operations;

b) is provided to employees and suppliers in respect of the management of health and safety requirements appropriate to the activities being undertaken;

c) is available to the POS representative including an assessment of competence resulting in an Authority to Work to carry out the role; and

NOTE: Suitable arrangements for providing and signing off an Authority to Work should include the issue of an Authority to Work card detailing the specific assigned duties relating to OTP operations e.g. POS Representative.

d) includes a framework that enables feedback on content and effectiveness of safety training and briefings.

5.4 Communication and co-ordination

POS providers should demonstrate their processes for communication and co-ordination within possessions and worksites. These should be fully documented and include:

a)   a POS representative acting as the single point of contact during the course of OTP operations;

b)   accident and incident reporting arrangements, including directly reporting accidents or incidents to NIR-online;

NOTE: *NR/PLANT/0200/module P100 contains further information on incident reporting.*

c)   emergency and contingency planning arrangements;

d)   arrangements for assessing information on risks provided by the PC and from the POS provider's own site walk out and the incorporation of any resulting information into the OTP plan and the method statement;

e)   essential communication and liaison between all those involved in the work takes place as planned; and

f)   where the POS provider is also undertaking the role of the PC, the representatives of the POS provider and PC should be separate.

5.5 Monitoring of effectiveness of on-track plant planning

POS providers should demonstrate that they have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers. These arrangements should be fully documented and include:

a)   obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident reports, etc;

b)   analysing and reviewing performance data and other key performance indicators (KPIs), including OTP reliability and the identification of trends;

c)   conducting an annual management review of the POS provider's processes and arrangements;

d)   obtaining and reviewing the results of their supplier's Railway Industry Safety Qualification Scheme (RISQS) product codes and technical audits;

e)   reviewing and discussing supplier performance with their suppliers; and

f)   identifying and closing out corrective actions in a timely manner.

Refer to NR/PLANT/0200/module P101 for additional information on monitoring plant activities.

5.6 Emergency preparedness

POS providers should have documented arrangements in place for responding to emergencies when undertaking work on NRMI and Network Rail projects that include:

a) co-operating and co-ordinating with the organisation undertaking the role of PC in the preparation and distribution of emergency response plans for all personnel involved in the work;

b) briefing personnel on the plans and testing the understanding and effectiveness of such plans;

c) production and distribution of an emergency contact list;

d) provision of equipment for use in the event of an emergency;

e) interfacing with, and assisting the organisation undertaking the role of PC, Network Rail, regulatory authorities and the emergency services, etc.; and

f) review and revision of the plans, particularly after an accident, incident or emergency.

5.7 Insurance arrangements

POS providers should demonstrate that appropriate contract specific insurance arrangements are in place before commencement of works.

5.8 On-track plant acceptance and maintenance

A POS provider should demonstrate that they have documented processes in place for the approval, acceptance and maintenance of OTP that include:

a) Network Rail product approval;

b) engineering acceptance of OTP;

c) a process for managing engineering change following OTP modification or upgrade;

d) development and implementation of maintenance plans for each type of OTP;

e) provision of suitable and sufficient maintenance facilities;

f) control of maintenance periodicity;

g) monitoring and reporting of maintenance performance;

h) the regular review of maintenance plans and a process for amending or updating maintenance plans;

i) maintenance of safety critical systems (e.g. RCI calibration);

j) implementation of these requirements for hired in OTP through assurance and monitoring; and

k) maintaining an up to date register of all OTP subject to these arrangements.

NR/PLANT/0200 modules P300, P700, P701 and RIS-1530-PLT provide additional information on the acceptance and maintenance of OTP.

5.9 On-track plant scope of operation

POS providers should have a documented system that identifies the:

a) number of items of OTP operated per week;

b) number and types of OTP owned, including their date of introduction;

c) number and types of OTP hired;

d) number of possessions operated per year;

e) number of OTP operating hours per year;

f) details of all maintenance facilities; and

g) details of all accidents and close calls in the last 12 months.

The documented system should be subject to management review at least annually.

5.10 Selection and use of suppliers of plant, products and services

POS providers should be able to demonstrate their processes for the selection and use of suppliers, including safety critical goods; products; or services. These arrangements should be documented and include:

a) OTP used on NRMI and Network Rail projects should only be hired in from approved suppliers with the necessary RISQS product codes; (

NOTE: NR/PLANT/0200/module P302 for further information on RISQS product codes.

b) all hired in OTP and attachments used on NRMI and Network Rail projects are Network Rail approved and have a valid Certificate of Engineering Acceptance (where applicable);

c) additional hired in resources e.g. OTP or personnel, are subject to the same arrangements for the planning of OTP operations as their own, and are documented in the OTP plan under the responsibility of the POS representative;

d) additional supporting services e.g. mobile cranes, general construction plant, etc., are subject to the same arrangements for the planning of OTP operations as their own, and are documented in the OTP plan under the responsibility of the POS representative;

e) hired in supporting services and goods utilised on NRMI and Network Rail projects are fit for purpose and properly maintained in a serviceable condition that meets the required standard of performance and reliability accepted by Network Rail; and

f) hired in plant, equipment and attachments will only be operated by competent personnel.

5.11 Operational arrangements and requirements

A POS provider should be able to demonstrate the arrangements in place for implementing operational requirements. These arrangements will be documented and include elements for:

1. Operational control including:

a) communications processes;

b) the exchange of information with Network Rail regarding diversions, speed restrictions, late notices and infrastructure failures;

c) interface with Network Rail's National Control regarding urgent operating advices (GO/RT3350) and defect reports (GE/RT8250). See also NR/PLANT/0200/ module P100; and

d) communicating conditions of low rail adhesion (GE/RT8040).

2. Planning including:

a) involvement in possession planning and input to the method statement;

b) advising on the selection of OTP for the work to be carried out;

c) selecting and controlling OTP personnel;

d) attending pre-possession meetings;

e) attending site walkouts; and

f) involvement in the selection and use of competent lift planners to plan lifting operations.

3. Control and supervision including:

a) pre-use checks;

b) setting up of OTP;

c) OTP movements (as required by Rule Book Module GE/RT8000/HB15);

d) reports of OTP faults or defects; and

e) exclusion zones and duplex communications.

5.12 On-track plant planning

The POS provider should assist in the development of an OTP plan that includes all information relevant to the safe operation of the OTP.

The OTP plan should be included in the final work method statement by the PC and communicated to machine and crane controllers by the POS representative to enable them to implement the OTP plan on site.

The documented OTP plan shall comply with all modules of NR/PLANT/0200.

The plan shall include the following as a minimum:

a) description of work to be undertaken and the use that will be made of the plant.;

b) safe system for operations affecting any adjacent line open (ALO), overhead line equipment (OLE) or third and fourth rail areas including third party owned OLE.;

c) limitations and obstructions to space and clearance such as gauge restrictions, bridges, platforms, buried cables and troughing etc.;

d) identification of road-rail access point (RRAP) locations for on/off/cross tracking of OTP.;

e) the transportation of OTP to and from the site access point.;

f) worksite details and the movements involved, including to and from the worksite. ;

g) details of where different modes of operation are to be undertaken.;

h) site briefing arrangements and responsibilities.;

i) emergency information and the emergency plan applicable including contacts and recovery arrangements.;

j) storage and stabling locations including security requirements on site.;

k) communications including duplex communications equipment.;

l) arrangements for traffic management planning including exclusion zones and safe movement of personnel and OTP from the delivery point and throughout the worksite. ; and

m) contingency planning arrangements in place for preventing the operation of defective OTP performing a safety critical function.

5.13 Competence of on-track plant personnel

POS providers should document their arrangements for assuring the competence and fitness of their employees and hired-in staff involved in the operation and maintenance of OTP. This should include elements for:

1. Competence including :

a) determining the specific competence requirements for OTP personnel including maintainers and logistics staff;

b) specific training for the POS representative including an assessment of competence;

c) selection of new OTP personnel including maintainers;

d) provision of training on the operation and maintenance of OTP;

e) training and briefing on the risks associated with OTP;

f) training and briefing on avoiding points run through and incident awareness;

g) re-assessing competence periodically and retraining following identification of poor performance; and

h) awareness of behaviour based safety for OTP personnel.

NOTE: NR/PLANT/0200/module P500 contains further information on OTP competences.

2. Managing directly employed personnel including**:**

a) checking of depots and sites;

b) booking-on procedures;

c) monitoring of fitness and fatigue;

d) managing notice boards/late notice cases (where applicable); and

e) distribution of operational information and briefings.

3. Managing hired in personnel including**:**

a) assuring competence;

b) assuring fitness and monitoring fatigue;

c) monitoring performance; and

d) sharing performance data.

4. Monitoring performance of on-track plant personnel including:

a) compliance with operational arrangements;

b) booking on arrangements;

c) plant preparation;

d) machine operating techniques;

e) movement speeds of OTP;

f) taking action when non-compliance is identified;

g) frequency of monitoring; and

h) posts responsible for monitoring.

NOTE: NR/PLANT/0200/module P101 contains further information on monitoring OTP personnel performance.

5. **Special monitoring of on-track plant personnel** that are either newly qualified or poorly performing including:

a) criteria for instigating special monitoring;

b) additional monitoring to be carried out;

c) additional controls that may be required; and

d) criteria for ending any special monitoring.

5.14 Reliability of on-track plant

POS providers should be able to demonstrate that documented arrangements for monitoring the reliability of OTP are in place which includes:

a) a reporting system in use to report faults accurately and in a timely way;

b) a reliability improvement plan to detail proactive efforts in overcoming reliability issues and show any actions planned or taken to overcome OTP reliability issues;

c) analysis of reliability data collected to support continuous improvement against performance criteria;

d) actions taken to minimise damage during transit to ensure OTP remains fit for purpose prior to the start of work;

e) actions taken to manage all attachments supplied when not in use including provision of storage facilities; and

f) an assessment as to whether there is a need for an on-site fitter to be available throughout the work, and the provision of a contingency spares/tools pack of commonly used items.

6 Investigation and review of breaches of the POS

6.1 Reporting an alleged breach of the POS

Any report of an alleged breach of the POS (e.g. misuse of OTP, failure of, or deviation from, the OTP plan etc.) should be made to the POS provider and through the close call system or anonymously through the whistle-blowing process.

Following notification of any alleged breach of the POS, the POS provider shall inform the POS review panel at Network Rail. Where Network Rail receives notification of an alleged breach of the POS they shall contact the POS provider and request they conduct a local investigation.

NOTE: The email pos@networkrail.co.uk can be used to report breaches.

6.2 Local investigation by a POS provider

POS providers shall commence a local investigation of any alleged breach of the POS scheme (see Figure 1) in accordance with their management system processes making sure that:

a) the investigation is independent and considers any process or management failures within the alleged breach; and

b) an action plan is produced that identifies any necessary improvements or remedial actions they will undertake to prevent a reoccurrence.

6.3 Third party investigations

Where an third party has completed an investigation related to an alleged breach of the POS e.g. damage or injuries investigated by the Rail Accident Investigation Branch (RAIB), the results of the investigation may be used in a formal review by Network Rail.

6.4 Formal review by Network Rail

Network Rail shall request that any reported breach of the on-track plant operation scheme rules is investigated by the POS provider in the first instance.

Notification of a reported breach of the on-track plant operation scheme rules might be received from a number of sources including:

a) PC or POS provider reporting;

b) outside party investigation;

c) whistle-blowing process; and

d) accident/incident reporting.

Any such report shall be subject to a formal review process as shown in Figure 1.

The POS provider shall be given the opportunity to provide a statement to enable a fair process through the formal review stage.

All evidence is subject to a formal review and shall result in one of the following decisions:

a) no further action required;

b) further investigation by Network rail required;

c) evidence indicates a breach of the PC's licence; and

NOTE: In this case evidence is submitted to Network Rail Infrastructure Projects Licensing team for consideration.

d) insufficient evidence is available to determine an outcome

NOTE: Table 1 contains guidance on these outcomes.

6.5 Further investigation by Network Rail

Where the formal review requires further investigation, Network Rail shall appoint a lead investigator.

The lead investigator shall provide feedback to the formal review panel to enable an outcome to be reached.

Where the statement submitted by the POS provider at formal review does not include sufficient information for an outcome to be determined, a further investigation by Network Rail including an investigatory hearing may be conducted.

6.6 Conclusion and notification of an outcome

Where an outcome is concluded from a formal review this shall be applied in line with the outcome guidelines given in Table 1. All decisions on outcomes shall be communicated to the POS provider in writing, along with the process for lodging an appeal against an outcome.

6.7 Formal review appeals

A POS provider has a right of appeal as shown in Figure 2, providing the appeal is lodged within four weeks of the outcome being communicated to the POS provider.

Formal review appeals shall only take place where new information or mitigating circumstances not available at the formal review stage is submitted.

Formal Review appeals shall be reviewed by persons within Network Rail who were not involved in the initial formal review process.

7 Scheme assurance arrangements

7.1 Scheme assurance

POS providers registered to undertake OTP Operations are subject to an annual assurance process consisting of three separate audits.

1 Minimum requirement for management system audits

Management system audits shall check that the POS providers documented management systems and processes are suitable and sufficient to meet the minimum requirements of the POS.

2 Minimum requirement for technical audits (condition monitoring)

This shall be carried out in support of the management system audit of OTP acceptance and maintenance arrangements. The technical audit protocol shall be determined by Network Rail's Head of Plant and T&RS.

3 Minimum requirement for on-site audits

On-site audits shall check the application of the management system processes and demonstrate that they are being applied.

They shall be conducted following award of the first contract where the company is discharging the role of a POS provider.

During on-site audits POS providers are observed and should be able to provide evidence of adherence to the on-track plant operation scheme rules.

7.2 Plant operations scheme monitoring process

Network Rail shall proactively and reactively monitor activities carried out at both the POS provider's locations and on site in support of the scheme assurance arrangements.

NOTE: Monitoring activities might be unannounced.

POS providers shall allow Network Rail unrestricted access to worksites and documentation for these assurance activities.

Monitoring activities might include inspections, tours or sampling as appropriate.

Network Rail normally advises the POS provider i of planned monitoring activities to agree the aspects to be monitored and the date, time and composition of the monitoring team.

Proactive monitoring shall be carried out to check that the on-track plant operation scheme rules continue to be implemented and that the management systems are effective. This shall include identifying potential problems and taking action to prevent them becoming reality.

Reactive monitoring shall be completed to examine any OTP related events after they have occurred. This shall include provision for learning from any mistakes whether they have resulted in injuries, damage, or are close calls.

7.3 Transfer of POS provider approval

Where a POS provider is acquired by another company or group the POS review panel shall be notified in advance of the acquisition.

The acquiring organisation shall produce a material change report to detail how the POS processes will be merged and the POS provider's approval transferred in practice.

The POS review panel shall review the material change report to determine if the POS provider approval can be transferred to the acquiring organisation.

Acceptance of the material change report might be subject to an assurance audit within three months of acquisition to assure that the measures outlined within the material change report have been adequately implemented.

7.4 Validation Audits

Network Rail's internal audit function shall audit the on-track plant operation scheme rules annually..

Results of these verification audits shall be made available to all POS providers to demonstrate the consistent application of the on-track plant operation scheme rules. .

Event	POS Provider Action (Local Investigation)			Network Rail POS Review Panel Action (Formal Review)		
	Investigate and Report	Update Arrangements	Management Review	Approval Re-Audit	Restricted Scope of Work *See Note	POS Provider Suspension
Breach of POS Rules	Unknown breach or mistake (first occurrence)			Multiple Occurrence		
Breach in maintaining the POS rules approval requirements			Unknown breach	Single Occurrence	Multiple Occurrence	
Breach of Network Rail Product Approval or Engineering Acceptance limitations				Single Occurrence		
Breach of machine maintenance requirements and arrangements	First Occurrence			Single Occurrence	Multiple Occurrence	
Falsification of safety critical documentation e.g. MC/CC checklist				Single Occurrence /Deliberate Breach		
Infringement of Method Statement or OTP Plan	Unknown infringement or mistake (first occurrence)			Multiple Occurrence/ Deliberate Breach		
Negligence by OTP personnel leading to damage or injury	Unknown negligence or mistake (first occurrence)			Multiple Occurrence/ Deliberate Breach		
Breach in providing the correct or competent personnel required	Unknown breach or mistake (first occurrence)			Single Occurrence	Multiple Occurrence	
Breach in reporting or investigating an alleged POS Rules breach			Unknown breach	Single Occurrence /Deliberate Breach		
*Note A Restricted Scope of Works may include specific machine(s) take-down						

Table 1 Breaches of on-track plant operation scheme rules – outcome guidelines
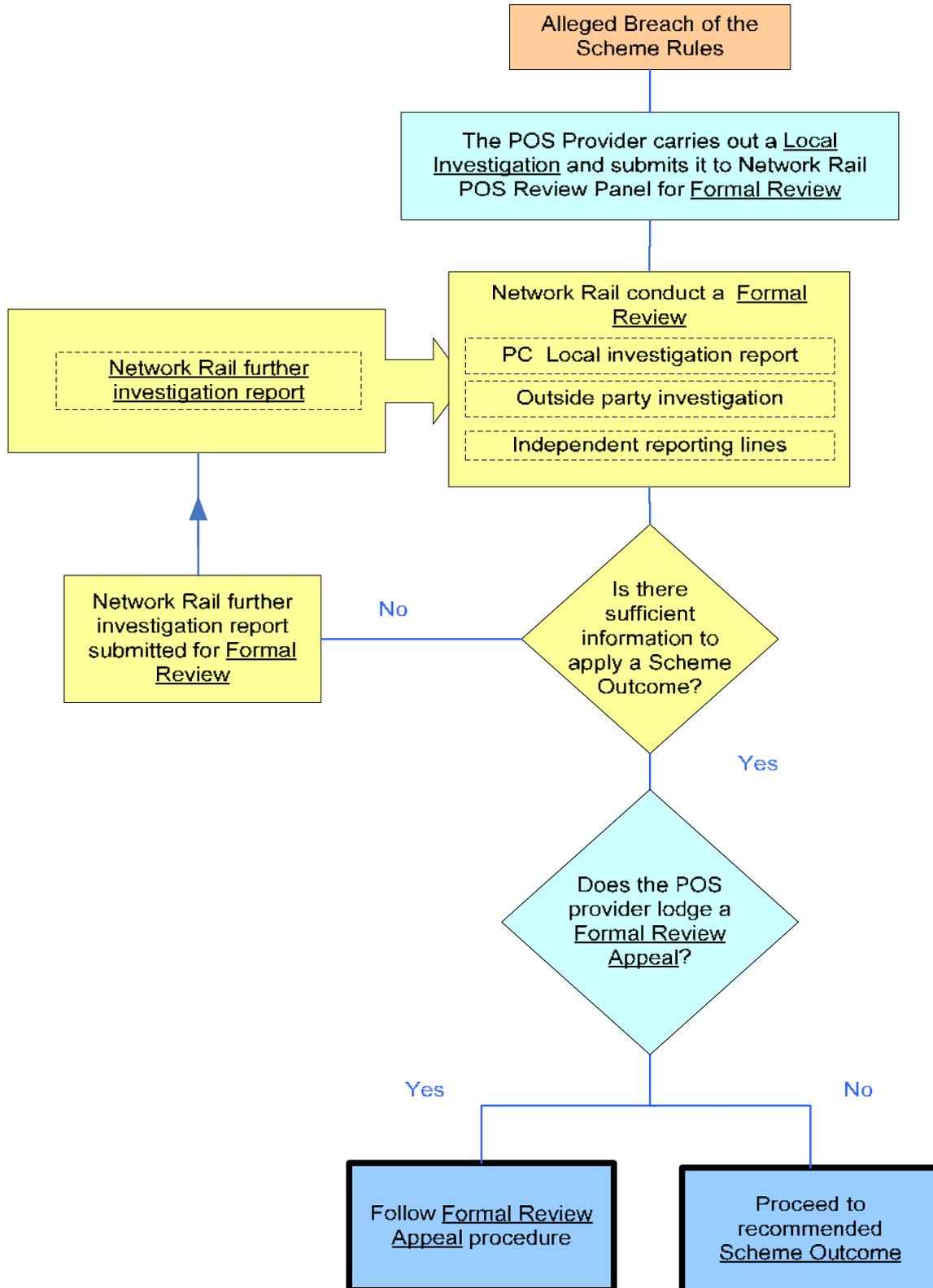
Figure 1 Local investigation and formal review process
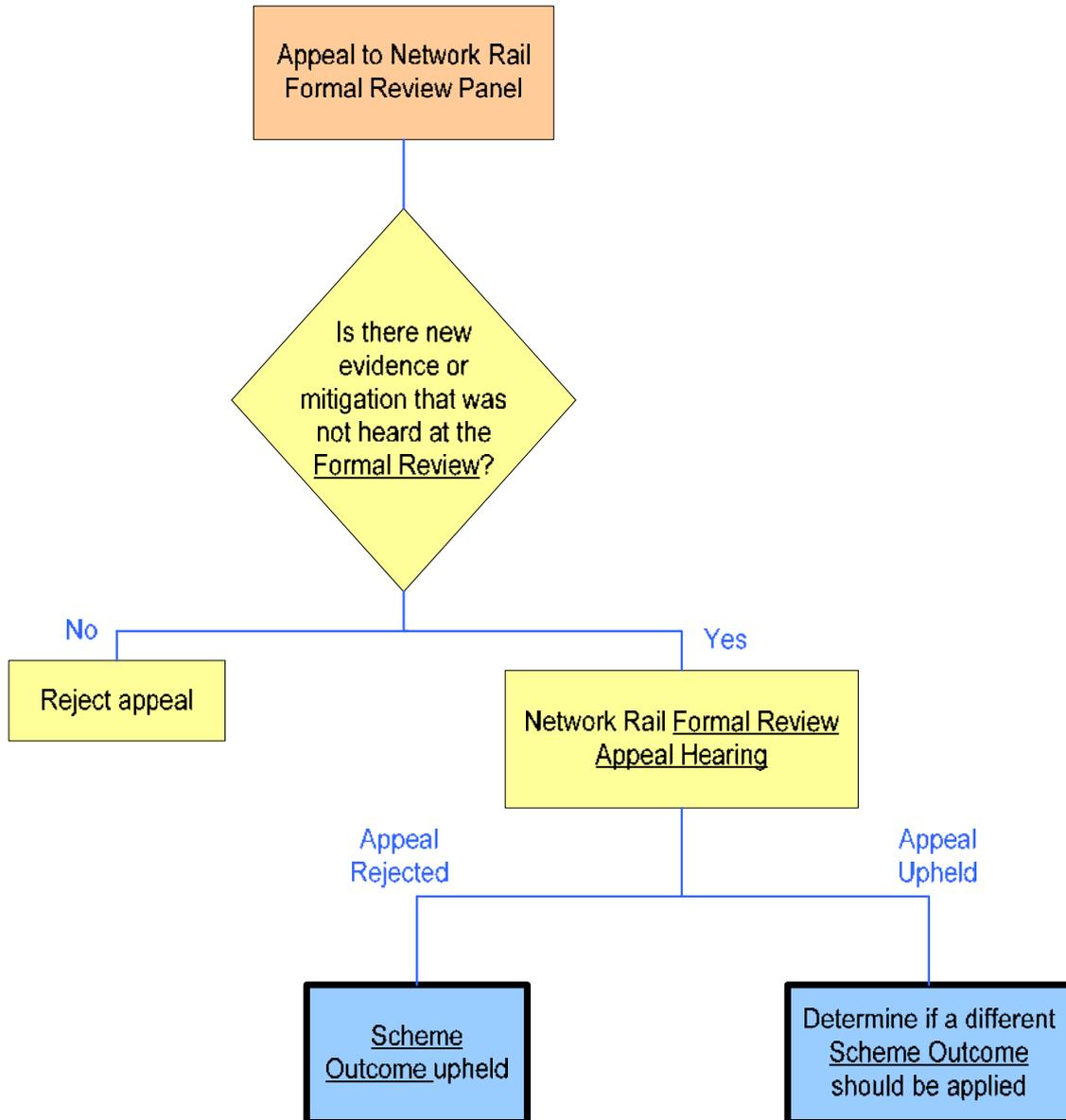
Figure 2 Formal review appeals process

Issue record

Issue	Date of Publication	Comments
1	December 2015	First issue

Owner

Head of Plant and T&RS

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 07 March 2016.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

Disclaimer

In issuing this document for its stated purpose, Network Rail makes no warranties, express or implied, that compliance with all or any documents it issues is sufficient on its own to ensure safe systems of work or operation. Users are reminded of their own duties under health and safety legislation.

Supply

Copies of documents are available electronically, within Network Rail's organisation. Hard copies of this document may be available to Network Rail people on request to the relevant controlled publication distributor. Other organisations may obtain copies of this from an approved distributor.

Railway Interface Planning Scheme (RIPS)
Frequently Asked Questions (FAQs)

The following FAQ's and the associated answers relating to RIPS will help those seeking to become an approved RIPS provider understand the approval process.

What is a RIPS provider?

A RIPS provider is an organisation that plans and manages access to places described as "on or near the line" in The Rule Book (GE/RT8000) on Network Rail Managed Infrastructure (NRMI). The RIPS Rules define the minimum expectations and resources to be consulted in the development and implementation of a plan, and the competences required by those involved in the planning. The RIPS Rules do not cover the assessment and control of health and safety risks arising from the work activity however it does provide a mechanism to identify and control risk to the safe operation of the railway arising from any work on or near the line.

What are the benefits of becoming a RIPS provider?

Upon successful completion of the process you will have demonstrated you have sufficient and suitable management system/s in accordance with the RIPS Rules to act as a RIPS provider engaged in contracts directly with Network Rail or as a sub-contractor for a Principal Contractor (PC) on Network Rail Managed Infrastructure (NRMI).

Although this does not guarantee contract work it is a requirement Network Rail places on its contractors in order to achieve consistent improvement in the delivery of maintenance programmes and infrastructure projects.

Which contractors do the RIPS Rules apply to?

The RIPS Rules extend to all organisations carrying out RIPS activities on NRMI for Network Rail or for a PC.

Are there any prerequisites to becoming a RIP provider?

A Company that applies to become a RIPS provider shall, as a minimum:

- Be registered with RISQS and have passed the Industry Minimum Requirements and Sentinel Scheme audit requirements
- Have the RISQS auditable product or service codes relevant to the service(s) being providing.
- Comply with the RIPS Rules and have passed the assurance requirements described within the RIPS Rules.
- Be a Primary Sponsor as described in the Sentinel Scheme Rules.

You should note that meeting the above criteria will not automatically guarantee a successful application.

S&SD dated: 21 October 2014

Railway Interface Planning Scheme (RIPS)
Frequently Asked Questions (FAQs)

How do I apply to become a RIP provider?

A company seeking approval must register with RISQS for the appropriate product codes, the Industry Minimum Requirements Audit, and the Railway Interface Planning Scheme Qualification. RIPS will be administered and listed on Achilles as a specialist supplier qualification that can be searched for by buyers in the community. Achilles will publish RIPS as a qualification option in their portfolio.

What happens after I have made an application to become a RIP provider?

Following receipt of an application Achilles will send an acknowledgement and the applicant must then contact Achilles to arrange a RIP Scheme Management Audit. This audit is in addition to the industry Minimum Requirements Audit and follows a RIP Scheme audit protocol. The RIP Scheme management audit can be undertaken together with other RISQS audit modules.

On successful completion of the Management Audit the applicant will be shown as Qualified by Achilles. The Qualified status enables applicants that are contractors to be included/ invited to tender whereupon relevant/suitable works can be awarded.

How long will the process take?

The length of time it takes to meet the requirements for approval status will depend on the following factors:

- The existing standard of your HSQ&E management systems.
- The size and scope of your activity and the risks associated with it.
- The development resources you have available.
- The availability of audit opportunities.

At the outset a timetable and programme for the Management Audit will be agreed between the applicant and Scheme Auditors, based on the assessment of the development work needed to bring the applicant's processes up to the required standard. The process must be completed within three months.

What is involved in maintaining RIP provider approval?

Approval will remain valid through continued compliance with the RIP Scheme Rules and through an ongoing programme of annual audits and monitoring.

Any proposed changes to the RIP provider's arrangements or organisation that the original approval was based on will be subject to rigorous assessment of the revised document(s) and any supporting evidence (such as a material change report). Acceptance of the proposed changes may be subject to a re-audit within three months to assure that the measures outlined have been adequately implemented.

The RIP provider will be required to nominate a point of contact within their organisation to liaise with the Scheme Auditors for all approval retention issues.

Railway Interface Planning Scheme Rules (RIPS Rules)

Contents

1. Purpose

The purpose of this document is to define the rules and compulsory mechanisms for organisations that plan and manage access to places described as "on or near the line" in The Rule Book (GE/RT8000) on Network Rail Managed Infrastructure (NRMI). So that Network Rail can assure itself that organisations undertaking these activities are able to plan, implement and monitor systems of work that protect those it extends to from the risk of death or injury caused by impact with trains or rail mounted equipment, or from contact with traction current (electricity).

Railway Interface Planning Scheme Rules (RIPS Rules)

2. Scope

The scope of this document extends to all organisations who arrange for track workers to access work places that are "on or near the line". It defines the minimum expectations and resources to be utilised in the development and implementation of a plan, and the competences required by those involved in the planning.

The RIPS Rules do not cover the assessment and control of health and safety risks arising from the work activity however they provide a mechanism to identify and control risk to the safe operation of the railway arising from any work on or near the line. The following are pre-requisites to compliance with the RIPS Rules:

- The safety of people working on or near the line as set out in current Network Rail Standards
- The contents and acceptance criteria for planning when working for Infrastructure Projects or where stipulated in the contract, as set out in current Network Rail Standards.
- The rules and guidance for planning maintenance work as set out in current Network Rail Standards.
- Specific rules controlled through the Sentinel Scheme.

Arrangements subject to the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) for on-track machine (OTM) and engineering train paths and movements, as part of a larger safe system of work, are out of scope of the RIPS Rules.

The Network Rail Workforce Safety Team will act as the independent custodian of the RIPS Rules to ensure fair and compliant application both when Network Rail is undertaking railway interface planning and for its contractors.

Railway Interface Planning Scheme Rules (RIPS Rules)

3. Scheme Rules

3.1   A RIPS provider must be approved and must maintain approval through the assurance arrangements. Only an approved RIPS provider may carry out RIPS activities on NRMI.

3.2   A RIPS provider must have an adequate and fully documented management system and framework for the safe delivery of RIPS activities.

3.3   A RIPS provider must have a suitable Competence Management System in place to ensure the competence of all personnel to undertake their duties, and to formally nominate personnel to key roles on RIPS activities.

3.4   A RIPS provider must provide competent and sufficient resources to implement the training, mentoring and assessment of personnel.

3.5   A RIPS provider must have adequate processes in place to enable effective communication and co-ordination of the plan to those responsible.

3.6   A RIPS provider must have suitable assurance arrangements in place for monitoring the effectiveness of their own performance and that of their suppliers.

3.7   A RIPS provider must have adequate arrangements for the preparation, development, communication and implementation of the plan for access to places described as "on or near the line".

3.8   A RIPS provider must have adequate arrangements for contingency and emergency planning.

3.9   A RIPS provider must have adequate insurance cover for the work being undertaken as specified in the contract arrangements.

3.10   A RIPS provider must have adequate arrangements in place for the selection and use of suitable suppliers, including Safety Critical goods, products or services.

3.11   A RIPS provider must adhere to the NR Code of Conduct.

4. Roles and Responsibilities

4.1 Senior Manager Responsible for Railway Interface Planning
The RIPS provider must identify a senior manager with ultimate responsibility for RIPS activities and establish arrangements for ensuring the continued competence of this individual. Any individual fulfilling the post must meet the following criteria and responsibilities as a minimum:
- Be competent with suitable and sufficient experience in setting policy, procedure and guidance for RIPS activities.
- Be responsible for assigning competent RIPS personnel including Responsible Managers.

Where this role is sourced from an external organisation, the internal post responsible for liaising with the external organisation must be identified.

4.2 Manager Responsible for Railway Interface Planning (Responsible Manager)
The RIPS provider must nominate a member of the project team with the responsibility for managing RIPS activities on that project. Any individual nominated must meet the following criteria and responsibilities as a minimum:
- Ensuring that RIPS activities are assigning to competent RIPS planners.
- Timely and adequate preparation of the plan by the planner and for commissioning and validating the plan.
- Critical decision making for how work is prioritised, planned and delivered.
- Nominating who will undertake the Safety Critical roles in a plan.
- Accepting or rejecting the plans produced by the planner, including verifying that the level of protection is appropriate for the location and nature of work.
- Monitoring performance data for their area of responsibility, including the level of protection provided, and the number of plans rejected or changed on site.
- Be competent with suitable and sufficient experience in managing railway interface planning to oversee RIPS activities and specify protection needs to the planner.
- Be able to demonstrate their ownership of the planning process and Safety Critical decision making.

4.3 Railway Interface Planner
The RIPS provider must have a sufficient number of competent planners. Any individual fulfilling the post must meet the following criteria and responsibilities as a minimum:
- Be formally nominated, fully trained, and assessed as competent in RIPS delivery and arrangements.
- Have the primary duty to develop and document the plan and any associated communication and cooperation monitoring as directed by the Responsible Manager.
- Have access to appropriate and competent resources in relation to RIPS activities including lift planning and adjacent line open working.

4.4 Safe Work Leader (SWL)
Where a RIPS provider holds a contract direct with Network Rail and is seeking to gain a Railway Contractors Certificate, they must have sufficient competent SWLs in order to fulfil their contractual obligations, at the point at which the competence goes live. Any individual fulfilling the SWL post must meet the requirements within the Planning and Delivery Safe Work (PDSW) Handbook.

4.5 Network Rail Workforce Safety Team

The Network Rail Workforce Safety Team is the owner of the RIPS Rules and is responsible for maintaining the RIPS Rules including the following responsibilities:

- Keeping the RIPS Rules up to date and making them freely available to the industry.
- Making suitable arrangements for the RIPS Rules assurance processes.
- Undertaking a Formal Review following any report of an alleged breach of the RIPS Rules.
- Requesting that the RIPS Provider submits an evidence statement for consideration before a Formal Review conclusion is reached.
- Determining whether a Scheme Outcome of a RIPS provider is appropriate, dependent on the issues identified during the Formal Review process.
- Concluding any Scheme Outcome following the Formal Review on an alleged breach of the RIPS Rules.
- Hearing Formal Review appeals lodged by the RIPS provider when a Scheme Outcome has been applied and when new information or evidence that was not available at the Formal Review stage is submitted.

4.6 Railway Interface Planning Scheme Administrator

The Railway Industry Supplier Qualification Scheme (RISQS) will undertake the role of RIPS Administrator and will be responsible for the following:

- Processing applications from organisations wishing to become a RIPS provider.
- Providing RIPS provider applicants with information and guidance on the route to approved status.
- Maintaining records on behalf of Network Rail.
- Conducting the RIPS Rules management audit and arrangements.
- Providing and maintaining the RIPS Rules management audit protocol.
- Providing and administering a database of approved RIPS providers.

Railway Interface Planning Scheme Rules (RIPS Rules)

5. Management System Requirements

5.1 Railway Interface Planning Provider Approval
Prior to approval as a RIPS Provider and carrying out RIP activities the company must, as a minimum:
- Be registered with RISQS, hold relevant Product Codes and have passed the Industry Minimum Requirements Audit, the Sentinel Scheme Audit and the RIPS Audit.
- A RIPS provider must fully comply with the RIPS Rules and have passed the assurance requirements described within the Rules.
- A RIPS provider must be a Primary Sponsor as described in the Sentinel Scheme Rules.
- A RIPS provider must define the RIPS activities included in their scope of operation.

5.2 Organisation
A RIPS provider must have an adequate management system and framework for the safe delivery of RIPS activities. A RIPS provider must have arrangements in place for the following:
- Documenting the organisational structure that must be adequate for RIPS activities in accordance with section 4.1 to 4.4 of the RIPS Rules.
- Keeping the documented organisational structure current and relevant at all times.
- Setting up a means of communication with those who provide key health, safety, quality, environmental, local knowledge or technical expertise where this is procured from outside the organisation.
- Demonstrating their understanding of the roles and responsibilities of the RIPS provider in relation to Principal Contractors (PCs), On-Track Plant Operations Scheme (POS) providers and Network Rail.
- Having arrangements in place for risk assessing, validating and briefing out any Material Change to the management system.
- Nominating roles to projects and ensuring those nominated have the skills and local knowledge to carry out the planning activities

5.3 Resources
A RIPS provider must have arrangements in place to provide competent and sufficient resources to undertake all RIPS activities as required by a project. These arrangements must be fully documented and include:
- Resourcing arrangements to ensure that all relevant equipment is provided to execute the plan, including equipment to verify sentinel cards, isolation equipment and possession management equipment.
- Ensuring that the project team have access to the relevant documentation, which should include the Hazard Directory, Sectional Appendix, planning tools, visual schematics, site diagrams and local knowledge.
- Suitable arrangements to ensure documents are up to date and that planners and SWLs are not working from out of date documentation.
- Adequate arrangements for planners and SWLs to acquire and keep up to date local knowledge. This should also include the process for sharing local knowledge within the company, and could consist of arrangements for site visits, a library of photos and previous plans, or other appropriate methods.
- Being able to demonstrate a clear nomination process for assigning competent planners and SWLs to RIPS activities.

5.4 Training and Competence of Railway Interface Planning Personnel

A RIPS provider must have arrangements in place for assuring the competence of their employees and hired-in staff involved in the planning process. These arrangements must be fully documented and are to include:

- A suitable process for recruiting planners and SWLs that demonstrates compliance and includes consideration of sufficient experience, skills, knowledge and qualifications.
- A clear training and development process for planners and SWLs. This will include processes for developing local knowledge, gaining access to required data, and acquiring any formal competencies which are required.
- Ensuring that the Responsible Manager is provided with sufficient training in the RIPS provider's management system to effectively execute their responsibilities.
- Ensuring that Employees and supplier's staff have their rail related competencies maintained and developed (e.g. in line with industry changes and technological developments).
- Providing adequate and appropriate training including an assessment of competence for planners and SWLs, resulting in an Authority to Work to carry out the role.
- Ability to demonstrate that planners and SWLs who are being trained are adequately supervised and do not undertake tasks they are not yet trained and assessed in.
- Ability to demonstrate that planners and SWLs have the relevant knowledge and understanding of the rule book and industry processes associated with the production of railway interface planning.
- Suitable arrangements for providing and signing off an Authority to Work for employees and supplier's staff. This could include the issue of an Authority to Work card detailing the specific assigned duties relating to RIPS activities.

5.5 Selection and Use of Suppliers

A RIPS provider must have adequate arrangements in place for the selection and use of suitable suppliers, including Safety Critical goods, products or services. These arrangements are to be fully documented and must include:

- Evidence that work is able to be delivered in a timely manner, safely, without adverse impact to the environment and to the required quality
- Using only services and goods on rail related contracts that are fit for purpose.

Where a RIPS provider hires in additional resources such as equipment or personnel they must be subject to the same arrangements under the RIPS Rules.

5.6 Planning

The RIPS provider must have a documented planning process that must include the following as a minimum:

- A site diagram, visual schematics, hazard information, emergency contact numbers, safe system of work arrangements and interface arrangements with others.
- Adequate arrangements for managing change to the plan, both during the planning phase and at the point of execution of work.
- Ensuring the provision of training, guidance and mentoring of those who conduct briefings of the plan to the site team.
- Clear arrangements for identifying a Responsible Manager (as defined in section 4.2 of this document). This is the person who is responsible for the plan and for deciding how work is prioritised, planned and delivered.
- Adequate arrangements for the signing off of changes to a plan by a Responsible Manager before they can be implemented. A RIPS provider must therefore have adequate arrangements in place to provide on call cover so that changes to plans can be authorised outside of office hours.
- Ensuring that planning includes the coordination of traffic movements to consider the interface between machines, and between machines and people.
- Ensuring that all OTP is provided by a POS provider, and is under the site control of the nominated POS Representative identified in the plan.
- Ensuring that the POS provider has assisted and agreed to the OTP plan, and this is integrated into the RIPS planning process.

5.7 Emergency Planning

A RIPS provider must have in place adequate arrangements for contingency and emergency planning that recognise the additional elements that this form of planning requires. These arrangements must be fully documented and include:

- Risk-based controls according to the complexity of the task. This may include extra cross-checking of emergency and contingency plans and independent challenge of plans before work is allowed to start.
- Cooperating and coordinating with the PC (where different) in the preparation and distribution of contingency and emergency response plans for all personnel involved in the work.
- Briefing personnel on the plans and testing the understanding and effectiveness of such plans.
- Production and distribution of an emergency contact list.
- Provision of equipment for use in the event of an emergency.
- Interfacing with, and assisting the PC, Network Rail, regulatory authorities, and the emergency services, etc.
- Review and revision of the plans, particularly after an accident/incident or an emergency.

5.8 Communication and Co-ordination

A RIPS provider is required to demonstrate their processes for communication and co-ordination within any worksite. These processes must be fully documented and include the following:

- Accident / incident reporting arrangements which are consistent with the PC's arrangements (where appropriate), including directly reporting accidents/incidents to the Network Rail, NSC 24/7 Control.
- Emergency planning / contingency planning arrangements which are consistent with the PC's arrangements, where appropriate
- Arrangements for assessing information on risks etc. provided by the PC, Network Rail and from the site walk out and that the necessary information is provided for incorporation into the plan.
- Identifying where protection arrangements must be coordinated, when the site of work forms part of a group of sites of work.
- Coordinating all activities to manage interface risks and any common controls (e.g.. Emergency Plan, Isolation Plan and Access Plan etc.).
- Ensuring that each organisation responsible for an activity taking place in the site of work cooperates in the planning and delivery of work with others in order to identify and control the risks arising from the interface between their activities.
- Ensuring that those organisations responsible for each activity within the site of work, are aware of any change during the planning process and any additional management responsibilities they may have in the event of change.
- Ensuring that all organisations who implement the plan are made aware of the outcomes from the coordination process.
- Communicating the plan before the date of execution to the person who will take charge of the work, the PC and any other relevant bodies that affect the plan such as those taking isolations and those working within a worksite protected by the plan.
- When working under a PC or Network Rail, organisations must have arrangements for communicating with either the PC or Network Rail, including a nominated contact and a template for communication plans. Organisations must also share key performance data with PC's or Network Rail such as the percentage of re-planned work.

5.9 Monitoring of Effectiveness of Railway Interface Planning

A RIPS provider must have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers. These arrangements must be fully documented and include the following:

- Monitoring arrangements to ensure the quality of the plans. This must include, as a minimum, a 20% sample cross check and senior management review of plans. All reviews must be documented and action plans developed, where necessary.
- Obtaining and collating monitoring data, e.g. site inspection reports, audits, accident reports, etc.
- Analysing and reviewing performance data and other key performance indicators (KPIs), including the identification of trends.
- Conducting an annual management review of the RIPS provider's processes and arrangements.
- Obtaining and reviewing the results of audits.
- Reviewing and discussing supplier performance with their suppliers.
- Identifying and closing out corrective actions in a timely manner.

5.10 Insurance Arrangements

A RIPS provider must demonstrate the mechanism for identifying Network Rail's requirements to ensure that the right contract specific insurance arrangements are in place before commencement of works.

Railway Interface Planning Scheme Rules (RIPS Rules)

6. Investigating Breaches of the Railway Interface Planning Scheme Rules

6.1 Reporting an Alleged Breach of the Railway Interface Planning Scheme Rules

Anybody witnessing an apparent breach of the RIPS Rules should report this to either the RIPS provider or the PC, and subsequently record this through the close call system or anonymously through the whistle-blowing process. Where a RIPS provider or a PC is made aware of an alleged breach of the RIPS Rules they must notify Network Rail, and if different organisations, notify each other of the allegation. Where Network Rail receives notification of an alleged breach of the RIPS Rules they will make contact with the RIPS provider in the first instance and request they conduct a Local Investigation.

6.2 Local Investigations by RIPS provider

Whatever the source of the alleged breach of the RIPS Rules the RIPS provider must commence a Local Investigation in accordance with their internal management system processes. The Local Investigation must be suitably independent to ensure that it considers and includes any process and/or management failures within the alleged breach of the RIPS Rules. As part of the Local Investigation the RIPS provider must produce an action plan, if necessary, to identify the improvements or remedial actions they will undertake to prevent a reoccurrence.

6.3 Outside Party Investigations

Some alleged breaches of the RIPS Rules may be investigated by outside parties, for example damage or injuries may be investigated by the Rail Accident Investigation Branch (RAIB). Where an outside party has completed an investigation directly related to an alleged breach of the RIPS Rules, this outside party's investigation can be used as evidence within the Network Rail Formal Review.

Railway Interface Planning Scheme Rules (RIPS Rules)

6.4 Formal Review by Network Rail
Network Rail will request that any allegations made are investigated by the RIPS provider in the first instance. Network Rail may receive notification of an alleged breach of the RIPS Rules from a number of sources including:

- PC or RIPS provider reporting.
- Outside party investigation.
- Whistle-blowing process.
- Accident/Incident reporting.

Any such reports will be subject to Formal Review. As part of the Formal Review, and prior to reaching any conclusion, the RIPS provider will be given the opportunity to provide a statement to ensure fair process through the Formal Review stage. All evidence will be subject to Formal Review and will proceed to one of the following decisions:

- No further action required;
- Further investigation by Network Rail required (see section 6.5 of this document);
- Evidence indicates a breach by the PC of the PC Licence requirements, the evidence is submitted to Network Rail Infrastructure Projects Licensing Team for consideration.
- Evidence indicates a breach by the On-Track Plant Operations Scheme (POS) provider of the POS Rules, evidence submitted to the Network Rail Workforce Safety Team for consideration.
- Sufficient evidence is available to determine a Scheme Outcome.

The RIPS provider subject to the breach of the RIPS Rules allegation will be advised in writing of the outcome of the Formal Review.

The Scheme Outcome is the result of the Formal Review undertaken by the Network Rail Workforce Safety Team. In order to reach the Scheme Outcome the guidelines detailed in Section 6.8 of this document will be used.

6.5 Further Investigation by Network Rail
For those events determined by the Formal Review to require further investigation, Network Rail must appoint a lead investigator to undertake the further investigation. The lead investigator must feedback the findings from the further investigation to the Formal Review panel for a Scheme Outcome to be reached. Where the statement collected from the RIPS provider at Formal Review stage has not provided sufficient information, the further investigation by Network Rail may involve an investigatory hearing.

6.6 Conclusion and Notification of Scheme Outcomes
Where a Scheme Outcome is concluded from the Formal Review this will be applied in line with the Scheme Outcome Guidelines shown at paragraph 6.8 of these Scheme Rules. All decisions on Scheme Outcomes will be communicated in writing, along with the process for a RIPS provider to lodge an appeal against a Scheme Outcome.

6.7 Formal Review Appeals
Formal Review appeals will only be held when a Scheme Outcome has been applied and when new information or mitigating circumstances that were not available at the Formal Review stage is submitted. The RIPS provider will have the right of appeal providing the appeal is lodged within four weeks of the Scheme Outcome being communicated to the RIPS provider. Formal Review appeals will be heard by Network Rail, by persons independent of the Formal Review process.

Railway Interface Planning Scheme Rules (RIPS Rules)

6.8 Scheme Outcomes Guidelines

Event	RIPS provider Action (Local Investigation)			Network Rail Workforce Safety Team Action (Formal Review)		
	Investigate and Report	Update Arrangements	Management Review	Approval Re-Audit	Restricted Scope of Works	RIPS provider Suspension
Breach of RIPS Rules	Unknown breach or mistake (first occurrence)			Multiple Occurrence		
Breach in maintaining the RIPS approval requirements			Unknown breach	Single Occurrence	Multiple Occurrence	
Breach of Network Rail Standards for planning activities				Single Occurrence		
Breach of resource requirements and arrangements	First Occurrence			Single Occurrence	Multiple Occurrence	
Falsification of safety documentation, e.g. Briefing records				Single Occurrence /Deliberate Breach		
Insufficient or inaccurate planning activity	Unknown infringement or mistake (first occurrence)			Multiple Occurrence/ Deliberate Breach		
Negligence by RIPS provider's personnel leading to damage or injury	Unknown negligence or mistake (first occurrence)			Multiple Occurrence/ Deliberate Breach		
Failure to provide the correct or competent personnel required	Unknown breach or mistake (first occurrence)			Single Occurrence	Multiple Occurrence	
Failure to report or investigate an alleged Breach of RIPS Rules			Unknown breach	Single Occurrence /Deliberate Breach		

Railway Interface Planning Scheme Rules (RIPS Rules)

6.9 Local Investigation and Formal Review Process

```
                            ┌──────────────────────────┐
                            │  Alleged Breach of the   │
                            │      Scheme Rules        │
                            └──────────────────────────┘
                                         │
                            ┌──────────────────────────┐
                            │ The RIP Provider carries │
                            │ out a Local Investigation│
                            │ and submits it to Network │
                            │ Rail Workforce Safety Team│
                            │   for Formal Review      │
                            └──────────────────────────┘
```

Network Rail Workforce Safety Team conduct a Formal Review
- PC/POS Local investigation report
- Outside party investigation
- Independent reporting lines

Network Rail further investigation report

Network Rail further investigation report submitted for Formal Review — No → Is there sufficient information to apply a Scheme Outcome?

Yes → Does the RIP provider lodge a Formal Review Appeal?

Yes → Follow Formal Review Appeal procedure

No → Proceed to recommended Scheme Outcome

Railway Interface Planning Scheme Rules (RIPS Rules)

6.10 Formal Review Appeals Process

```
                    ┌─────────────────────────┐
                    │ Appeal to Network Rail  │
                    │ Workforce Safety Team   │
                    └─────────────────────────┘
                                 │
                            ◇ Is there new
                              evidence or
                              mitigation that was
                              not heard at the
                              Formal Review? ◇
                    No │                   │ Yes
        ┌──────────────┐          ┌──────────────────────┐
        │ Reject appeal│          │ Network Rail Workforce│
        └──────────────┘          │ Safety Team Formal    │
                                   │ Review Appeal Hearing │
                                   └──────────────────────┘
                      Appeal Rejected │        │ Appeal Upheld
                        ┌────────────┐    ┌────────────────────┐
                        │ Scheme     │    │ Determine if a     │
                        │ Outcome    │    │ different Scheme    │
                        │ upheld     │    │ Outcome should be   │
                        └────────────┘    │ applied             │
                                          └────────────────────┘
```
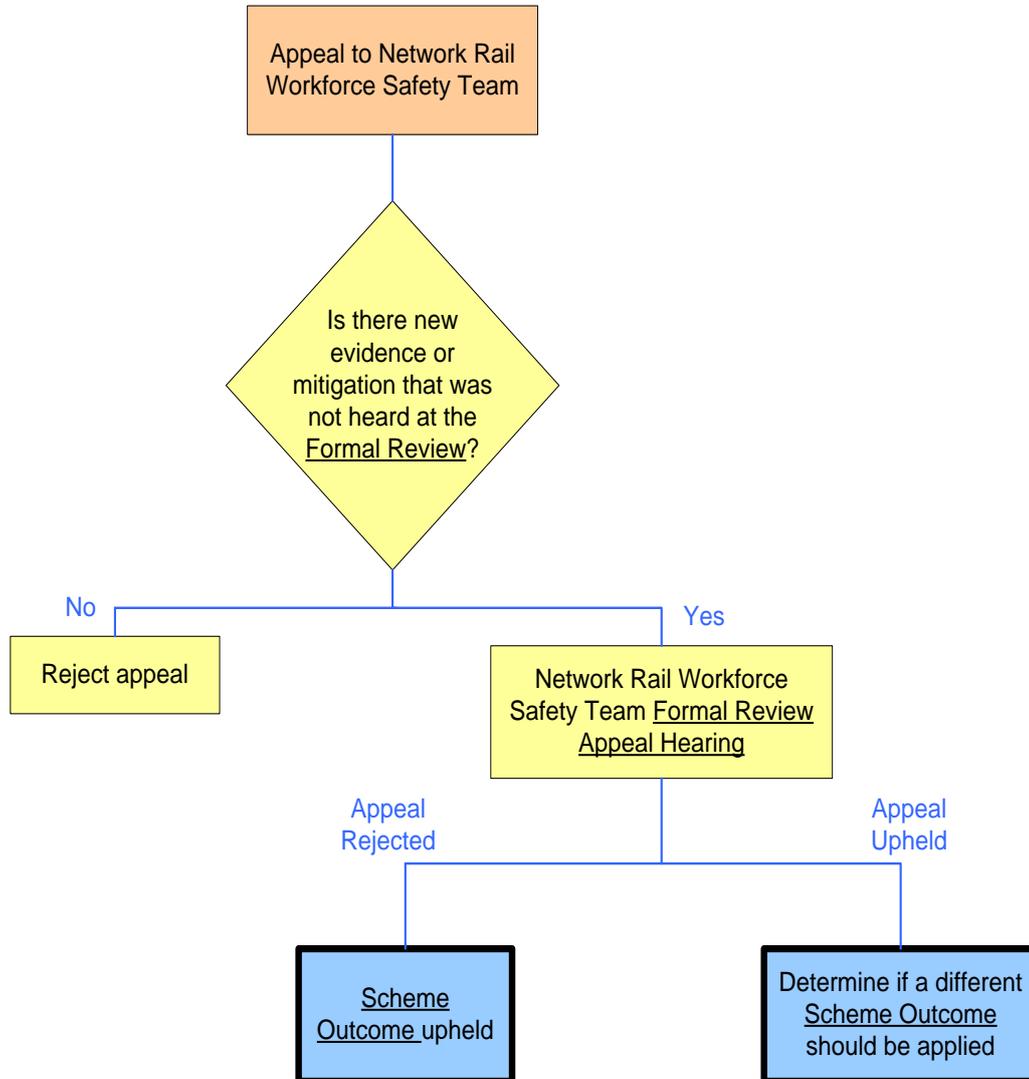
Railway Interface Planning Scheme Rules (RIPS Rules)

7. RIPS Scheme Assurance Arrangements

7. 1 Scheme Administration
The RIPS Rules will be administered by RISQS who will audit the scheme in conjunction with Network Rail. Where an organisation has applied to become a RIPS provider and registered with RISQS to undertake RIPS operations they will be subject to an annual assurance process

7.2 Approval of a RIPS provider
Companies wishing to become a RIPS provider must apply for approval through RISQS. For a company to be approved as a RIPS provider they must be registered with RISQS and have passed the Industry Minimum Requirements Audit Module. All RIPS providers must also hold any other Product Codes relevant to the service(s) they are providing. A RIPS provider must fully comply with the RIPS Rules and have successfully passed the assurance requirements defined within the RIPS Rules.

7.3 RIPS Audit Process
A company applying to become a RIPS provider will be subject to a management system audit carried out by RISQS to demonstrate that the company has documented processes for the key management system requirements needed. The audit will check that the management systems and processes are suitable and sufficient to meet the minimum requirements of the RIPS Rules.

7.4 RIPS Monitoring
Proactive and reactive monitoring activities must be carried out at RIPS provider's locations, or on site, by Network Rail or other agencies in support of the scheme assurance arrangements. Monitoring activities may be pre-planned or unannounced.

Proactive monitoring activities may be in the form of inspections, tours or sampling as appropriate. The RIPS provider will normally be advised of planned monitoring activities to agree the aspects to be monitored and to agree the date, time and composition of the monitoring team. Proactive monitoring will be carried out to check that the RIPS rules continue to be implemented and that management controls are working, this will include identifying potential problems and taking action to prevent them becoming reality.

Reactive monitoring will be carried out to examine unsafe RIPS related events after they have occurred. This will include provision for learning from any mistakes whether they have resulted in injuries, damage, or are close calls.

7.5 Transfer of RIPS provider Approval
Where a company is acquired by another company or group the RIPS Administrators and Network Rail Workforce Safety Team must be notified in advance of the acquisition.
A material change report will be required to be prepared by the acquiring organisation to determine how the RIPS provider's processes will be merged and the RIPS provider approval transferred in practice.

This Material Change report will be reviewed by Network Rail, and if accepted will then enable the transfer of the RIPS provider approval. Acceptance of the Material Change Report may be subject to an Assurance Audit within 3-months of acquisition to assure that the measures outlined within the material change report have been adequately implemented.

Railway Interface Planning Scheme Rules (RIPS Rules)

7.6 Verification of Auditors

All external assurance auditors will be subject to independent RISQS verification to ensure the standard and consistency of RIPS Rules audits is maintained.

7.7 Validation Audits of Network Rail

Network Rail Internal Audit function will audit the RIPS Rules to ensure Network Rail remains compliant with the RIPS Rules. Results of annual verification audits will be made available to ensure the transparency of the RIPS Rules is maintained.

Railway Interface Planning Scheme Rules (RIPS Rules)

8. RIPS Scheme Rules Definitions

Authority to Work
Internal company process for authorising employees to carry out specific tasks or work for, or on behalf of, the employer. This process may include the issuing of an authority to work card by the employer which identifies the tasks or work the employee is authorised to undertake.

Competent person
Person who has been assessed as being qualified and having required practical and theoretical knowledge, experience and skills to carry out a particular role with regard to relevant rules, regulations, instructions or procedures.

Formal Review
The Formal Review is the process by which the Network Rail Workforce Safety Team will review any alleged breach of the RIPS Rules as detailed in section 6.4 of this document.

Infrastructure
Includes, but is not limited to, track, cables, troughing, lineside and under-track equipment, supporting structures, drainage and pipe work that form the railway.

Lift Planner
This is the Sentinel competency for the person fulfilling the role of Appointed Person (Lifting Operations) for OTP used on Network Rail managed infrastructure.

Lifting Operation
Any operation concerned with lifting or lowering a load.

Management System
The organisation, arrangements and methodology that would enable a business to meet its objectives.

Management Process
The practical application of the management system that would enable a business to meet its objectives.

Material Change
Includes changes to scope or work (including changes to Link-Up product codes); organisation structure, reporting lines related to RIPS activities, posts related to RIPS activities, significant changes to corporate policies or operating/HSQE procedures.

Network Rail Managed Infrastructure (NRMI)
NRMI is the infrastructure that falls within the geographic boundaries of Network Rail's operational railway, including the permanent way and land within the line-side fence, and plant used for signalling or exclusively for supplying electricity for traction purposes to Network Rail's operational railway. It does not include stations (whether or not these are managed by Network Rail), nor does it include depots, yards or sidings owned by, or leased to, other parties. However, it does include the permanent way at stations and plant within these locations used for signalling Network Rail's operational railway or exclusively for supplying electricity for operational purposes to the operational railway. Structures such as tunnels, bridges, viaducts, underpasses, etc. are deemed to form part of NRMI only in relation to their potential to transfer risk onto, or from, the operational railway.

On-Track Machine (OTM)
A rail mounted vehicle capable of running on a railway track meeting the requirements of GM/RT2400 *Engineering design and construction of on-track machines*. Such machines may be permitted to operate, work or travel outside the limits of a possession.

Railway Interface Planning Scheme Rules (RIPS Rules)

On-Track Plant Plan
A documented plan which encompasses all information relevant to the safe operation of OTP being used on site. The OTP Plan is to be provided for inclusion into the Method Statement.

On-Track Plant (OTP)
Vehicles fitted with rail wheels capable of running on a railway track meeting the requirements of Rail Industry Standard RIS-1530-PLT *Rail industry standard for engineering acceptance of on-track plant and associated equipment*. OTP includes Rail Mounted Maintenance Machines (RMMM), Road-Rail Vehicles (RRV), trailers and attachments. Such vehicles are not permitted to operate, work or travel outside the limits of a possession on NRMI.

On-Track Plant Operations Scheme (POS) Provider
Organisation approved to undertake on-track plant operations on Network Rail Managed Infrastructure (NRMI)

Principal Contractor
Corporate entity licensed by Network Rail as capable to operate as a Principal Contractor (PC) under Regulation 14(2) of *The Construction (Design and Management) Regulations 2007.*

Product Codes
Suppliers who which to be listed on the RISQS website need to register for specific product codes via the RISQS website. These product codes relate to the services which suppliers wish to provide and also wish to be considered to provide.   Some of these product codes are registration only, others will also require an audit.

Railway Contractors Certificate (RCC)
An RCC is applied to a specific contract between an RCC holder and Network Rail, where they have agreed to provide an SWL as part of that contract. Contractors cannot hold an RCC if they hold a Trackside Principal Contractors Licence.

Railway Industry Supplier Qualification Scheme (RISQS)
RISQS has been developed from the GB rail industry's Link-up scheme to provide a fair, open and transparent third party qualification process, with the aim of becoming the preferred route for suppliers to engage with their customers, in an efficient and effective manner. The scheme is governed by a newly formed RISQS Board.

Safety Critical
An engineering product or service, delivered by a company or job role which is capable of importing risk onto the Network Rail Managed Infrastructure i.e. is capable of affecting the passage of trains.

Safe Work Leader (SWL)
The SWL is responsible and accountable for the management of operational and task risk associated within a worksite. SWLs referenced in this document are only applicable to those companies that have gained an RCC, and at the point at which the SWL competence goes live.

Scheme Output
The Scheme Output is the result of the outcome of the Formal Review undertaken by the Network Rail Workforce Safety Team. In order to reach the Scheme Outcome the guidelines detailed in Section 6.8 of this document will be used.