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## **1 Document Change History**

This is Version 1 of the PMTT – Technical Training Delivery Manual.

It is the Directors responsibility to ensure that all staff involved in the process comply with the latest version of the document.

This document is subject to regular revision and is maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

Staff can use the amendment history section to identify any changes made to the document following reviews.

The latest version can be obtained by accessing the Drop Box drive.

## 2 Introduction

PM Training and Assessing Ltd [PMTandA] is a specialist approved Training & Assessment provider dedicated to delivering high quality vocational education and assessment services across a range of technical and professional disciplines.

We operate worldwide within the skills and education sector, offering IRSE licensing scheme, accredited qualifications, bespoke training programmes and regulated industry technical competencies to the rail industry.

The Technical Training departments primary purpose is to deliver training and assessment services to the rail industry, with a key specialism in Signalling activities. PMTandA aim to complete this in line with the overarching Values and Vision statements.

### 2.1 PMTandA Vision & Values

#### Our Vision

To help create a highly skilled workforce, by giving people the opportunities to develop knowledge, skills and behaviours to continuously Elev8 high standards & exceed expectations within the modern workplace.

#### Our Values

At PM Training & Assessing we believe that everyone should be able to reach their full potential. We aim to do this by working alongside others, to inspire, develop and to create an atmosphere of growth that will allow innovation in the work that we do, with honesty and integrity being the foundation of our work and delivery.

### 2.2 Aim & Purpose

The aim of this manual is to provide a single working record, which documents PMTandA's internal processes to achieve compliance and a high quality outputs in line with the RTAS rules, associated Quality Assurance Frameworks and the relevant industry standards.

This document will include the entire end-to-end process for the delivery of Training & Assessment events within the technical training department within PMTandA.

The document has been created to allow stakeholders a useable and efficient single source of information for all aspects relating to Training & Assessment delivery within the provisions department.

### 2.3 Scope

The scope of this manual is applicable to any Training & Assessment event which falls under the scope/assurance of:

- I. RTAS / NSAR
- II. Network Rail industry training standards [CTM]
- III. Events which result in the provision of a Sentinel based competency being issued
- IV. Events which result in a certificate or token of competency to learners

## **2.4 Associated Documents**

This document should be used in conjunction with and alongside the following internal PMTandA documented policies & procedures:

### **Policies**

- V. Health & Safety Policy
- VI. EDI Policy
- VII. Environmental Policy
- VIII. Quality Policy
- IX. Data Protection Policies
- X. Safeguarding & Prevent Policies
- XI. Anti Bribery & Corruption Policy
- XII. Drugs & Alcohol Policy
- XIII. Worksafe Policy
- XIV. Modern Slavery Policy
- XV. IMS / Quality Manual [ISO]

### **Procedures**

- XVI. Document Control
- XVII. Sentinel
- XVIII. RISQS Core
- XIX. Recruitment
- XX. Risk Assessment & Accident/Incident Reporting
- XXI. PMTandA & Elev8 Training – Competency & Quality Monitoring/Development
- XXII. Dante User Manual
- XXIII. Validus User Manual
- XXIV. Internal Auditing Procedure

### 3 Organisation Chart

PMTandA have a documented organisational chart for the Provision. Individuals who hold key roles relating to the department have specific responsibilities assigned to them.

These are documented within their overall job descriptions and also within this manual.

The organisational chart is contained within the provisions Integrated Management System as part of ISO requirements.

#### 3.1 Deputies

To ensure that the provision can continue to operate and avoid a single point failure relating to key roles, PMTandA have nominated individuals who will “Deputise” for the usual designated individual(s) in their absence.

Any responsibility documented within this manual relating to Training & Assessment delivery will be carried out by the deputy(s) in the absence of the designated staff member.

KEY ROLE	Primary Staff Member	Nominated Deputy(s)
Guiding Mind	Pam Martin	Paul Martin
Quality & Compliance	Ross Clark	Pam Martin / Paul Martin
Health & Safety	Colin Mitchel	Pam Martin
Operations	Chloe Hill	Pam Martin
Sentinel Administration	Paul Martin	Ross Clark
Training Co-ordination	Sarah Murphy	Carys Bufton
Safeguarding	Chloe Hill	Brin Singh / Amanda Pearson

In the unlikely event that both the designated and deputy(s) are both absent then the most senior member of staff present should step in to complete the required process.

#### 3.2 Roles & Responsibilities

As per RTAS rules and Network Rail [NWR] Competency Training Management [CTM] standards individuals associated with the delivery of Training & Assessment events within PMTandA Technical Training have specific roles & responsibilities placed upon them. The section below explains what these aspects are, dependant on each person’s job role/designation within the provision.

Throughout the manual the procedures for how these aspects are achieved will be explained in detail.

Individuals may have more than one role from the list below, this is dependant on the individuals knowledge, abilities and qualifications and role within the provision.

##### 3.2.1 Senior Leadership Team [SLT]

Leaders & Managers within PMTandA will ensure and have responsibility for the following:

- I. That any assured individual will be sponsored by PMTandA when delivering applicable events
- II. Ensuring that PMTandA maintains their assurance through the approval of the RTAS rules.
- III. That PMTandA will not sponsor any delegate purely for the purpose of training and/or assessment
- IV. That PMTandA will adhere to the Sentinel Scheme rules in relation to delivery of applicable events.
- V. That PMTandA and any employed individual adhere to their contractual obligations in regard to the Assurance organisation and Network Rail
- VI. Will have and maintain an Information Commissioners Office [ICO] registration.
- VII. Notifying the assurance organisation of any suspected breaches to the RTAS rules and/or NWR standards or Sentinel Scheme Rules
- VIII. Not allow anyone suspected of breaches to be de-sponsored or deliver any events until notified by the assurance organisation / NWR.
- IX. Will manage and monitor the fatigue of assured individuals in line with Sentinel Scheme Rule requirements.
- X. Will inform the assurance organisation immediately if there is any change of control within PMTandA.
- XI. Will maintain and submit an annual review into the assurance organisation online portal in line with requirements [by 31<sup>st</sup> January each year].
- XII. Not allow medical of Drugs & Alcohol [D&A] test to be administered during an event, except for those designated as “For cause” or “unannounced”.
- XIII. That PMTandA only deliver events for which it has assurance/approval for.
- XIV. Only allow events to be delivered by assured individual who hold the relevant approvals
- XV. Maintain the appropriate management systems to demonstrate compliance with RTAS rules and NWR CTM standards
- XVI. Hold and maintain public liability & professional indemnity insurances
- XVII. Maintain an organisational structure where the guiding mind(s) have accountability for the provision.
- XVIII. Only allow delivery events to take place in safe environment
- XIX. Not allow an environment to be manufactured for the purpose of assessment.
- XX. Only deliver and host training at practical locations which are approved for delivery (where external approval is required).
- XXI. Prepare and produce the necessary SWPs in line with Network Rail standards (where this applies)
- XXII. Ensure that advertisements contain PMTandA’s RTAS number (including any 3<sup>rd</sup> party).
- XXIII. Fully co-operate with any external investigation or request for information.
- XXIV. Ensure that assured assessors conduct a minimum of 6 workplace assessments per 12 month period
- XXV. Ensure that assessors conduct a minimum of 6 workplace assessments per annum

### **3.2.2 Assured Individuals (Trainers & Assessors)**

Individuals who conduct the delivery of training and/or assessment events under RTAS & NWR CTM standards will be designated as “Assured Individuals”.

Any assured individual will ensure and have responsibility for the following:

- I. Comply with the RTAS rules, Network Rail policies, standards, procedures and materials, including the Sentinel Scheme Rules.

- II. Comply with the internal PMTandA policies & procedures relating to the delivery of training and/or assessment events, including those in this manual and associated documents.
- III. Maintain a thorough understand of the relevant standards, working practice and rule sets.
- IV. Only use the current approved Network Rail Training/Assessment materials from the Training Toolkit for delivery of NWR events (those which come under RTAS/202)
- V. When on or about the Network Rail Management Infrastructure [NRMI] act in safe manner at all times in line with the Lifesaving Rules
- VI. Complete all training and assessment documentation and upload the results in line with this manual and external notification requirements and timescales.
- VII. Maintain the required practical skills, theoretical knowledge and competencies for events they deliver, should any competency expire then initial training will be required to be attended.
- VIII. Complete CPD in line with internal (PMTandA) and external requirements and expectations
  - IX. Complete any online exams in line with internal and external requirements
  - X. Fully co-operate with any internal or external investigations
  - XI. Only deliver events for which they hold approval and capability to deliver
  - XII. Maintain accurate, current and valid records in line internal and external requirements
- XIII. Respond and complete and tasks associated with Internal Quality Assurance (Validus and Internal Verification Reports).
- XIV. Attend & contribute to any PMTandA technical training meetings relating to delivery of events.
- XV. Use the applicable internal Management systems in line with internal requirements and expectations as detailed in this manual and applicable internal procedures.

### **3.3.3 Internal Quality Assurers [IQAs]**

Individuals who hold the required Qualification and experience will be designated as IQAs.

IQAs will ensure and have the responsibility for the following:

- I. Confirm through systematic risk-based sampling the quality and consistency of the assessment decisions made by assured individuals
- II. Ensure that any IQA who is also an Assured Individual does not verify their own events
- III. Comply with the Internal Verification procedures as covered in this document
- IV. Ensure that effective feedback is provided to Assured Individuals following any verification activity.
- V. Contribute to standardisation meetings and quality reviews
- VI. Ensure that any verification activity is fully documented and recorded as per this manual
- VII. Ensure they have and maintained sufficient knowledge of the applicable standards and practice for events in which they are verifying and attend any required training, briefings or events as required.
- VIII. Contribute to the completion of Observations and quality data gathering and monitoring for the provision
- IX. Fully co-operate with any internal or external investigation

### **3.3.4 Administrators / Co-ordinators**

Individuals who conduct any “administrational” or “Co-ordination” activities in relation to the delivery of events will ensure and have the responsibility for the following:

- I. Reviewing and monitoring of assured individuals sentinel competencies & Capabilities
- II. Reviewing and monitoring of the Assurance Organisations online portal for assured individuals capabilities and premises approvals. Ensuring checks are conducted prior to confirming any delivery booking.
- III. Contribute to the fatigue risk management process for assured individuals
- IV. Maintain the Assurance Organisations online portal for the online events calendar in line with internal and external requirements
- V. Contribute to the competency management process for assured individuals
- VI. Conduct the required pre-requisite checks and ensure the pre delivery booking process is completed and evidence is retained in line with this manual and external requirements
- VII. Conduct the post administrative checks to completed course packs and contribute to the quality data gathering for the provision
- VIII. Ensure the relevant joining instructions are provided and evidence is retained for any event booking.
- IX. Fully co-operate with any internal or external investigation.

### **3.3.5 Assurance Organisation [NSAR / NWR]**

The Assurance Organisation is a body identified by the industry standard owner [Network Rail], who ensures that the relevant RTAS rules are being adhered to by any assured Provider and the individuals relating to that provision, in regards to the events covered by the RTAS Rules.

For events which are not within scope for the RTAS rules, the assurance organisation will be Network Rail directly, who will ensure that the applicable industry CTM standards are being adhered to by approved training provisions and individuals delivering on their behalf.

To enable this to occur the Assurance Organisation (as applicable) has the responsibility to and will:

- I. Review, monitor and update the RTAS rules & NWR CTM standards
- II. Communicate with assured/approved providers any relevant information and/or changes to industry requirements
- III. Conduct assurance visits as part of their quality assurance processes
- IV. Conduct observations on assured events and observe assured individuals conduct their duties
- V. Investigate any suspected breaches of the RTAS rules and/or NWR CTM standards relating to the delivered events under their scope
- VI. Regulate the standard of delivery of assured providers for the rail industry
- VII. Manage compliance with the RTAS rules on behalf of NWR [NSAR]
- VIII. Maintain and retain detailed records of all assured providers & assured individuals for no less than 7 years
- IX. Manage the process for incoming and out going assured providers and or individuals for RTAS [NSAR]
- X. Monitor and maintain the relevant assurance organisation online portals and ensure data security and information held within this system [Skillsbackbone] [NSAR].

## **4 Competence of Assured Individuals**

This section will explain the minimum requirements for individuals who are involved in the delivery of Training and Assessment events delivered on behalf of PMTandA.

### **4.1 Definitions**

#### **4.1.1 Qualified**

*“When an individual’s knowledge and practical skills in a subject has been officially recognized and are deemed as being trained to perform a particular job or task. This is often provided in the form of a certificate or formal qualification from a recognised awarding body or assurance organisation”.*

#### **4.1.2 Experienced**

*“The knowledge and/or skills in a particular competence which has been gained operationally over a reasonable period of time and in varied environments as defined in Network Rail Competency Standards”*

#### **4.1.3 Competence**

*“Qualifications which are required and/or awarded and maintained through training and assessment processes mandated by Network Rail which enable the individual(s) to undertake a particular activity”*

### **4.2 Competence of Assured Trainers**

For any individual to be classed as an Assured Trainer for PMTandA they must hold one of the following qualifications:

- I. Preparing to Teach in the Lifelong Learning Sector [PTLLS]
- II. NVQ Level 3 in Training & Development
- III. NVQ Level 3 in Learning & Development
- IV. NVQ Level 3 in Direct Training
- V. CIPD Certificate in Training Practice
- VI. City & Guilds Further & Adult Education Certificate [7301/7306]
- VII. Employment National Training Organisation “L” Units [L9, L10, L11 and L13]
- VIII. Training and Delivery for Adult Learners [C&G7331, Method of Instruction, European, Armed Forces or Civil Server Trainer Training].
- IX. Level 3 Award in Education & Training [AET]

Equivalent qualifications may also be accepted for Assured Trainers. These must be closely aligned to duties being undertaken by the Assured Trainer.

Equivalent qualification usage is subject to review and acceptance from the Assurance Organisation. Any equivalent qualification requested to be used by PMTandA will be recognised by a professional body and/or be listed on a reputable database [Ofqual register of Registered Qualifications] for example.

Assured Trainers must also demonstrate their competence in assessment to conduct the end of training assessments and therefore must also hold one of the following assessing qualifications:

- I. NVQ Level 3 In Training & Development
- II. D32 – Assess Candidates Performance
- III. D33 – Assess Candidates using Different Sources of Evidence
- IV. A1 Award – Assessing Candidates using a Range of Methods
- V. Assessor Qualifications under TAQA [L3 Certificate in Assessing]
- VI. Level 3 Award in Education and Training [AET]

Network Rail may mandate additional approval criteria for assured trainers; any additional criteria will be detailed in the competence standards and communicated on an individual basis.

#### **4.3 Competence of Assured Assessors**

For any individual to be classed as an Assured Assessor for PMTandA they must hold one of the following qualifications:

- I. NVQ Level 3 In Training & Development
- II. D32 – Assess Candidates Performance
- III. D33 – Assess Candidates using Different Sources of Evidence
- IV. A1 Award – Assessing Candidates using a Range of Methods
- V. Assessor Qualifications under TAQA [L3 Certificate in Assessing]

Equivalent qualifications may also be accepted for Assured Assessors. These must be closely aligned to duties being undertaken by the assessor.

Equivalent qualification usage is subject to review and acceptance from the Assurance Organisation. Any equivalent qualification requested to be used by PMTandA will be recognised by a professional body and/or be listed on a reputable database [Ofqual register of Registered Qualifications] for example.

Network Rail may mandate additional approval criteria for assured assessors; any additional criteria will be detailed in the competence standards and communicated on an individual basis.

#### **4.4 Competence of Internal Quality Assurers [IQAs]**

Individuals who are to be designated as Internal Quality Assurers [IQAs] within the provision must meet the following criteria.

IQAs must hold at least one of the following Qualifications:

- I. V1 Conducting Internal Quality Assurance of the Assessment Process
- II. D34 Internally Verify the Assessment Process
- III. Verifier Qualifications Under TAQA – Level 4 [IQA or EQA]

Equivalent qualifications may be accepted, these should closely align to the training that will be delivered and to the above standards in terms of framework. Equivalent qualifications must be

recognised by a professional body and/or be listed on a reputable database such as the Ofqual register of Regulated Qualification.

Equivalent qualification usage is subject to review and acceptance from the Assurance Organisation. Any equivalent qualification requested to be used by PMTandA will be recognised by a professional body and/or be listed on a reputable database [Ofqual register of Registered Qualifications] for example.

Any IQA who is also designated as “Delivery Staff” will not verify their own events.

Verifiers shall also demonstrate their knowledge & understanding of:

- I. Assessment processes, techniques and methods
- II. Recording requirements for PMTandA Verification
- III. The evidence requirements defined in Network Rail Standards
- IV. The use of assessment tools
- V. The relevant competence standards applicable to the events being delivered/verified
- VI. The RTAS Rules
- VII. Internal PMTandA Training and assessment procedures and requirements.

This can be achieved by (*not exhaustive list*):

- I. Holding the competence / qualification being verified
- II. Delivering the competence / qualification being verified (capability held)
- III. Documented Occupational Competence & Experience (CV/Work Experience Records)
- IV. Completing a documented internal Mentorship process in Verification
- V. IQAs will be approved within the Validus system by SLT. With evidence retained within the individuals competency profile.

#### **4.5 Occupational Competence of Assured Individuals**

All Assured Individuals (Trainers and/or Assessors) will be required to ensure the following to demonstrate their occupational competence in any capability they are approved to deliver.

- I. Assured individuals must hold and maintain the competence, and any associated pre-requisites for the training/assessment events they deliver
- II. The route to capability shall be the same as the route to competence for any event intended to be delivered
- III. Assured individuals will only be approved to delivery events when they have:
  - a. Successfully delivered the event or similar events where learning outcomes align with the event

Or

- b. Have been responsible for the development of the approved training/assessment event itself.

Or

- c. Have been observed [found to meet the required standards in line with the assurance organisation] in the delivery of the event, i.e. completed the PMTanda upskilling process as detailed in this manual.

Assured individuals shall also ensure they:

- I. Maintain current knowledge of railway group standards, Network Rail standards, procedures and training material requirements that are applicable to the provision and their delivery events
- II. Maintain the practical skills required for delivery

It is anticipated that assured individuals will meet the above criteria by the completion and adherence to the CPD requirements, online exam requirements and competency maintenance processes as explained in this manual.

#### **4.6 Non-Operational Assured Individuals**

Any individual changing status from operational/non-operational will be required to undergo a review with the Quality Assurance Manager prior to this occurring. This review will include discussions on reasoning, experience and upkeep of theoretical knowledge and practical skill.

If reverting to operational from non-operational any on-site assessments will be conducted as soon as possible in line with pre-requisite requirements for work experience entries. This will help ensure that competencies remain valid for operational purposes and ensure the operational assessment cycle is followed.

Any assured individual who is classified as Non-Operational in Sentinel shall not use their competence to undertake operational duties on NRMI.

Non-Operational assured individuals will maintain their competence by maintaining their current knowledge of Railway Group standards, NWR standards and Training materials for events they deliver through completion of CPD and through completion of any applicable Online Exams and will be required to adhere to the same roles and responsibilities as any operational individual as per section 3.2.2 & 4.5 of this manual.

## 5 PMTandA Delivery Premises

This section will explain the premises requirements and specifications for any location being used for delivery by PMTandA. This will include both Classroom & Practical facilities and include the internal procedures for adherence to the RTAS and industry requirements.

### 5.1 Assessment of Premises

All training delivered by PMTandA shall be delivered in premises which are fit for purpose from both a learner experience and Health & Safety legislation perspective.

All practical training delivered in a simulated environment shall, as a minimum, meet the specification defined within the relevant training materials and current standards.

The premises will comply with any current building regulations in regards to ease of access into and out of the premises and PMTandA will ensure any subsequent maintenance activities are completed as required by law.

All classrooms and practical areas that will be used for delivery by PMTandA will be risk assessed by an occupationally competency individual, with suitable Health & Safety qualifications. The risk assessment process may be supported industry and technically competent individuals who can advise on the specific requirements from a technical and industry view point.

Any risk assessment completed by PMTandA will be completed and recorded in line with the PMTandA Health & safety policy and risk management procedures.

### 5.2 Premises General Requirements

All premises which are used for the delivery of events by PMTandA will meet the following requirements:

- I. Will reflect the impression of a welcoming, efficient & professional training organisation in its general appearance
- II. Will have good general cleanliness and quality furniture in place
- III. Will have a process for welcoming & greeting visitors (briefing)
- IV. Will have a notice board which is clearly visible to visitors
- V. Appropriate fire precautions will be in place, with suitable firefighting equipment readily available for use
- VI. Suitable fire prevention and risk assessment measures will be in place (as per legislation)
- VII. A Suitable number of sufficiently trained and competent staff with responsibilities for emergencies (Fire & First Aid)
- VIII. Sufficient first aid equipment & resources, including suitable signage
- IX. Adequate lighting; including emergency lighting, heating and ventilation
- X. Delivery staff will have access to a telephone (mobile or landline), internet access and office equipment to conduct their duties.
- XI. Each venue will have a suitable space which can be used as a private area to permit the trainer to undertake one to one learner interviews/provide feedback or be used for assessment adjustments as required.

- XII. Each venue will have suitable refreshments available & suitable welfare facilities, as a minimum these will include:
- a. Hot drinks & cold drinking water
  - b. A breakout area for eating lunch
  - c. Clean toilet facilities
  - d. A designated smoking area
  - e. As necessary, an area for contaminated PPE to be stored and location to change clothing

Leaders and managers within the provision will have responsibility for ensuring these elements are in place before using the premises, this includes any 3<sup>rd</sup> party or hired premises for delivery.

### **5.3 PMTandA Training Classrooms**

All classrooms used for theoretical delivery and assessments will meet the following criteria:

- I. Be fit for purpose as a learning environment; relevant to the individual event being delivered
- II. Be clean & tidy
- III. Have controllable heating & ventilation
- IV. Have sufficient power points available without trailing cables causing trip hazards
- V. Have suitable lighting (natural & artificial)
- VI. The classroom used will not be used for any other purpose at the same time as delivery
- VII. Each learner will have suitable seating and desk space to enable effective completion of learning & assessments.
- VIII. Training rooms used will be of sufficient size, for the event being delivered
- IX. Sufficient individual space [1m] will be available for completion of assessments.
- X. Circulation areas will be free of obstructions to enable free movement
- XI. Fire plans and suitable signage will be displayed in all classrooms (assessment/mobile device usage/H&S).
- XII. Suitable industry and event literature; including physical props will be displayed/used as appropriate to make an engaging and interactive learning space. These will not provide any unfair advantage in any assessments.

#### **5.3.1 Information Learning Equipment [ILE] & Information Learning Technology [ILT]**

Training classrooms will be equipped with suitable ILE / ILT, this will as a minimum consist of:

- I. Electronic means of projection or display screen
- II. Suitable Laptop or PC or tablet for running Learning Materials for the event
- III. Handouts / Note paper / Pens & pencils as required
- IV. Learner Nameplates
- V. Whiteboard
- VI. Internet access
- VII. Speakers with suitable levels of sound capability
- VIII. Resources to meet individual learning needs / Additional Learning Support (large print / colour filters etc).

#### **5.4 PMTandA – Practical Training Areas**

Any practical area used for the delivery of events by PMTandA will meet the following requirements:

- I. Practical areas will be treated as if they were live NRMI
- II. Practical areas used must comply with the requirements of the training plan for the event being delivered
- III. All plant, equipment and materials used in the practical area will be maintained in line with the PMTandA and industry maintenance requirements, this will be calibrated and fit for purpose and supplied internally or hired in by an approved supplier.
- IV. Any practical session which requires access to live NRMI will have a compliant SWP for the delivery and this will be kept with the course pack.
- V. All assured individuals will be fully briefed on the risk assessments, working practices and safety requirements of any practical area, this will be complete during induction.
- VI. Have suitable space for control of learner numbers during practical tasks, as per training plan.
- VII. The environment used will take into account the specific practical tasks, requirements being undertaken for the event being delivered.

Where the training and/or assessment event involves the use of a practical training area which is not a live environment and/or plant and equipment, the signed practical site safety briefing must be retained.

All learners who are required to complete practical tasks and access the practical area will receive a full Risk Assessment - Task briefing. This will be completed during the induction to learning.

Learners will be required to sign a copy of the Risk Assessment – Task Briefing record and a copy of this with the course pack.

#### **5.5 PMTandA – Classroom & Practical Area Checklist**

Delivery staff will have a responsibility to conduct pre-training checks to the equipment, resources and infrastructure. This is to ensure that these are suitable for delivery to commence and meet the minimum requirements.


PMTandA have created an E-form which is completed electronically through a QR code. The QR code forms part of the PMTandA Delivery Pack.

Delivery staff are required to conduct the required checks and submit this form prior to the event start date on day 1 of the event.

The E-form has been designed to allow for effective monitoring and interventions, should a delivery staff member identify any element as “Poor” an automated email is triggered to SLT, who can intervene as required.

This also allows for effective data capturing as cascading of conditions of premises being used, particularly 3<sup>rd</sup> party locations [Network Rail Training Centres for example].

Results are automatically populated into a spreadsheet upon completion and this can help with internal reviews, audits and quality monitoring processes.



### CLASSROOM & PRACTICAL AREA PRE-TRAINING CHECKLIST

Please ensure that this checklist is completed prior to the commencement of the delivery event.

Any instances of the conditions of resources not meeting the requirements will trigger an automatic email response to management.

For urgent issues please record these on the form and also speak with a member of the PM Management team.

**1. Course to be Delivered \***

Select your answer

**2. Start Date of the course \***

Please input date (dd/MM/yyyy)

**3. Course Location \***

Select your answer

**4. Please Rate the Quality of Each of the element below? \***

	OK	POOR	N/A
Learner Seats & Desks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ILT/ILE (TV/Screen/Laptop/Video)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Electrical Cables	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Heating	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lighting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ventilation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Classroom Cleanliness	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Toilets	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assessment Space (1m)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
RAMS / Task Brief sheets	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Practical Area Infrastructure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tools & Equipment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
First Aid Equipment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fire Fighting Equipment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Stationery	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**5. Additional Comments / Notes**

Enter your answer

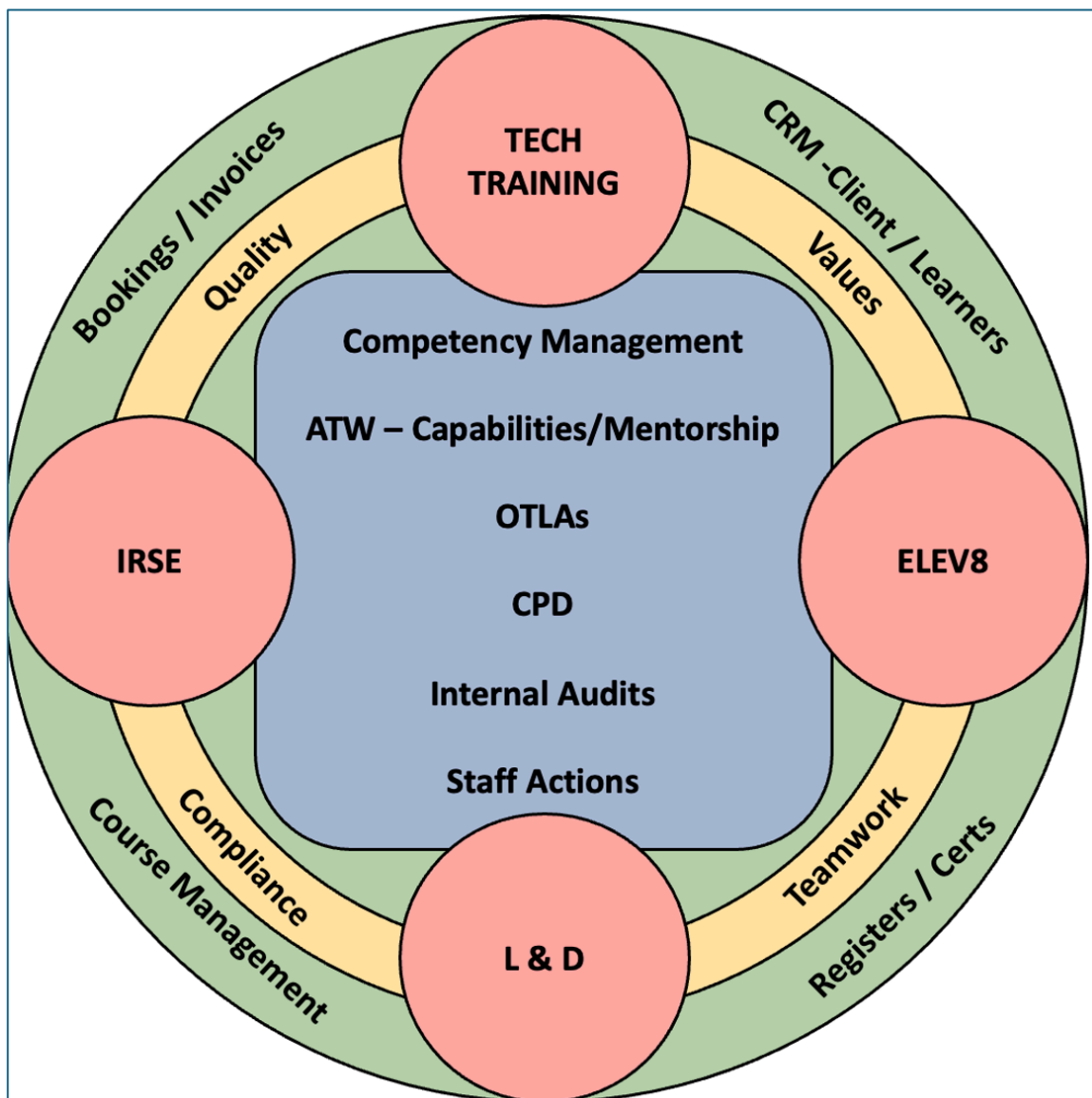
## 6 PMTandA – Compliance & Quality Management Systems

This section of the manual explains the main management systems that have been implemented to allow the provision to effectively plan, deliver, monitor and evaluate an effective, compliant and high quality service to stakeholders.

The provision has created bespoke management systems which encompass the end-to-end process for services delivered by the provision. These systems and processes are aligned to the relevant compliance frameworks and requirements from the various regulatory and assurance bodies related to the provision; with the intention of standardising the core elements throughout the provisions department where possible.

These systems include:

- I. Bespoke Training Management System [TMS] (Green)
- II. Bespoke Competency & Quality Monitoring System [QMS] (Blue)
- III. Bespoke Integrated Management System [IMS] (Gold)
- IV. Departmental Procedures [Red]



PMTandA aims to achieve a high quality service which uses Compliance as a platform in which the systems, documents and working practices are built on.

PMTandA achieved Compliance through embodying the process of “The 3 C’s”

- **COMPETENCE –**
  - Ensure effective *Systems / Procedures / Practices / Staff & Behaviours*
- **CONSISTENCY**
  - *A consistent & standardised approach to quality throughout provision*
- **COMMUNICATION**
  - *Have Effective communication of requirements & expectations at all levels*

Using this approach PMTandA aims to build quality on the platform of compliance, with the overall model being about positive impacts and improvements to practice:



## 6.1 Dante [TMS]

A bespoke online portal based system has been developed and created to provide PMTandA a robust and secure platform to document and record the Administrative processes for training & assessment events delivered by the provision.

This system combines the elements of a Customer Relationship Management system [CRM] with the operational elements of a Training Management System [TMS], into one usable system.

The Dante system will work in tandem with the wider competency management & quality development system within the provision "Validus".

The Dante system has been created to ensure the following can be achieved by PMTandA:

- I. Provide a standardised system for the booking and administrative elements for events being delivered within the provision
- II. Improve the communication of requirements and information relating to delivery of events
- III. Improve on the previous method used – reduce the need for singular "spreadsheet monitoring" and siloing of practices within the provision
- IV. Improve the compliance requirements around suitability of learners being accepted onto delivered events
- V. Increased efficiency of administrative elements around delivered events
- VI. Effective cascade of information relating to delivered events
- VII. Provide an audit trail for all delivered events (covering the end-to-end cycle)
- VIII. Reduce the requirement for paper usage in delivery within the provision [Environmental impact]
- IX. Enable effective provision of relevant documents to individuals as relevant to their role within the system
- X. Improve the efficiency of departmental figures and data around deliverables
- XI. Streamline the invoicing and payment process for the provision – reducing the need to manual administrative tasks
- XII. Provide a scalable product – which can adapt to changes & improvements over time

A full user manual has been created which explains the full use, operation and responsibilities for the Dante system within PMTandA.

## 6.2 Validus [QMS]

A bespoke online portal based system has been developed to provide PMTandA a robust and secure platform to document and record the Competency & Quality Monitoring/Development activities.

The portal is known as VALIDUS:

**(Validus is a Latin adjective meaning strong, mighty, powerful, robust, or healthy. It signifies the ability to withstand, progress, or remain effective, often referring to physical strength, sound health, or influential ability. It is the root of the English word "valid")**

This system combines the quality monitoring & development activities into one system.

The Validus system has been created to ensure the following can be achieved by PMTandA:

- I. Provide a standardised system for Competency & Quality Management/Development aligned to the wider vision & values.
- II. Improve the communication of requirements, expectations across the provision
- III. Improve on the previous methods used – reduce “Siloing” of practices
- IV. Improve the monitoring capability of quality activities
- V. Increased efficiency and outputs from quality activities – greater impacts
- VI. Streamlined system – combining activities & creation of links between elements
- VII. Effective cascading of information
- VIII. Provide a detailed, audit trail for all activities
- IX. User friendly portal – focussed on impacts and outputs
- X. Ensure a safe & secure storage system for documents
- XI. Provide a scalable product – which can adapt to changes and improvements over time
- XII. Reduce manual admin – paper use for competency management (environmental)

An overarching strategy document has been created which explains the rationale, responsibilities and use of the Validus system within the provision.

This document is the Competency & Quality Monitoring/Development Handbook and should be used in conjunction with this document and includes the provisions process for:

- Continuous Professional Development [CPD]
- Observations of Teaching, Learning & Assessment [OTLAs]
- Staff Competency Management
- Internal Audits

This document will cover and explain the compliance requirements relating to these aspects in relation to Technical Training events delivered by PMTandA.

### **6.3 Drop Box [IMS]**

PMTandA have a designated Integrated Management System [IMS] in place which is assured to the ISO 9001 requirements.

This system is used for the overarching document control, storage, access and review within the provision.

The provision utilises a secure business account through Drop Box for it's IMS.

### **6.4 Technical Training – Departmental Procedures & System**

The technical training department has created bespoke internal quality management and monitoring systems. These have been created in line with the relevant industry assurance organisation requirements and industry training standard expectations.

These systems will be explained within this document as they specifically related to the training & assessment delivery for the Technical Training department.

## **7 Training & Assessment Planning**

This section will explain the process and requirements from initial booking to the start point of delivery. Including the required roles & responsibilities to ensure compliance and quality is maintained.

### **7.1 Event Planning & Approval**

Administrators and Training Co-ordinators (referred to collectively as “administrators”) will be responsible for the pre-delivery booking and planning process. This will include various checks and processes prior to the confirmation of a delivery event being made active.

#### **7.1.1 Booking Form**

Upon the request for delivery of any event to external clients. Administrators will issue a booking form to the responsible individual; known as the “Co-ordinator/Booker” - (Primary sponsor/ Sub Sponsor / Learner Direct). This will be generated within the Dante system.

Should a sub sponsor request the training then written permission from the Primary Sponsor for the learner(s) must be obtained and be retained with the course pack.

The booking form must be returned fully completed and signed by the “co-ordinator/Booker” with details of the individual(s) requested to attend the planned event. This booking form must be retained with the completed course pack and made available for audit when requested. This will be uploaded to the event schedule within Dante.

If the individuals requiring training are internal [PMTandA Employees/Sponsored individuals], then a signed booking form is not required to be retained as compliance requirement, but can still be completed and retained as normal practice and for record keeping between departments.

Payment for training will be received from the learners Sponsoring company [The company signing the booking form]. For all Sentinel based competencies / events under RTAS.

Where the RTAS rules place restrictions on payment processes, no payment will be received by PMTandA directly from learners attending events. [PTS initial for example].

Assured Training and Assessment will only be provided to those individuals who have been nominated, in writing by a sponsor who holds a valid and current Approved Supplier Assurance Provider registration or a verified certificate which details a trackside or non-trackside sponsor organisation [Sentinel sponsor / Supplier ID holder].

#### **7.1.2 Pre-requisite Checks**

Assured Training and Assessment will only be provided to those individuals who meet the following criteria (as applicable to the event):

- I. Hold all general pre-requisite event requirements
- II. Hold current and valid sponsorship
- III. Provide proof of learner identity

- IV. Provide confirmation from the Sentinel Database of a current and valid medical certificate and Drugs & Alcohol certificate
- V. Are able to read and speak English and demonstrate their ability to communicate effectively
- VI. For defined competencies, meet any specific pre-requisite and provide supporting evidence as specified in the Network Rail Competence Standard for the event concerned

In certain circumstances PMTandA may internally require additional requirements to be met by individuals before being granted attendance to delivered events, in these cases so far as is considered reasonable these additional requests will be made in writing no less than fourteen (14) days in advance of the event.

Administrators will use complete initial checks on the individuals sponsoring company and individual learners designated on booking forms. This will be completed using the industry competency database [Sentinel Database] and actions contained within the Dante system for the applicable schedule.

Administrators will only confirm the attendance permission of individuals which meet the pre-requisite requirements using the information available to them from the Sentinel Database. A copy of the Learners Sentinel profile used for these checks (in advance of the event) will be retained with the completed course pack and uploaded to the event schedule in Dante.

### **7.1.3 Joining Instructions**

Upon confirmation of the available information held within the Sentinel Database to them. Administrators will confirm the learner's attendance and booking request and issue to the delegates a set of joining instructions.

These joining instructions will communicate the specific event details and requirements, in advance of attending the event, and will include as a minimum:

- I. Event type
- II. Dates & Times (Start/finish)
- III. Duration of Delivery (Days)
- IV. Catering Arrangements
- V. Location of delivery (Maps & Directions)
- VI. Smoking Policy
- VII. Proof of Identification requirements
- VIII. Confirmation of the relevant pre-requisites for the event being attended (specific to event TTK)
- IX. PPE requirements (including standard required)
- X. Any reference materials to assist in the event or items required to bring
- XI. Requirements for communication, English Language, literacy, numeracy, age etc (specific to event)
- XII. Process for identifying & addressing any Additional Learning Needs or difficulties (adjustments).

Evidence of the joining instructions being sent is available to be viewed within the Dante system itself, this includes confirmation of sending & viewing from individuals.

Joining instructions are templated within the Dante system, to provide learners with the most effective information prior to their attendance PMTandA joining instructions will also have additional documents attached, these include:

- Delivery staff profiles
  - Contains information & photo of the assign delivery staff member, this can help with identification for learners and can help with rapport building
- Venue Profile
  - Information relating to the PMTandA training centre, includes wider aspects of local amenities, travel information and pictures of the building for awareness.
- PMTandA Welcome Pack
  - This document communicates the PMTandA vision & values and introduces the learners to the provision. It communicates the support available within the provision and the internal codes of conduct etc.

#### **7.1.4 Allocation of Delivery Staff / Premises**

PMTandA will only allow training and/or assessment events to be delivered by individuals in an assured positions and only deliver events for which that individual holds capability [approval] to deliver.

To ensure this PMTandA will use the Validus System to record and document an Authority to Work [ATW] for delivery staff. Only when an approved ATW for the event is held on the delivery staff profile will they be designated within the Dante system to be allocated against that event. Administrators will not be able to allocate delivery staff to bookings which they do not hold approval for within the system. The system will be monitored and reviewed against any external assurance systems and profiles (Skillsbackbone & NWR approvals).

Should the assured individual be Sub Sponsored then permission for use of the individual must be sought from the primary sponsor of the assured individual and this confirmation must be retained with the course pack. If the primary sponsor does not confirm/accept usage or the evidence of this is not available, then the individual must not be used to deliver the event, and an alternative person should be sourced.

Administrators will also perform checks to external system relating to competencies & capabilities. This will include the Assurance Organisation Online Portal [Skillsbackbone] and the Sentinel Database [Training provider portal].

Once a suitable Assured individual has been selected, the event details will be communicated to the delivery staff member.

Should the Sponsor or individual declare any Additional needs prior to attendance, these will also be communicated to the assured individual prior the event starting.

PMTandA will also ensure that delivery will occur in suitable and approved premises for the event. This will include checks to the Skillsbackbone system for Practical site approvals [as required]. Only suitable events will be added to the Dante system as a selectable “Resource” to be allocated and used for events.

PMTandA will also ensure that any practical location being used is not subject to any suspension (including temporary). Particularly for any 3<sup>rd</sup> party owned premises or locations.

#### **7.1.5 Delegate Numbers**

PMTandA will ensure that the maximum delegate numbers are not exceeded under any circumstances. These have been set within course templates within Dante against the numbers documented within the Training Materials or CTM standards.

PMTandA will not “Overbook” events in an attempt to ensure maximum allocations.

Administrators will monitor the number of delegates confirmed onto events and only allow the maximum number, as per the course template within Dante.

Should the request exceed the maximum amount permitted, then an additional event and trainer allocation will be allocated as a separate course/event booking.

#### **7.1.6 Extension of Scope [Provider]**

Should PMTandA receive a request to deliver any assured Training and/or Assessment event for which they do not currently hold approval for then the following process must be followed before any booking for the event can be confirmed or take place.

Administrator should contact the Senior Leadership Team [SLT] and communicate the requested booking details and requirements.

Should a business case be made and agreed for the event to go ahead, PMTandA Leaders & Managers will ensure the following:

- I. The installation of equipment required to comply with the requirements of the Network Rail Approved Training and/or Assessment materials, and Network Rail standards (where appropriate) are in place and available.
- II. That PMTandA can appoint a suitably trained and competent individual, who holds the relevant approvals in regard to capability for the event
- III. Complete the application for any practical site approval, which is submitted to the assurance organisation, where applicable.

The above information and associated evidence should be submitted to the Assurance Organisation through their online portal [Skillsbackbone] along with the completed Appendix 2 form.

The Assurance Organisation will review the evidence provided against the set criteria as detailed within the Assurance Organisations management systems which includes:

- I. Qualification of the assured individual requested to be used (rail industry experience, vocational experience)
- II. The facilities required to train and/or assess the event.

Only upon receipt of approval from the Assurance Organisation (if applicable) and upon the event being added to the PMTandA Skillsbackbone profile and/or Dante system can the event be confirmed and or be delivered.

### **7.1.7 Assessment Plan Arrangements**

PMTandA will ensure that for any learner who is confirmed as attending an “on site assessment” event, will be made aware of the required assessment arrangements.

This will include the communication and agreement of an assessment plan prior to the formal assessment starting.

### **7.2 Skills Backbone Events Calendar**

PMTandA have processes in place to maintain the Assurance Organisations online Events Calendar; this is in line with the Assurance Organisations requirements and expectations.

Administrators will have responsibility for ensuring that the Events calendar is updated, using the below process as guidance.

- I. The event calendar will be updated for any confirmed bookings at the beginning of each month.
- II. The Event calendar will also be checked and updated with any confirmed advanced bookings no later than 4pm each Friday for each following week
- III. For any last moment requests the events calendar will be updated as soon as reasonably practical.

The updating of the events calendar also form part of the required actions within the Dante system for each scheduled event, which administrators will complete prior to confirming a booking is ready for delivery.

#### **7.2.1 Provider Unavailability**

Should the provision be closed for any reason or there be an unavailability/unsuitability for external individuals to attend the premises then the Events calendar “Unavailable” function will be used.

This will communicate the unsuitable dates for potential attendance to the provision to the Assurance Organisation.

Any known closure/unavailability dates for the year will be added at the start point of the calendar year, and for any other dates this will be added as soon as reasonably practical.

Reasons can include but are not limited too:

- I. Internal Team Weeks
- II. External Audits which require SLT presence
- III. Planned periods of Closure of the business
- IV. Unplanned periods of Closure of the business (emergencies/unforeseen circumstances)

### **7.2.2 Changes to events**

Should any details change for the planned event, the applicable schedule details will updated within Dante and associated documents will be re-cascaded (book forms, confirmations, joining instructions etc.).

The events calendar will also be updated as soon as practical with the latest details. This will aim to be completed prior to the event start time wherever possible.

### **7.2.3 Event Detail Requirements**

When administrators are adding details for events into the events calendar the below should be used as guidance:

- I. Event Type
- II. Event Name
- III. Training Event Location (Classroom or post code)
- IV. Trainer/Assessor Name
- V. Learner names (if applicable)
- VI. Meeting Time(s) / Locations
- VII. Access Point (on site assessment)
- VIII. Planned Duration (start & Finish Times)

The details uploaded will vary dependant on the event, but the details added should provide external individuals with suitable information to attend any location during that planned event if required.

### **7.3 Pre-Course Administration Checklist / Actions**

To document the completion of the above checks and help Administrators to ensure these are completed. The Dante system has an action module which is contained within the course templates.

These actions should be reviewed and marked off when they are completed, timescales have been aligned to each action to ensure that this meets the internal and external requirements for compliance.

When all actions have been completed within Dante, the pre-course administrative process is completed and the event can be classed as “Confirmed” and ready for delivery to commence.

TASKS / ACTIONS				
+ Subject	Due	Due	Days	
■ Get Quote From Xero [if required]	Course Task	Before Course	14	
■ Send Quote & Booking Form email to requester	Course Task	Before Course	14	
■ Check Signed Booking form - Add to Course Storage [Pre-Course Admin]	Course Task	Before Course	14	
■ Ensure PO added to booking in Dante	Course Task	Before Course	14	
■ Conduct Pre-req Checks for Learners [Check Event Notes]	Course Task	Before Course	14	
■ Sentinel Profiles Printed & Added to Event Storage [Pre-Course Admin]	Course Task	Before Course	14	
■ Create Registers [NWR only] - Add to Event Storage [Pre-Course Admin]	Course Task	Before Course	14	
■ Add Sub-Sponsor Use Approval To Event Storage [Pre-Course Admin] [If applicable]	Course Task	Before Course	14	
■ Update Skills Backbone Event Calendar [If applicable]	Course Task	Before Course	14	
■ Check Learner Passport for ALS profile - Add to Event Storage [Pre-Course Admin]	Course Task	Before Course	14	
■ Change Status of Event to Confirmed	Course Task	Before Course	14	
■ Download Documents From Completed Course Pack Storage	Course Task	After Course	1	
■ Complete Post Course Admin Section In Delivery Pack	Course Task	After Course	1	
■ Change Status of Event to Complete	Course Task	After Course	2	

## 7.4 Safe Work Planning

Should PMTandA require to conduct delivery of events on live, operational RMI a valid Safe Work Pack [SWP] will be produced in line with the industry standards and requirements.

Individuals involved in the process will hold the relevant competencies to conduct the duties as required.

PMTandA will ensure that SWPs and the necessary risk assessments are prepared and produced in accordance with the Network Rail standard for the discipline concerned to enable this to be carried out in accordance with the rule book as well as the standards and training requirements.

Any documents produced such as the completed SWP will be retained with the applicable course pack.

PMTandA will ensure that SWPs produced and used during assured delivered events are prepared and produced by a safe work planner holding current and valid sentinel competence and approved by a responsible manager as defined in NR/L2/OHS/019 standard.

Should this SWP be sourced by an external supplier the arrangement will be covered by a formal contract for the arrangement to provide SWPs.

## **8 Delivery of Training & Assessment Events**

This section will explain the purpose & process which PMTandA uses to conduct the delivery of training & assessment events. This will include the end-to-end process of the delivery aspect and explain the working documentation and processes for compliance and quality monitoring.

### **8.1 PMTandA Delivery Pack**

A bespoke delivery pack has been created to provide delivery staff & learners a standardised and efficient approach to ensuring compliance and quality practices are embedded and completed through the learning journey.

The information contained within the delivery pack forms part of the overall PMTandA Quality Management Systems (Validus / Sharepoint / Drop Box), and is combined and build within the provisions Training Management System [TMS] (Dante).

#### **8.1.1 Course Register**

When all enrolled learners are assigned to the event, Administrators will add the learner profile within the Dante CRM to the individual scheduled event. This will populate the delegates on the event and will allow delivery staff to complete the register details within their trainer app for each delegate.

The register has been designed to align to the Assurance Organisation requirements and capture the relevant information relating to the event. The course register has been mapped directly into the Dante system and delivery staff can complete this electronically through the trainer app and generate a populated PDF which can be retained with the completed course pack.

Learners attending the event are required to provide their signature on Day 1 (during the learning induction process) and can add their initials for any subsequent days attended for the event.

Delivery staff are required to complete Pre-requisite checks to learner's prior to the event start. This is to ensure that nothing has changed between the initial prebooking administrator checks and the event start point. Check boxes for pre-requisites are provided on the trainer app register to document these have been completed, with Sentinel profiles (full front page) being retained in advance of the event for each learner attending also.

Delivery staff are required to document the Start & Finish times of each day of the event. This is to document and ensure that the required GLH has been completed for the event being delivered. These times should match the times documents on any progress records and align with the retained swipe evidence for each day (if applicable).

The course register also has sections for tracking that delivery staff and learners have been swiped in & out for each day. These boxes can be ticked to show this has occurred. This can help delivery staff in remembering to complete this process each day. Evidence of swiping of individuals should also be retained with course packs.

Delivery staff are required to document the material issue used for the delivery of the event.

This must match the documented issue number at the time which is shown on the event TTK (Course information sheet).

Delivery staff should complete the required command of English checks to each learner, and this should be documented on the trainer app register by ticking/crossing as appropriate and following the required process as explain in this manual.




Delivery staff are required to document and record the outcome for each learner on the trainer app, as applicable for the event type. The Dante system will use this information to generate certificates for learners.

Additional Course results summary pages should be completed separately if required/applicable for events.

Only when all elements of the register have been completed should delivery staff generate and sign the register off.

Delivery staff are advised to check all elements prior to signing off the register, as signatures act as a declaration of completion.

Completed course registers should be uploaded to the Dante system using the trainer app.

Event Title	SFI Level 1 Failure & Incident Testing		Trainer/Assessor	Daniel Skinner		Location	The Courtyard Granary, Standard Street, Crickhowell, Powys, Wales, NP8 1BP, United Kingdom	
Start Date	09/03/2026	End Date	10/03/2026	Duration (Days)	2	Trainer Signature		
MATERIAL ISSUE USED	Version 2.2		Day Number	Day 1 of 2		COURSE TIMINGS & SWIPES		
Start & Finish Times	Start	End	Sentinel Swipes Trainer & Delegate	In	Out			
	09:00	16:30		X	X			
Learner Name	Sponsor	Sentinel	Day 1 Signature	Command of English	Pre-Requisite Checks Conducted			
1 Tina Test	Test Company	1234567						
2 Ross Clark	Volker Rail DEMO - DO NOT SEND	655369		✓	✓			
3 Tracey Tester 1	Volker Rail DEMO - DO NOT SEND	1234567		✓	✓			

(example of a generated Course register from the Dante Trainer App).

### 8.1.2 Delivery Checklist

Within the delivery pack, and contained within the Trainer app in Dante delivery staff have their own section to complete on the Course Process Checklist. The Delivery Checklist section should be completed by the assured individual conducting the event.

This checklist is designed to ensure a standardised approach and completion of key elements of any delivered event. The checklist is designed to help delivery staff in completing the required activities associated with the event.

Checklists should be used effectively by delivery staff. This means that each element should be reviewed, completed and marked as complete when it has been done. Checklists completion and accuracy will form part of the internal verification process.

Delivery Checklist (Trainer/Assessor to Complete)	
Course Materials Prepared & Checked <input checked="" type="checkbox"/>	Classroom Check Form Submitted <input checked="" type="checkbox"/>
Introduction to Learning Completed <input checked="" type="checkbox"/>	Learner Pre-Learning Forms Completed <input checked="" type="checkbox"/>
Learner ILP Forms Completed <input checked="" type="checkbox"/>	Training Delivery Completed <input checked="" type="checkbox"/>
Assessment Brief Completed <input checked="" type="checkbox"/>	Learner Post-Learning Forms Completed <input checked="" type="checkbox"/>
Learner Feedback Forms Completed <input checked="" type="checkbox"/>	PCQA Form Completed <input checked="" type="checkbox"/>
Trainer Evaluation Form Completed <input checked="" type="checkbox"/>	Results Logged & Evidence Retained <input checked="" type="checkbox"/>
All Docs Collated & Uploaded to Dante <input checked="" type="checkbox"/>	

Event Title		SFI Level 1 Failure & Incident Testing		Trainer / Assessor	Daniel Skinner	Location	Details to be provided by NWR/Intertrain in separate Joining Instructions before the training is due to commence, United Kingdom
Start Date	03/03/2026	End Date	03/03/2026				
TASK	Complete?	Delivery Pack & Course Pack Checks		PRESENT			
Course Materials Prepared & Checked	<input checked="" type="checkbox"/>	Registers [PM & NWR] - fully completed & signed					
Classroom Check Form Submitted	<input checked="" type="checkbox"/>	Risk/TBS Sheet [PM & NWR] - Signed by Learners					
Introduction to Learning Completed * Pre-req checks/profiles * Copies of ID * Copies of Work Experience/Log books * Copies of E-learning certs	<input checked="" type="checkbox"/>	Delegate Results Summary - fully completed					
		Update SMTH Spreadsheet					
		Copies of ID Retained for All Learners					
		Results Upload Evidence - completed & retained					
Learner Pre-Learning Forms Completed	<input checked="" type="checkbox"/>	Swipes Evidence - All individuals for each day					
Learner ILP Forms Completed	<input checked="" type="checkbox"/>	Present For Each Learner?					
Training Delivery completed in line with Lesson Plan / TTK Requirements	<input checked="" type="checkbox"/>	Knowledge Assessment(s)					
		Assessment Review(s)					
		Practical Assessment(s)					
		PCTO (if applicable - Failures)					
Assessment Brief Completed * Assessment conducted in line with Lesson Plan / TTK requirements	<input checked="" type="checkbox"/>	Certificates of Achievement (if applicable)					
		Post Admin Task					
Learner Post-Learning Forms Completed	<input checked="" type="checkbox"/>	Send Registers & Course Pack to NWR/Intertrain					
Learner Feedback Forms Completed	<input checked="" type="checkbox"/>	"Course folder Created in Drop box (Completed Courses)"					
PCQA Form Completed	<input checked="" type="checkbox"/>						
Trainer Evaluation Form Completed	<input checked="" type="checkbox"/>						
Results Logged & Evidence Retained	<input checked="" type="checkbox"/>						
All Docs Collated & Uploaded to Dante	<input checked="" type="checkbox"/>				All Documents relating to delivered event added to Course Folder in Drop Box - Ready to IV/Archive		

(Example of delivery checklist in trainer app and when generated into PDF format).

The checklist has been designed to align to the natural flow points of delivered events, so should be completed as the event occurs.

This will also help with any instances of hand over between assured individuals should it be required [i.e. sickness cover] and help ensure consistency of practice.

### **8.1.3 PM Delivery Pack [E-forms]**

Between the mapped elements completed directly in the Dante Trainer app and between the QR codes contained within the PM Delivery Pack there are a collection of forms and working documents which can be completed.

The documents within the delivery pack and within the trainer app have been specifically designed to enable delivery staff to effectively complete, record and retain evidence of specific tasks or events which occur during delivery.

These forms and the process & requirements from delivery staff to effectively complete these can have significant consequences to the quality & compliance of the provision.

To enable the ability to effectively collate, monitor and evaluate data from delivery events, the forms are completed through E-forms. These are accessed through QR codes which take delivery staff & learners to the online form. Submissions are then automatically collated in the back end spreadsheet and certain aspects have automations in place to alert staff of responses as applicable.

The process for these forms is explained in the relevant sections of this manual, in detail, where they are relevant to specific RTAS clauses. Documents contained within the Delivery pack & Dante trainer app include:

- I. Course Register
- II. Course Process Checklist
- III. Delegate ILP Form
- IV. Delegate Pre-Learning Form
- V. Classroom & Practical Area Checklist Form
- VI. Delegate Feedback Form
- VII. Deviation to GLH Form
- VIII. Trainer/Assessor Evaluation Form
- IX. Post Course Question Analysis Form
- X. Delegate Post Learning Form
- XI. Staff Safeguarding Disclosure Form
- XII. Delegate Safeguarding Form
- XIII. Course Results Summary

Some documents and forms will be required to be completed for each and every event delivered. Some aspects will only be required to be completed if they are applicable/occur during that particular event.

An E-forms Crib sheet has been created to help delivery staff with the location, purpose and requirement for each of these forms.

### **8.1.4 PM Standardised Delivery Decks**

As the completion of these forms are critical to allow for effective data collation and quality monitoring, and with the aim of consistency in approach in mind. PMTandA have created a set of "Standardised Delivery Decks".

These decks provide a standardised approach to the content and data collation points for learners coming onto event. These decks should be used in all delivered events from PM Technical Training and are designed to be used at key points in the learning journey:

- Induction To Learning
- Assessment Brief
- Post Learning

The induction to Learning deck is to be covered at the starting point of the learning journey. This deck ensures that pre-learning and ILP information is captured appropriately and ensures that the relevant induction points are communicated to learners before they start their content learning.

**The induction to learning deck includes:**

- Domestic Arrangements Briefing
- Registration & Compliance checks
- Values & Expectations
- Task & Risk Assessment Briefing
- Life Saving Rules
- Achievement
- Appeals & Complaints
- Safeguarding & Prevent
- British Values
- Additional Learning Support [ALS]
- Delegate Pre-Learning form
- Delegate ILP Form
- Ice Breaker & energiser

The assessment brief deck is to be covered with learners prior to starting their first knowledge assessment. The purpose of this deck is to communicate the rules, requirements and expectations for during the formal assessment. This also includes the methods and requirements for the assessment; including requirement for success and outcome processing. The aim here is to ensure an effective and standardised assessment environment is achieved throughout the provision.

**The Assessment Brief deck includes:**

- Assessment details & Outcomes
- Appeals & Complaints (recap)
- Assessment Protocols
- Exam clock

The post learning deck is to be covered at the end of the learning journey. The aim of this deck is to capture the post learning evaluation data from learners and includes evaluation and feedback forms. This is aimed to try increase the amount of feedback received from learners on events and help standardise the capture point.

**The post learning deck includes:**

- Post Learning form
- Delegate Feedback Form

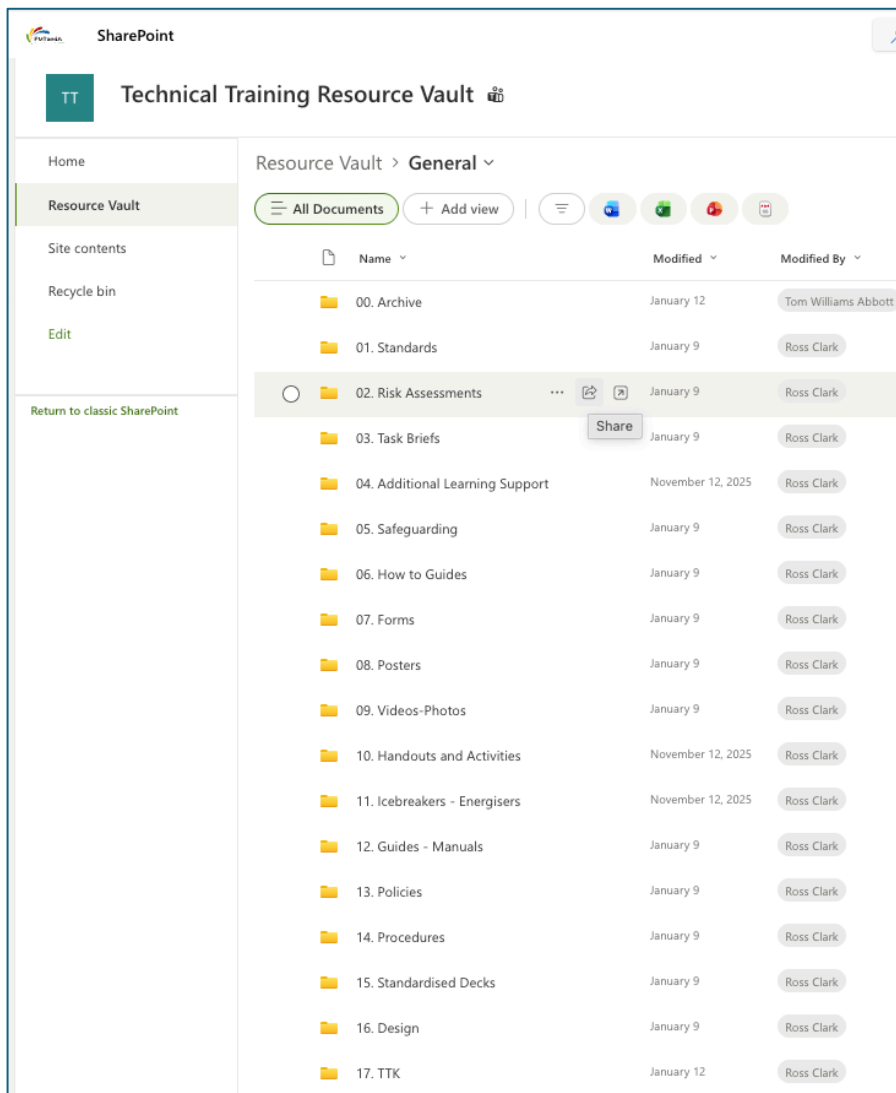
The standardised delivery decks are uploaded to each events course template in Dante and will be available to download with the event training materials in the trainer app. The decks are also available within the PM Resource vault also for delivery staff to access and use.

**8.1.5 PM Resource Vault**

To provide effective communicate and access to relevant documents, and to ensure access Restrictions to the core IMS folders can be maintained a “Resource Vault” has been set up within the Sharepoint / Teams site.

All PM technical training staff have access to the Resource Vault through the Teams site. The resource vault holds a variety of documents which can be used at any point as required. This also includes wider guidance and resources which may be helpful or provide support and guidance.

The aim of the resource vault is to provide a single source of information and access point for all, which builds over time to help improve awareness and quality of delivery.



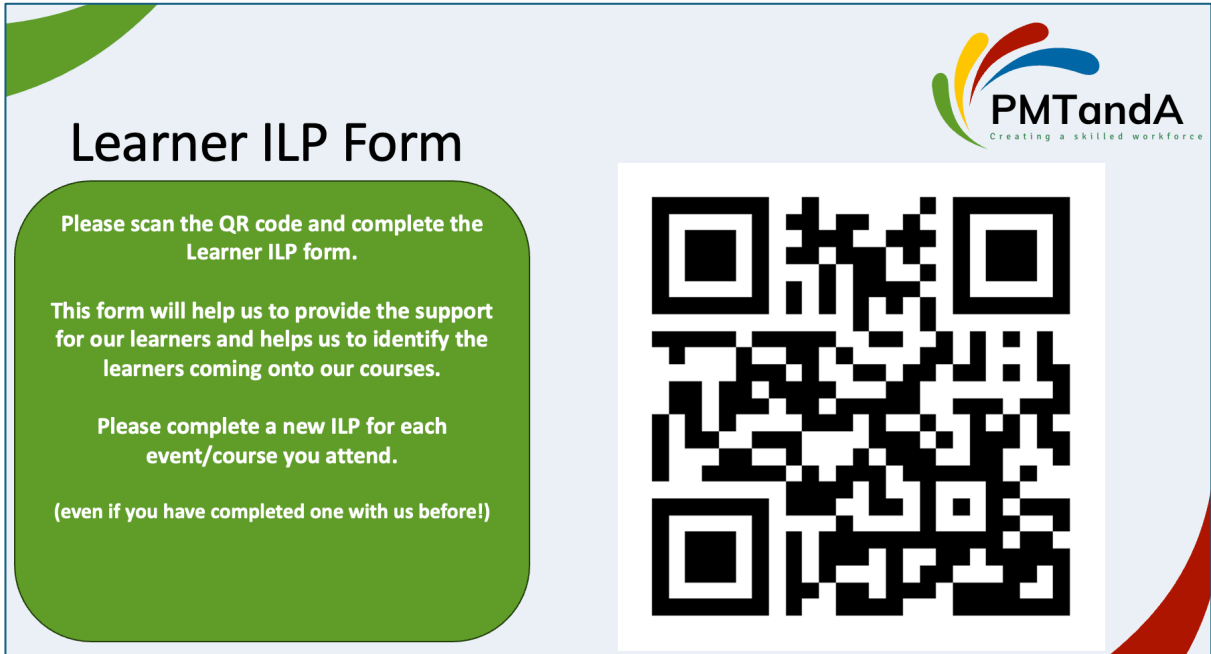
### 8.1.6 Delegate ILP Form

Contained within the Induction to Learning Standardised deck learners are required to complete the Learner ILP form.

This form captures the relevant EDI data from the learner and can be used to form part of the learner profiles that are attending events. The ILP form also captures specific information which can impact learning experience for learners and includes any Additional Learning Support requirements and/or special considerations or adjustments required.

This ILP form is also cascade to learners during the issuing of Joining Instructions, this allows learners to complete the form prior to attending the event if they wish, this can help speed up the induction to learning process, but will also be covered in attendance should there be any issues with completion or additional questions.

Should a learner provide a response that requires actions to be implemented for ALS or special considerations. This will automate an email to the assigned delivery staff member for immediate awareness and implementation of support and also the administrators so that internal PM Passport Profiles can be generated.

The image shows a slide titled "Learner ILP Form" with a QR code and instructions. The slide has a light blue background with a green and red decorative corner. The PMTandA logo is in the top right corner. The text is contained within a green rounded rectangle on the left, and a large QR code is on the right.


**Learner ILP Form**

Please scan the QR code and complete the Learner ILP form.

This form will help us to provide the support for our learners and helps us to identify the learners coming onto our courses.

Please complete a new ILP for each event/course you attend.

(even if you have completed one with us before!)



### 8.1.7 Delegate Pre-Learning Form

Contained within the induction to learning standardised deck learners are required to complete the Pre-learning form.

This form captures the learners starting points (prior to learning interventions). This form also captures some compliance requirements and statements from learners around data collation and receipt of joining instructions.

The form asks learners to self score their abilities and confidence levels in a range of areas and also asks for a specific learning goal which they would like to achieve.

This form is also cascaded for completion with the issuing of the joining instructions, this allows learners to see, think and complete these forms prior to attendance. This will also be covered in the induction if there are any issues or concerns about the completion.

This form is automated to map data with the post learning evaluations form – which allows leaders and managers to evaluate the impacts and effectiveness of learning interventions.



**Pre-Learning Form**

If you have not completed this prior to attending the course today.

Please use the QR code to complete the pre learning form.

This will allow us to identify your starting points and any personal learning goals for the event.

We will revisit these at the end of the course.

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### 8.1.8 Delegate Feedback Form

This form is contained within the post learning standardised deck and learners are requested and encouraged to complete this post learning. Additional feedback forms may also be required to be completed in addition to the internal PMTanda (NWR).

This form uses a combination of qualitative statements and questions which enable a quantifiable evaluation to be achieved. Learner feedback will be used as part of the internal quality reviewing and monitoring process and contribute towards self evaluations.

Feedback data will also be shared and discussed during meetings and 1-1s with trainers.

Automations are in place that if a learner provides a highly negative response “Very poor” that leaders and managers receive an alert. This can then be reviewed and followed up on an individual basis.



**Learner Feedback Form**

Please scan the QR code and complete the Learner Feedback.

We would appreciate your feedback on your Teaching / Learning experience with us. This information is key for us to help ensure we provide the best service to our learners.

You can complete this form anonymously if you wish and can submit this form anytime after the event also.

<https://qr.pmtanda.co.uk/pmfeedback>

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### 8.1.9 Deviation to GLH Form

Delivery staff should always look to deliver the event in line with the required Guided Learning Hours [GLH] as specified in the event lesson plan and TTK materials.

Delivery staff must only deviate from the duration stipulated in the materials in accordance with the instructions in this manual and in line with the RTAS Rules.

- **Guided Learning Hours – RTAS Definition**

*“The minimum number of hours outlined within lesson plans, i.e. the duration that the training and/or assessment event is required to take in order to deliver a valid result. For these purposes, the duration of one day equates to six (6) hours learning time”.*

In line with the RTAS Rules and deviation request which causes a reduction in the documented GLH for any event must be as a minimum:

- I. Risk assessed at the time of the event by the assured individual
- II. Documented within Network Rail training material progress records
- III. Signed by the assured individual delivering the event
- IV. Signed off by an individual not holding an assured position within PMTandA Training [excluding delegates].
- V. Dated and retained with the completed course pack

The PMTandA process for the requesting and management of Deviations to GLH is:

Should the delivery staff member wish to request a deviation they should conduct a risk assessment, measuring the impact of the deviation on the learner experience and potential outcomes.

Delivery staff are also required to provide a justification/explanation for the deviation request and why this does not pose a risk to the compliance and/or quality of the delivery and learner experience.

Risk Assessment factors for deviations should include:

- I. Delegates numbers – *lower numbers may reduce the time required for practicals*
- II. Delegate Experience – *more experienced learners may move at a quicker pace through event*
- III. Trainer Experience – *more experienced trainers will have a better judgment on impacts/risks*
- IV. Deviation Amount – *The amount of hours reduction against impact to learners*
- V. Event Risk Level – *Initial event or Recertification? / Parent competency or child?*
- VI. Ability to fulfil the scope of delivery – *can the full scope still be delivered effectively?*
- VII. Any previously approved dispensation for the event – *Network Rail / NSAR Preapproval*

Within the Trainer pack a dedicated section for documenting and recording the applicable risk factors and justification is available.

This process has been mapped into the Deviation to GLH E-form. Delivery staff should scan the QR Code (contained in their delivery pack).

In line with the RTAS rules, any Trainer/Assessor who wishes to deviate from the planned Guided Learning Hours [GLH] should complete the Deviation Request form using the QR Code below.



<https://qr.pmtanda.co.uk/devglh>

**\* Deviations must be requested during event (not prior)**

**\* Deviations must be approved before they can occur**

**\* The name, signature & time of the approver/approval must be documented on the course pack**

Upon the submission of the E-form the Quality Assurance manager will receive an email notification with the details contained. They can review the request and provide an email response to grant Approval or Decline the deviation request.

The emails can be retained and uploaded with the course pack within the Dante trainer app.

Deviations must not be signed off by individuals attending the events as delegates (this includes PMTandA Staff).

Deviations must only occur after approval has been provided and evidenced in the Trainer pack section above.

Deviations can only be effectively risk assessed during the event itself, i.e. delivery staff cannot request a deviation before the event has started.

For any deviation the full progress record/scope of delivery must still be completed. Delivery staff are requesting to deviate from the GLH (time), not the content.

Authorisations must be from “non-assured individuals” – regardless of role within PMTandA, the individual approving any dispensation cannot be an assured Trainer and/or Assessor themselves; this will nominally be the Quality Assurance Manager but this can be an alternative in their absence.

Deviations should not be “Planned” at the course booking point. This would require a “Dispensation” from the Assurance Organisation or Network Rail.

Any approved Dispensation relating to the GLH should still form part of the risk assessment & deviation approval process and the evidence of the dispensation should be kept with the course pack for verification.

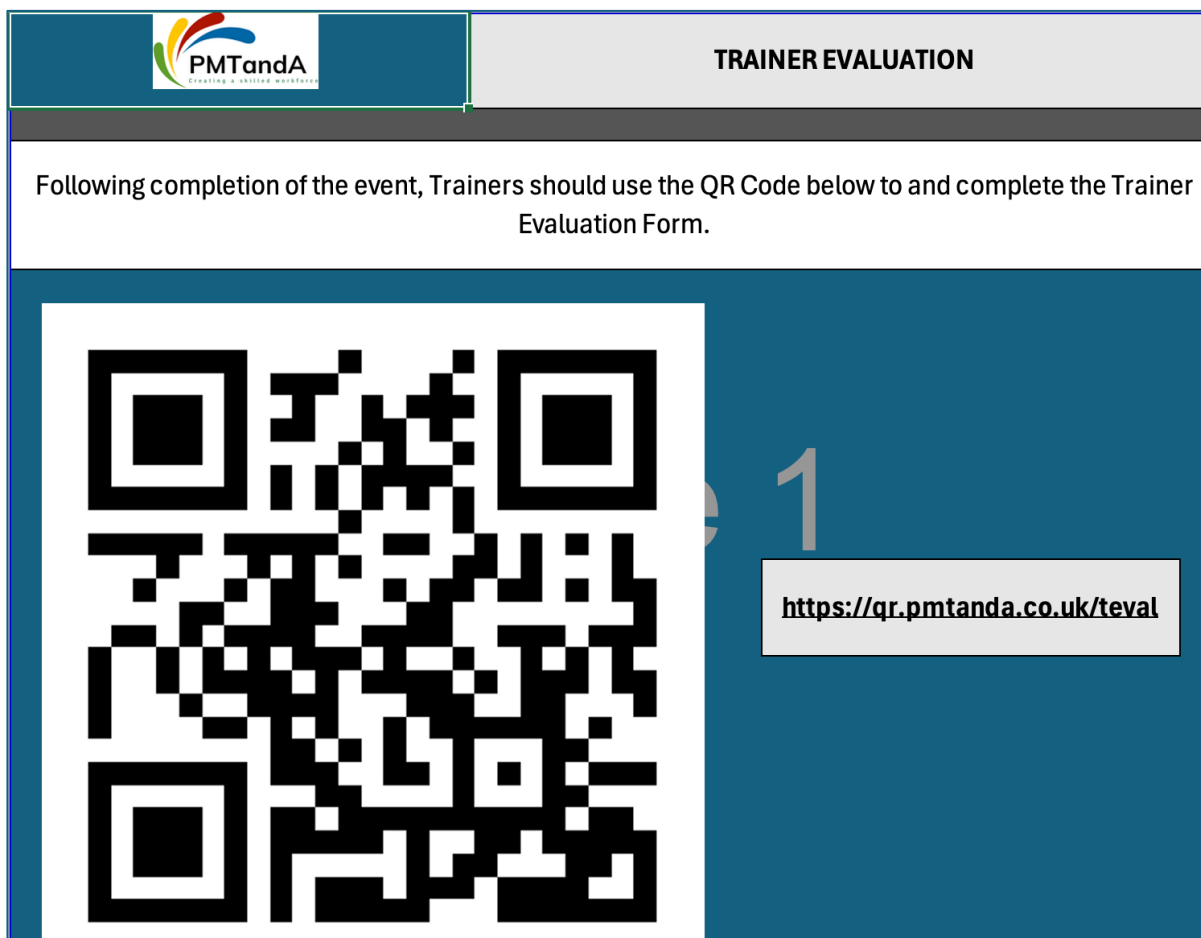
Deviations to GLH pose risk to the compliance & quality of delivery, and therefore should be used at a minimum, they will be monitored and form part of the internal & external quality assurance process.

### 8.1.10 Trainer/Assessor Evaluation Form

To help PMTandA leaders & managers to perform effective evaluations relating to the quality and impacts of delivered services, the delivery pack has a dedicated Trainer/Assessor Evaluation form.

Delivery staff are required to complete and submit these after each event they deliver.

These questions have been designed to allow measurable data to be captured around the quality of the delivered events and allows delivery staff to have direct impact on these.



The graphic is a slide titled "TRAINER EVALUATION". It features the PMTandA logo in the top left corner. The main text reads: "Following completion of the event, Trainers should use the QR Code below to and complete the Trainer Evaluation Form." Below this text is a large QR code. To the right of the QR code is a large number "1" and a box containing the URL: <https://qr.pmtanda.co.uk/teval>.

Delivery staff should ensure that the evaluation questions are fully completed and answered accurately and honestly. Additional details and examples can be provided also, which will help with the effectiveness of the analysis.



This data will be monitored between all delivered events and will form part of the provisions Self Assessments and help with setting departmental targets over time.

### 8.1.11 Post Course Question Analysis Form [PCQA]

Within the delivery pack there is a PCQA sheet. This form can be used by delivery staff to track the number of learners attempting assessments and flag the number of learners who responded an incorrect answer to each question.

In line with the RTAS rules PMTandA will complete and retain documented evidence that analysis of responses to questions has been undertaken. This will form part of the provisions Internal Verification process and the Internal Quality Management systems.

To allow this analysis to occur delivery staff have a dedicated E-form in the delivery pack which is to be completed by delivery staff to document the assessments undertaken, the number of delegates who attempted each assessment and the number of incorrect responses for each question.

		POST COURSE QUESTION ANALYSIS						
 <p><a href="https://qr.pmtanda.co.uk/pcqa">https://qr.pmtanda.co.uk/pcqa</a></p> <p>No of Learners Attempted</p> <p>Assessment Title</p> <p>Trainers can use the table to make notes of how many learners answered each question number wrong.</p> <p>Additional sheet can be printed if required for events which include multiple assessments if required.</p> <p><b>The PCQA form must be completed and submitted for each assessment using the QR Code above - The table is just for reference to help record.</b></p>	1	2	3	4	5	6	7	
	15	16	17	18	19	20	21	
	29	30	31	32	33	34	35	
	43	44	45	46	47	48	49	
	57	58	59	60	61	62	63	
	71	72	73	74	75	76	77	
	85	86	87	88	89	90	91	
	8	9	10	11	12	13	14	
	22	23	24	25	26	27	28	
	36	37	38	39	40	41	42	
	50	51	52	53	54	55	56	
	64	65	66	67	68	69	70	
	78	79	80	81	82	83	84	
	92	93	94	95	96	97	98	

Delivery staff should complete the PCQA form as part of their completed course pack documents and delivery course pack checklist process.

The information from this form will be added to the PCQA analysis system. Data analysis will be conducted, and this will be discussed during team meetings and help contribute to the individual/provisional CPD planning and standardisation meetings.

It is important therefore that delivery staff ensure this is completed fully and accurately after each delivered event.

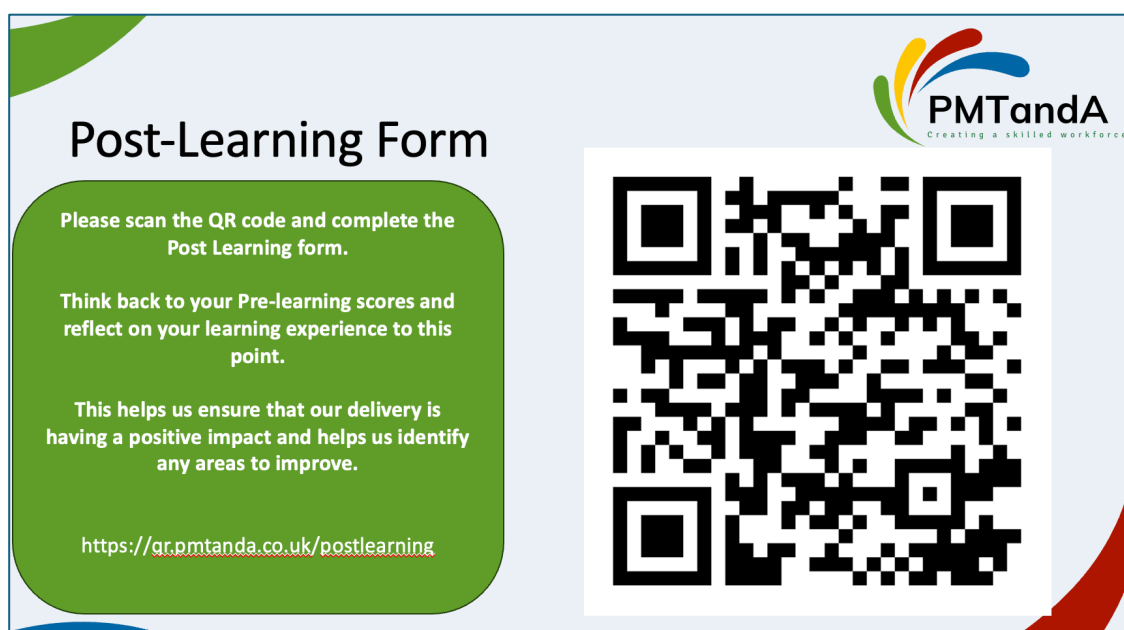
### 8.1.12 Delegate Post Learning Form

As with the Trainer Evaluations it is important that we gather information from our learners regarding their opinions on the quality of the event.

Learners should be encouraged to complete the Learner Evaluation form at the end of their learning journey, this E-form is contained in the Post learning deck.

This form has automations which map and collate the information received by the learners from their Pre-learning form. This allows for analysis between starting & end points to help ascertain the effectiveness and impacts that TLA is having within the provision on our learners.

This form enables a quantifiable analysis to be completed, and the information will be collated and reviewed by PMTandA and form part of the Self-assessment, Quality improvement processes and be discussed in standardisation meetings.



### 8.1.13 Staff Safeguarding Disclosure Form

Within the delivery pack there is also a Staff Safeguarding Disclosure E-form. This form can be used by delivery staff to raise a safeguarding concern immediately and confidentially.

Upon submission of this form a notification is received to the Safeguarding lead for the provision and this can be actioned appropriately by them.

This allows and ensures quick and efficient disclosure methods for delivery staff.

If you have a concern about any individual relating to Safeguarding or Prevent, please complete the Safeguarding Concern form using the QR Code below.

A member of the safeguarding team will be alerted and can provide support and guidance.



<https://qr.pmtanda.co.uk/disclosure>

1

**DO's**

- \* Listen Carefully
- \* Stay Calm
- \* Be Supportive
- \* Record Facts
- \* Report promptly

**DO NOT**

- \* Promise Confidentiality
- \* Make Assumptions
- \* Investigate Findings Yourself
- \* Ignore Aspects
- \* Ignore Concerns

#### 8.1.14 Delegate Safeguarding Form

Learners attending their events also have their own methods of raising safeguarding concerns. Should the learner not wish to speak with a member of staff directly they can submit a disclosure using the safeguarding poster QR code which is displayed within PMTandA training centres.

Submission of this form provides a notification to the Designated Safeguarding Lead who can follow up the disclosure appropriately.

This provides an alternative method of disclosing safeguarding concerns for learners and visitors to the provision but also ensures that the cascade of information is available to intervene appropriately.



This is also communicated to learners during their induction to learning as part of the standardised delivery deck.

## 8.2 Confirmation of Learner Identity

As per RTAS & NWR rules delivery staff are required to ensure & confirm the identify of Learners attending Assured events delivered by PMTandA.

Training and assessment will only be provided to those who provide the relevant proof of identify at the start point of their learning event. The requirements for ID provision will be communicated to learners on the applicable Joining Instructions.

Delivery staff are required to check, validate, endorse, copy and retain evidence of this process being completed with the completed course packs.

Permission to copy and retain personal information (such as Identification) must be procured and confirmed for each learner. Should any learner with not to provide PMTandA with this permission [Decline], they will be unable to complete the event and should be Turned Away; with the turn away process followed in this instance in line with this manual.

The Assurance Organisation specifies the applicable acceptable forms of ID for Assured events, these include:

- I. Sentinel Card
- II. Full Driving Licence
- III. UK Provisional Photo Card Driving Licence
- IV. Passport
- V. Biometric ID Card
- VI. Resident Permit
- VII. Vall Date Card
- VIII. Vircarda Virtual Sentinel Card
- IX. ORR Warrant Card / BTP Warrant Card

X. Official Prison Identification Card/Permit

Only the above forms of identification are acceptable forms for Assured RTAS events, all of the above must be “Current & Valid’ to be accepted.

To be “Current & Valid” the Identification used must meet the following criteria:

- I. Be the original/physical form of the identification [No photos or copies of the original]
- II. Be In date at the time of the check
- III. Be fully legible and in suitable condition to not obscure any detail (damage/fading etc).
- IV. Be genuine (show the security marks/holograms for the ID type) [additional details on these can be provided].
- V. Match & belong to the person/Learner attending the event

Once the forms of identity have been checked & endorsed, delivery staff can use the “Confirmation of Learner Identity Form” to document the learner’s permission to copy & retain the ID & to record their checking, endorsement and acceptance of the ID.

Original ID’s can be placed on the printed form and a full, clear photo taken to be retained in the course packs.

CONFIRMATION OF LEARNER IDENTITY FORM	
<b>Requirement to Copy Identification</b>	
In line with RTAS requirements we must confirm the identify of learners prior to starting delivery. Trainer/Assessors should use the form below to retain (photo or scan) a copy of the ID used and endorse this. Learners must also sign the form to provide permission to copy & hold identification.	
<b>LEARNER IDENTIFICATION</b>	
<i>(place ID below &amp; Sign – take photo and retain with course pack – 1 per Learner</i>	
<b>TRAINER/ASSESSOR DECLARATION</b>	
I can confirm that I have checked, verified and recorded this learner identity and endorse this for the delivered event.	
<b>LEARNER DECLARATION</b>	
I confirm this is my original ID, I give permission to PM Training to retain a copy of my ID for 7 years.	

### **8.2.1 Vircarda Virtual Sentinel Card [Guidance]**

When learners present a Vircarda Virtual Sentinel Card as Identification for attendance to events, there is specific guidance for delivery staff in what is required for this specific type of evidence to be deemed “current & Valid”.

The below process should be followed with Vircarda Virtual ID:

- I. The ID must be evidenced directly opened from the Vircarda App itself by delivery staff on the learner device.
- II. A screenshot can then be taken – this image should then be emailed to delivery staff member.
- III. The learner & Trainer should still sign the “confirmation of learner identify form” - with the comment “Virtual Card used – see screenshot” added to the ID section. This can be photographed as usual.
- IV. The signed identify form & the email containing the screenshot can be retained with the completed course pack

This process is aligned to the RTAS (NSAR) requirements as detailed in briefing updates received by PMTandA.

### **8.3 Pre-Requisite checks**

PMTandA will only deliver training to individuals which meet the relevant pre-requisites.

The perquisites for learners attending events will be included on the course joining instructions and are also contained on the event Course Information sheet within the TTK materials and within course templates in the Dante System

Delivery staff should ensure these are checked, confirmed & evidenced using the below process, this is to ensure there are no changes from the point of booking and to help ensure any errors are highlighted before the training event is completed:

#### **8.3.1 Sentinel Profiles**


Sentinel profiles will be provided and uploaded to the schedule by the administrators at the point of booking. Delivery staff should access these and ensure that checks are conducted to ensure no changes have occurred. This can be competed via the sentinel database system.

To meet the requirements of the RTAS rules, the Sentinel profile retained should be:

- I. In advance of the event start time – the timestamp on the top left should not exceed the documented start time recorded on the register
- II. A full print out of the Learners Sentinel Profile (Front page) – showing details/competencies.
- III. Additional pages may be required for evidencing of “Events” being logged if applicable

DETAILS Saturday 06 December 2025 13:55 PRINT

### Worker's Details



Virtual card Not issued

Physical card Received By Sponsor  
Issued date: 07/11/2013

**Name**  
[Redacted]

**Sentinel Number**  
[Redacted]

**Date Of Birth**  
[Redacted]

**Status**  
Operational

**Primary Sponsor**  
[Redacted]

**Sub-Sponsors**  
none

**Can Spot Check**  
No

**Can Swipe Cards**  
Yes

### Competences

Category	Alias/Competence	Valid	Expiry Date	Reason
Track Safety	(PTS) Personal Track Safety	✓ Valid	18/03/2026	
Track Safety	(PTS AC) AC Lines	✓ Valid	18/03/2026	
Track Safety	(PTS DCCR) Working Near or Adjacent to the DC Conductor Rail	✓ Valid	18/03/2026	
Track Engineering	(Tr 00) Track Induction	✓ Valid	09/05/2065	

Delivery staff should complete checks to each profile, including sponsor, competencies, medicals and Drugs & Alcohol certificates are present and in line with event requirements.

Confirming these checks on the Dante trainer app when completed and retaining the Sentinel profile used with the course pack also.

**RC** **Ross Clark**  
Volker Rail DEMO - DO NOT SEND

Status Delegate Files Replace Custom Fields Signature

**Course Register / Timings & Swipes**

Command Of English

Pre-Requisite Checks Conducted

If any changes are identified between the profile provided at the point of booking and the delivery start date, the new profile should also be retained and uploaded with the event.

#### 8.4 Completion of E-learning

Should the completion of E-learning prior to attendance be applicable for the event, then learners will be informed that evidence of this completion must be provided to delivery staff for checking and confirmation.

Delivery staff should check and validate the completion of E-learning prior to starting the delivery [Date of completion].

Learners who cannot provide this evidence at that start of the event should be turned away from the event.

E-learning evidence can include:

- I. A physical print out of the original certificate
- II. An email of completion which contains the certificate (which should be emailed to the delivery staff member).
- III. A photo taken by the delivery staff member of the original certificate.
- IV. Evidence from the E-learning system which shows successful completion, including date.

The evidence used for E-learning certificates should be retained and uploaded in the trainer app with the completed course pack, this includes any emails.

### **8.5 Work Experience Records [Recertification / Assessment Events]**

For recertification events the learners may be required to provide evidence of sufficient work experience, The evidence required and amount will vary between events, this information will be contained within the event TTK course information sheets and applicable Industry CTM Competency Standards.

Delivery staff will conduct checks to work experience records and retain copies of all evidence used with the completed course packs [with originals being returned to learners].

Examples of the types of work experience records and associated guidance is provided below:

- **Sentinel Database – Competency Usage Records**

The Sentinel Database can be used to check the competency usage of any individual, using the Logbook section which is accessible to Trainer/Assessor & Training provider Sentinel login accounts.

Only events which have recorded the use of the competence [Competence Column] within the applicable timescale for the event can be used and accepted.

A screenshot [Print screen / Snip Tool] of the sentinel logbook should be taken and retained with the course pack. This image should include the full screen as viewed and clearly show the number of entries and all applicable column/dates for the records.

Exports into CSV files from sentinel databases are not acceptable by the Assurance Organisation.

- **Physical Work Experience Records (Logbooks / Log Slips / SWPs etc.)**

Learners may also bring with them physical evidence of work experience. These can vary dependant on the event and what is deemed as acceptable will also vary between events; delivery staff should familiarise themselves with the acceptable evidence and amount for the event.

Examples of physical records can include:

- A. Logbooks [Blue logbooks]
- B. Log Slips

- C. Completed SWPs
- D. IRSE Log Book
- E. Internal Work experience forms [Signed off by line manager]

Guidance for delivery staff when using physical work experience records:

- I. Take a photo of the evidence with the learner's sentinel card – this can help make it easier to identify which evidence belongs to which delegate in the group for verification & pack checks
- II. Return the original to the learners upon completion of checks & photo retention for course packs
- III. Blue logbooks should have line managers signatures present
- IV. Check the dates on events
- V. Look for signs of forgery (tipex / crossed out dates / signatures / ink still wet / crossed out names / alterations to dates)

Any evidence for work experience should be retained and uploaded with the completed course pack in the Dante trainer app.

## 8.6 Command of English Language / Literacy

In line with the RTAS/NWR rules and applicable event pre-requisites, Training and Assessment will only be provided to individuals who are able to read and speak English and demonstrate their ability to communicate effectively throughout the course.

To ensure this process is followed Assured Individuals delivering the event will assess the command of English of delegates attending events. This will be done through verbal communications and interactions with learners during the initial induction to learning.

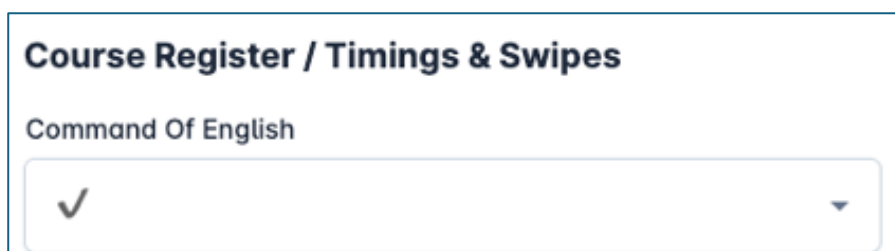
If delivery staff feels that the command of English is not suitable, or has any doubts, then a second individual can be utilised [ideally a member of SLT or other Assured Individual].

This 2<sup>nd</sup> person should review the learners command of English also to provide a 2<sup>nd</sup> opinion.

If a 2<sup>nd</sup> person is not available the delivery staff member should take the responsibility and make a decision on their own professional opinions, ensuring these are documented.

If the command of English is deemed to be not suitable then the learner shall not be permitted to continue on the delivery event and they should be turned away.

Delivery staff must record the outcomes of these checks, which also evidences these being conducted, on the Dante trainer app.



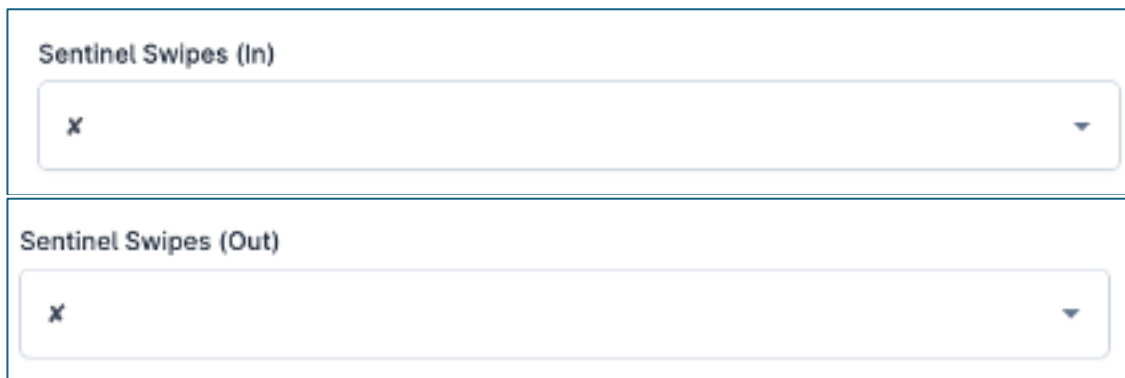
The image shows a screenshot of a software interface titled "Course Register / Timings & Swipes". Below the title, there is a label "Command Of English" followed by a dropdown menu. The dropdown menu is open, showing a checkmark icon on the left and a downward arrow on the right, indicating that the selected option is "Command Of English".

## 8.7 Swiping of Individuals

As per the RTAS & Sentinel Scheme Rules all individuals who are conducting work duties using Sentinel based competencies must be swiped in & out of their shifts. The RTAS & Sentinel Scheme Rules include the attendance and delivery of Assured events as work duties.

Therefore, all Learners attending delivery events and all Assured Individuals involved within the delivery of that event will be Swiped IN & OUT of the event each day, and evidence of this will be retained with the completed course pack and uploaded into the Dante trainer app.

To document when this has been achieved there are specific sections for identifying if swiping has been completed for each day within the Dante trainer app.

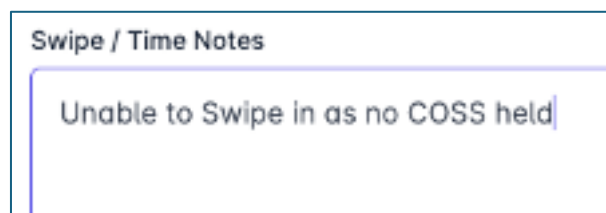


The image shows two rectangular boxes stacked vertically. The top box is titled 'Sentinel Swipes (In)' and contains a dropdown menu with an 'x' icon and a downward arrow. The bottom box is titled 'Sentinel Swipes (Out)' and also contains a dropdown menu with an 'x' icon and a downward arrow.

There may be occasions in which the delivery staff are unable to complete the Swiping of themselves and/or the delegates, potential reasons include (not exhaustive list):

- Delivery staff not holding COSS
- Bugs within the Sentinel System
- Maintenance being conducted on the Sentinel system
- Technology failure or broken

In these circumstances the Dante trainer app has a specific section for documenting issues with the swiping process, delivery staff should ensure that sufficient detail is provided.



The image shows a rectangular box with a title 'Swipe / Time Notes'. Below the title is a text input field containing the text 'Unable to Swipe in as no COSS held'.

The definition of “Swiped IN/OUT” as per the RTAS rules is:

*“The act of using the Sentinel Smart Card to electronically record within the Sentinel Database the date, time and location that an individual accessed and egressed to and from premises subject to the Sentinel Scheme Rules”.*

With this in mind the evidence retained must therefore include this information. Delivery staff should use the Sentinel App to Swipe themselves and all learners in & out each day.

Screenshots can be taken which show the relevant information along with evidencing the process has been completed.

Alternatively, the Sentinel Database system can be used with the applicable dates being selected and a screenshot [snip tool/print screen] being retained. This must show the full details required for all individuals attending the event.

Exports into CSV files from Sentinel are not acceptable by the Assurance Organisation and should not be used as course pack evidence.

## **8.8 Training & Assessment Materials**

In line with the RTAS/NWR Rules, the PMTandA Leaders & Managers will provide managed access for Assured Individuals to the required event materials from the Network Rail Training Toolkit [TTK].

PMTandA are provided a single login to the TTK materials portal, this login will be managed by SLT, who will download the latest versions of the TTK and upload these to the Drop box & TTK folder within the resource vault. URL links will then be uploaded into the applicable Dante course template.

Regulatory or authority bodies (NWR/Master Vendors) – may also provide and issue the latest training materials directly to PMTandA. These will be uploaded to the internal systems in the same way as any directly access materials through the NWR TTK login.

Assured individuals will only be permitted access and use of the event materials for which they are required to use [events in which they hold approved capability for]. This is achieved through the URL links provided in the trainer app. The TTK folder within the resource vault is protected, with access granted through the URL link.

The Sentinel login will not be shared, and the password control and access will come under the same data protection and security controls as any other internal PMTandA system and policy.

SLT will be notified of any new TTK materials, these will be updated and a briefing cascaded and assured individuals will be required to complete and confirm the following by confirming the briefing update:

- I. That they have received and reviewed the new event materials
- II. That they understand the requirements & expectations relating to them in the latest TTK materials
- III. That they have deleted/Archived the previous TTK materials held, and these will no longer be used.
- IV. That any hard copies of documents from the previous TTK materials have been destroyed securely.

Assured individuals must only use the latest current and latest versions of event materials from the TTK issued to them.

Assured individuals must deliver the full content of the event as documented within the relevant TTK materials and associated lesson plan / session plans and Course Information

sheets and in line with internal PMTandA procedures and expectations relating to quality & compliance.

Sensitive documents [knowledge assessment papers / practical assessments / model answers] must not be left unattended with learners present in the room. These materials when not in use, or when the trainer is not present with them should be stored securely until required during delivery.

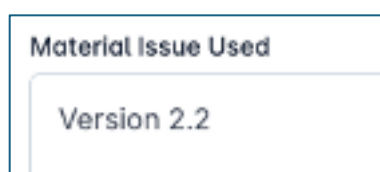
Delivery staff must ensure that all the required training & assessment documents are used and fully completed by learners and delivery staff as per lesson plan requirements.

The process for the delivery & completion of the event will follow the events individual lesson plan requirements and also be aligned to the individual needs of the learners in the cohort.

Trainers may adapt the natural flow and delivery resources and teaching strategies, but the overall content requirements (knowledge criteria / Practical Requirements and scope of delivery) must be completed as a minimum and will be recorded on the progress record.

All completed training and assessment materials must be collated and retained with the completed course pack and uploaded to the Dante trainer app.

Delivery staff are required to document which version/issue of the TTK materials they used for that event on the trainer app; this will form part of the Internal & External verification process to ensure compliance with the use of TTK materials on events.



## 8.9 Knowledge & Practical Assessments

To ensure best practice and adherence to RTAS/NWR rules the below process should be completed by delivery staff for all summative assessments being completed by learners

- **Practical Assessments**

Requirements must be briefed out to learners before beginning the assessment, this should include the requirements to success and the assessment methods to be used.

Assessment outcomes are to be recorded on the applicable Training Toolkit [TTK] documents and must be fully completed. All signatures and completion of assessment documents must be original and completed individually  
*(no photocopying of signatures / no pre-filled signatures is permitted).*

Delivery staff should follow the practical assessment guidelines found within the Lesson Plan for the event for times and re-attempt permissions.

Any delegate who requires a re-attempt should receive feedback initially and be provided some time to reflect before their 2<sup>nd</sup> attempt. This should be recorded on the Assessment Review sheet to evidence the process used.

- **Knowledge Assessments**

Prior to completing the Knowledge Assessment(s), delivery staff should conduct an initial assessment briefing with the learners(standardised deck). This briefing process should include the following criteria:

- I. The Assessment Requirements [time / total marks / Pass Mark / Question type (open/multi etc.)]
- II. The process for communicating outcomes [Pass / Fail / NYC etc – what happens next?]
- III. The process for making changes to answer papers if mistakes are made
- IV. The rules & expectations for behaviours & conduct during the assessment
- V. The appeals process
- VI. Assessment environment controls (spacing / noise / worksheets / handing in / support etc.)
- VII. Any ALS requirements and/or reasonable adjustments

Any answer changes must be dated & initialled by the delegate only.

All assessments must be completed in Pen only.

Marking will be conducted upon the learner handing in their assessment paper and will be aligned to the model answers as provided in the TTK materials.

Once a learner has handed in their assessment paper, they will be instructed to leave the assessment room. They cannot return to the assessment room after this point.

As a best practice the following process will be used for mark making on assessment papers, this is to help identify who has made what mark on the assessment paper to verifiers:

- A. Learners = BLUE / BLACK Pen
- B. Assessors = RED Pen
- C. Verifiers = GREEN Pen

Assessment reviews form part of the knowledge assessment process and must be fully completed for each incorrect answer (if the learners end score meets this requirement).

## **8.10 Communicating Assessment Outcomes**

All learners should be provided effective feedback (Constructive & Developmental). This is regardless of the outcome of the assessment.

This feedback should be completed on a 1-1 basis in a secure environment.

For learners who have achieved success during the assessment they should be issued with and provided with an explanation of the relevant competency requirements sheet (if available in TTK). This should be signed to confirm it has been communicated & provided by both delivery staff & the learner and a copy retained in the course pack.

As a best practice any certificates of achievement that are issued to learners, a copy of these should also be retained with the completed course pack. If certificates are not contained within the issued TTK materials, administrators can issue internal PM certificates to successful learners during the post course administration process.

For those who are unsuccessful and do not meet the requirements for competency to be achieved the following process and documents must be completed & retained with the course pack:

#### **8.10.1 Post Course Training Objectives Sheet [PCTO]**

For any learner who is unsuccessful and does not meet the requirements for competency, delivery staff must complete a PCTO for the learner.

This should include Information, Advice & Guidance to the learner on elements which they should look to improve on to help them prepare for their next attempt.

The original must be provided to the learner and a signed copy retained with the course pack and uploaded into the trainer app.

For any instance in which the learner refuses to sign or does not accept/take the PCTO this should be documented on the PCTO sheet and kept with the pack still.

#### **8.11 Notification of Results & Certification**

PMTandA have nominated the administrators to be the nominated individual(s) who award training/assessment result to the Sentinel Database upon successful completion.

Administrators will be provided with their own Training provider login to the Sentinel Database.

This will allow uploading of awards to learners Sentinel Profiles to be completed and also enables administrators to retain the required evidence for the completed course packs.

Sentinel logins are specific to the Individual and therefore must not be shared. Any login provided to Individuals will fall under the PMTandA IT security / Data protection policies. A member of SLT should be contacted for any issues relating to Sentinel Access.

Delivery staff & Administrators have a responsibility to ensure the correct completion and awarding of event following delivery. Training on this process will form part of the assured individual's mentorship and upskilling process, as applicable to their role.

Before communicating results, delivery staff must have collated and checked all the required course pack documents and any other supporting evidence as applicable to the event.

As per RTAS/NWR PMTandA must ensure that result notifications are uploaded within 21 days of the date of achievement [assessment date]. Internally PMTandA aim to process the results upon uploading of the event into the Dante System.

Should the uploading of results exceed 21 days in total, or if there are any errors made by PMTandA staff while uploading. These must be reported immediately to SLT. A data correction can be completed and provided to Sentinel, along with a copy of the register used for the event.

Any documents / communications relating to a Data Correction must be retained with the completed course pack. Data Correction are subject to review from the Assurance

Organisation and may impart additional admin fees to PMTandA. The use of Data Corrections will be monitored internally and should be a last resort only.

If a learner is unsuccessful during an assessment, the “Not Competent” status must be applied to the Sentinel database immediately after the completion of the event. In line with the Life Saving Rules, an individual who is unsuccessful in an assessment must not be permitted to work on NRMI without the necessary competence. Any delay to this notification can result in a breach of Health & Safety legislation, possible leading to significant safety consequences.

Delivery staff must ensure that the Results Summary sheet is fully completed and accurately shows the required results to be uploaded, administrators will upload the results as documented:

Event Title		Trainer/Assessor		Location	
SFI Level 1 Failure & Incident Testing		Daniel Skinner		The Courtyard Granary, Standard Street, Crickhowell, Powys, Wales, NP8 1BP, United Kingdom	
Learner Name	Sentinel	SMTH.A	SMTH.B		
1 Tina Test	1234567	DNA	DNA		
2 Ross Clark	655369	L3	L3		
3 Tracey Tester 1	1234567	L2	L2		

This must be uploaded to the trainer app with the remainder of the completed course pack documents.

PMTandA administrators can use one of the following methods as suitable evidence of notification to be retained with the course packs:

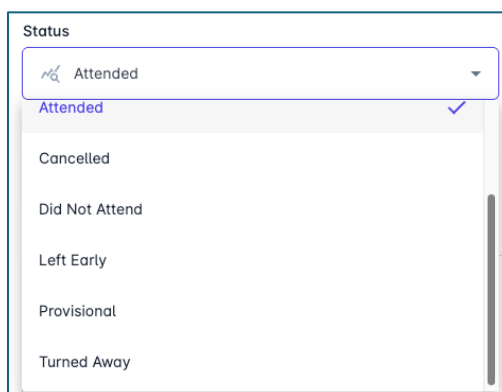
- I. A screenshot of the result page following all uploads (showing green ticks / competencies / learner names)
- II. A repeat Sentinel profile (post event) showing the new competence(s).
- III. A screenshot of the Sentinel Report function with upload dates (showing all learners/competencies)

PMTandA staff must not use CSV exports to spreadsheets for evidence of result notifications as these can be easily manipulated and are not accepted by the Assurance Organisation.

## 8.12 Attendance & Turn Aways

In line with RTAS/NWR Rules the records of the reason as to when and why any delegate has been turned away from a Training and/or Assessment event must be recorded and retained with the course pack.

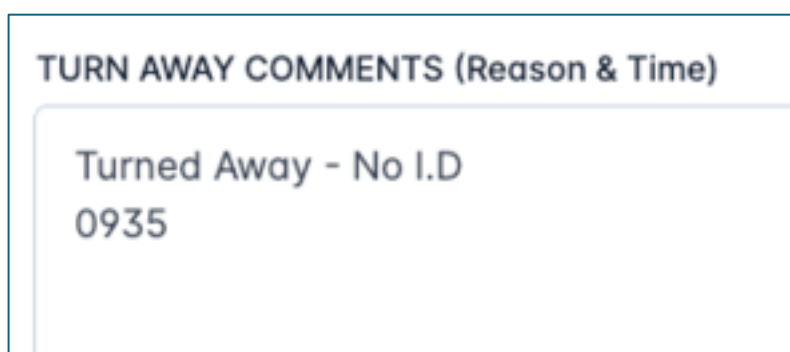
To achieve this PMTandA have a dedicated section with the Trainer app to record these:



Attendance/Status selections include:

- Arrived Late
- Attended
- Cancelled
- Did not Attend
- Left Early
- Provisional – *Default setting from admin booking*
- Turned Away

Some attendance/status will trigger automatic interventions from applicable staff within the PM Training and /or Elev8 Training office.



Delivery staff should use this section (along with the course register) to document and explain the detail behind any none-attendance or turn aways from events.

For Turn Aways the reason and Time must be recorded, reasons for turn away may vary, but the most common reasons for turn aways on assured events are:

- I. No ID / Insufficient ID
- II. No Evidence of E-Learning

- III. Pre-requisites not met (Sentinel / competencies / Work experience records / Medical / DOA)
- IV. Lack of PPE for the task
- V. Inappropriate Behaviours & Attitudes
- VI. Significant Lateness to event
- VII. Full Attendance not achieved
- VIII. Insufficient Command of English
- IX. Failure of any Verification tests which require completion to continue event

For any Failure to attend the PMTandA Administrator will be notified to inform them of learner none-attendance. Contact can then be attempted to the learner and/or their sponsor to determine the reason and communicate the next steps.

PMTandA will always allow learners the opportunity to succeed within the provision and understand that unsuspected events can cause delays and impact attendance/arrival to events.

It is important however that all elements of the lesson plan content/scope of delivery are completed by all learners.

Therefore, any learner who arrives to the training centre more than 30minutes late may be deemed to have a significant lateness and required to be turned away from the event.

### **8.13 Provision of Additional Learning Support [ALS] or Special considerations / Reasonable Adjustments**

PMTandA will provide all learners with suitable and relevant Additional Learning Support [ALS] and suitable reasonable adjustments to ensure an equal opportunity to success is provided to all learners in the provision.

ALS and reasonable adjustment information requests will be included in the Joining Instructions provided to learners/Sponsors & within the E-forms & inductions to learning.

This provides opportunities for individuals to disclose any known support measures required and to inform PMTandA of any adjustments to consider.

ALS and reasonable adjustments will also be discussed by delivery staff to learners during the induction to learning briefing conducted at the start of the event and form part of the pre assessment briefing to delegates and can be recorded in the Learner ILP forms.

When providing reasonable adjustments to individuals on assured events these will be in line with the applicable RTAS/NWR rules which can include:

- I. Provision of a reader and/or a scribe
- II. Use of electronic innovations such as reader pens
- III. Provision of alternative documents (Large print / Coloured print).
- IV. Any reasonable adjustment provided must be in the English language only

PMTandA have a dedicated section contained in the trainer app & Dante system which is designed to document and record the provision of ALS and any reasonable adjustments made during the event.

### Learning Support / Reasonable Adjustments Provided

Provided Colour filters for support with Dyslexia - as stated in PM Training Passport.

Provided extra time for Planning (reading scenarios)

If any reasonable adjustment / ALS provisions are declared during the booking confirmation process, the Rail Administrator will highlight the requirement for a “PM Passport” to be created for the individual learner. Contact will be made with the internal representative for L&D and the PM Passport can be created.

PM Passports held on any delegate associated with the event will be uploaded to the trainer app by administrators. Delivery staff should review the information contained within the profiles to ensure effective support can be provided.

Delivery staff should have additional conversations with learners regarding the requirement for the support and what support would be suitable and can be provided during the event also.

Delivery staff should complete the ALS section of the trainer app and record these conversations. This should include any instance in which support was offered to learners and whether this was accepted and/or declined.

Should a reader and/or scribe be provided the following process will be completed:

- I. The reader/scribe should not be a competency holder themselves for the event being delivered
- II. The reader/scribes name should be added to the Trainer app ALS section
- III. The signature of the reader/scribe should be retained & kept with the course pack
- IV. The reader/scribe should not have any conflict of interest with the learner
- V. The reader/scribe will be an employee of PMTandA

#### **8.13.1 PM Passports**

PMTandA have an internal support mechanism in place which provides effective communication and documenting of individual support profiles for delegates.

Any learner who identifies as requiring and ALS requirements or special considerations / reasonable adjustments will have a PM Passport profile.

This internal profile document will record the specific needs and methods of providing support. These are created with support from the individual learner and will be provided to delivery staff

from administrators who will upload the passports to the specific event.

Delivery staff can use the information to provide effective support and can feed into the updating and monitoring of the passport contents for learners.

Specific questions relating to the support provided are also provided in the trainer evaluation E-form.

Administrators can update the delegate CRM within Dante to identify which learners have a PM Passport.

Course	Schedule	Course Location	Day	Dates	
STF 005	TS9301614	PMTandA: Crickhowell (Tech Trg Rm)	1 of 2	09-03-2026 - 10-03-2026	
STATUS	Delegate	Company	Status	Booking	PM Training Passport Profile
	GROUP BOOKING [1]	Test Company	PROVISIONAL	11	
	Ross Clark	Volker Rail DEMO - DO NOT SEND	PROVISIONAL	10	
	Tracey Tester 1	Volker Rail DEMO - DO NOT SEND	PROVISIONAL	10	✓

## 8.14 Course Pack Collation & Returning of Completed Course Packs

In line with the RTAS/NWR rules and internal procedures the evidenced used and completed during assured events must be effectively collated and returned.

This is to ensure compliance with the Assurance Organisation requirements and to allow effective post course administration and data analysis to occur.

Delivery staff have a 5-day KPI to fully complete all relevant documentation associated with their delivered event and to suitably collate and upload this to the event in their trainer app.

Some courses (NWR Employees / Master Vendor Bookings) – will require the registers and results to be provided within 24 hours. These should be uploaded immediately by delivery staff in these instances, to allow administrators to cascade these to the relevant outside parties.

Completed course packs should be in a logical order and uploaded to the specific event in the Dante Trainer app.

Completed PMTandA Course packs will contain (as applicable):

- I. Fully completed & Signed Booking Form (Pre-admin)
- II. Copy of Joining instructions used & evidence of communication (contained in Dante)
- III. Copies of learner Sentinel Profiles (in advance of the event – Pre-admin)
- IV. Copies of acceptable forms of ID (Endorsed & Permission from learners)
- V. Completed records of any Turn Away & None Attendance (Trainer app)
- VI. Copies of result notifications into Sentinel Database (Post Admin)
- VII. Completed Feedback & Evaluation forms (contained in E-forms)
- VIII. Completed Task Briefing forms & briefing forms
- IX. Swipe evidence for the event
- X. Completed Course registers
- XI. Evidence of deviations to GLH for the event

- XII. All Training/Assessment documents completed by learners
- XIII. Evidence of post assessment documents provided to learners (PCTO, Certificates, Route to competencies)
- XIV. Supporting evidence of any trackside event (SWP)
- XV. Copies of additional arrangements & procurement of equipment (Lifting plans, records of procurement for equipment, hire of facilities or plant etc)
- XVI. Completed Post Course Question Analysis (e-form)
- XVII. Provision of any ALS / Reasonable adjustments (trainer app / PM passport)
- XVIII. Copies of any work experience records used
- XIX. Copies of E-learning certificates
- XX. Any additional evidence relating to the event (communications, external dispensation, notes etc).

## 9 Post Course Administration / Retention

This section will explain the purpose & process which PMTandA uses to complete the Post Course Administration element following delivery of assured events. This will include the retention of complete course pack evidence and explain the working documentation and processes for compliance and quality monitoring.

### 9.1 Course Process checklist – Post Admin

Following uploading of the completed course packs from delivery staff, the PMTandA Administrators will work through the Post Course Admin process, this process will ensure that course packs have the required documents contained within them and transfer the raw data from course documents into the PMTandA Integrated Management System.

Within the Dante system for the scheduled event there is a dedicated section for recording the Post Course Administration activities, this will help administrators to ensure the required documents and systems are updated, before archiving the completed course pack appropriately.

This will also enable administrators to generate a fully completed course process checklist for the event once completed.

POST COURSE (ADMINISTRATORS TO COMPLETE)		
Registers [PM & NWR] - fully completed & signed	Risk/TBS Sheet [PM & NWR] - Signed by Learners	Delegate Results Summary - fully completed
Update SMTH Spreadsheet	Copies of ID Retained for All Learners	Results Upload Evidence - completed & retained
Swipes Evidence - All individuals for each day	Knowledge Assessment(s)	Assessment Review(s)
Practical Assessment(s)	PCTO (if applicable - Failures)	Certificates of Achievement (if applicable)
Send Registers & Course Pack to NWR/Intertrain	Course folder Created in Drop box	All Documents added to Course Folder in Drop Box

Event Title		SFI Level 1 Failure & Incident Testing		Trainer / Assessor	Daniel Skinner	Location	Details to be provided by NWR/Intertrain in separate Joining Instructions before the training is due to commence, United Kingdom
Start Date	03/03/2026	End Date	03/03/2026				
TASK	Complete?	Delivery Pack & Course Pack Checks		PRESENT			
Course Materials Prepared & Checked	✓	Registers [PM & NWR] - fully completed & signed		✓			
Classroom Check Form Submitted	✓	Risk/TBS Sheet [PM & NWR] - Signed by Learners		✓			
Introduction to Learning Completed * Pre-req checks/profiles *Copies of ID *Copies of Work Experience/Log books * Copies of E-learning certs	✓	Delegate Results Summary - fully completed		✓			
		Update SMTH Spreadsheet		✓			
		Copies of ID Retained for All Learners		✓			
		Results Upload Evidence - completed & retained		✓			
Learner Pre-Learning Forms Completed	✓	Swipes Evidence - All individuals for each day		✓			
Learner ILP Forms Completed	✓	Present For Each Learner?					
Training Delivery completed in line with Lesson Plan / TTK Requirements	✓	Knowledge Assessment(s)		✓			
		Assessment Review(s)		✓			
		Practical Assessment(s)		✓			
		PCTO (if applicable - Failures)		✓			
Assessment Brief Completed * Assessment conducted in line with Lesson Plan / TTK requirements	✓	Certificates of Achievement (if applicable)		✓			
		Post Admin Task					
Learner Post-Learning Forms Completed	✓	Send Registers & Course Pack to NWR/Intertrain		✓			
Learner Feedback Forms Completed	✓	"Course folder Created in Drop box (Completed Courses)"		✓			
PCQA Form Completed	✓						
Trainer Evaluation Form Completed	✓	All Documents relating to delivered event added to Course Folder in Drop Box - Ready to IV/Archive		✓			
Results Logged & Evidence Retained	✗						
All Docs Collated & Uploaded to Dante	✓						

These course packs checks are not classed as internal verification, their purpose is to conduct an initial sense check to determine the presence of documents within the pack, not the quality of completion.

This is to allow any missing elements to be quickly identified and rectified prior to formal internal verification should the pack be selected and archiving within the IMS.

## 9.2 Retention of Documents

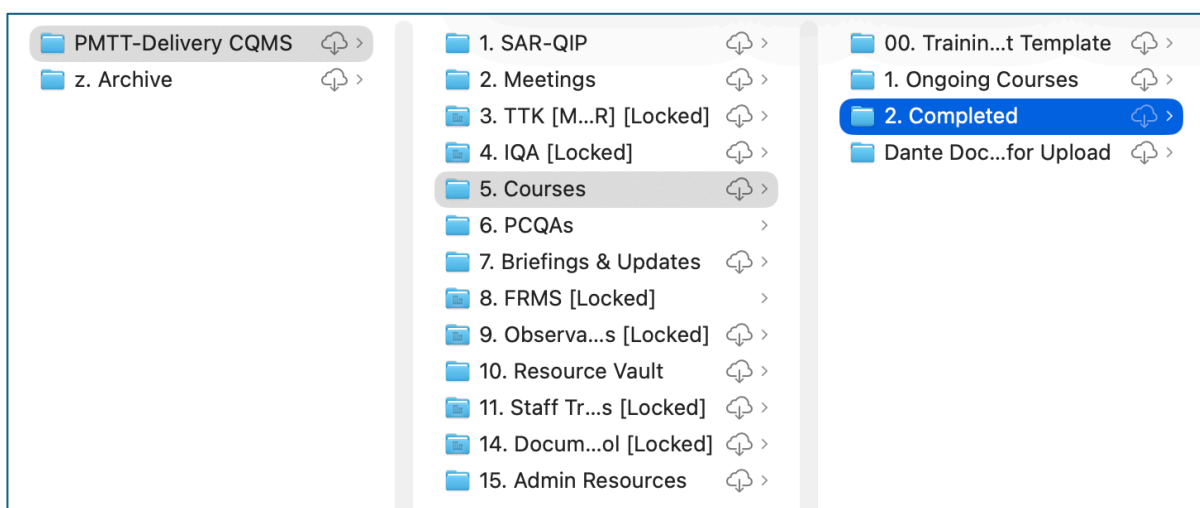
All completed course pack documents will be archived in a dedicated Archive location within the PMTandA IMS folder. Any physical copies of course packs will be returned to the PMTandA head office.

All documents relating to the assured delivery of events will be retained by PMTandA for a period of no less than seven (7) years from the date of creation and/or amendment.

PMTandA will provide any requested documents/course packs relating to assured delivery upon the request of the Assurance Organisation and/or Network Rail within a twenty-four (24) hour period of the initial request being made.

Any requested course packs requiring to be transferred may be converted into electronic records [PDF]. Where this is completed, checks will be made to the scanned versions to ensure they are of a good visual and readable condition.

Electronic versions of documents will be held on the PMTandA shared drive contained within Drop Box (cloud-based server), and suitable file names will be given to aid in referencing the document.



## 9.3 Return of Documents / Inventory

In the event of PMTandA ceasing trading or its Assurance being withdrawn, the leaders & managers of the provision will ensure the return of records will be managed in line with the RTAS – Assured Provider Records Transfer Appendix V1.0 Document.

This will include the transfer of documents and completion of inventories within the documented timescales and process within the Appendix section of the RTAS rules. The overview of this process includes:



Should PMTandA fail to adhere to this process or return the relevant RTAS Assured records, this may result in sanctions being placed on PMTandA by Network Rail, which may include suspension of any associated Sentinel Sponsorship account(s).

## 10 Internal Quality Assurance / Verification

This section will explain the process used for the Internal Verification used for RTAS assured Training and Assessment delivered events. The process has been designed to ensure adherence to the applicable industry standards, practices and Assurance Organisation's rule sets; these include:

- I. NR/L2/CTM/202
- II. RTAS Rules

### 10.1 Role of Internal Quality Assurers [IQAs] & the Verification Process

**IQA/Verifier** - A competent individual who has detailed understanding of the assessment processes, techniques, methods and recording requirements. The verifier is the individual that reviews the assessment process and confirms assessment decisions.

This individual will be responsible for the completion of verification activities in line with this manual, including providing feedback to the Assured individuals and contributing to wider IQA initiatives within PMTandA as required by leaders & managers (standardisation events / CPD / observations etc).

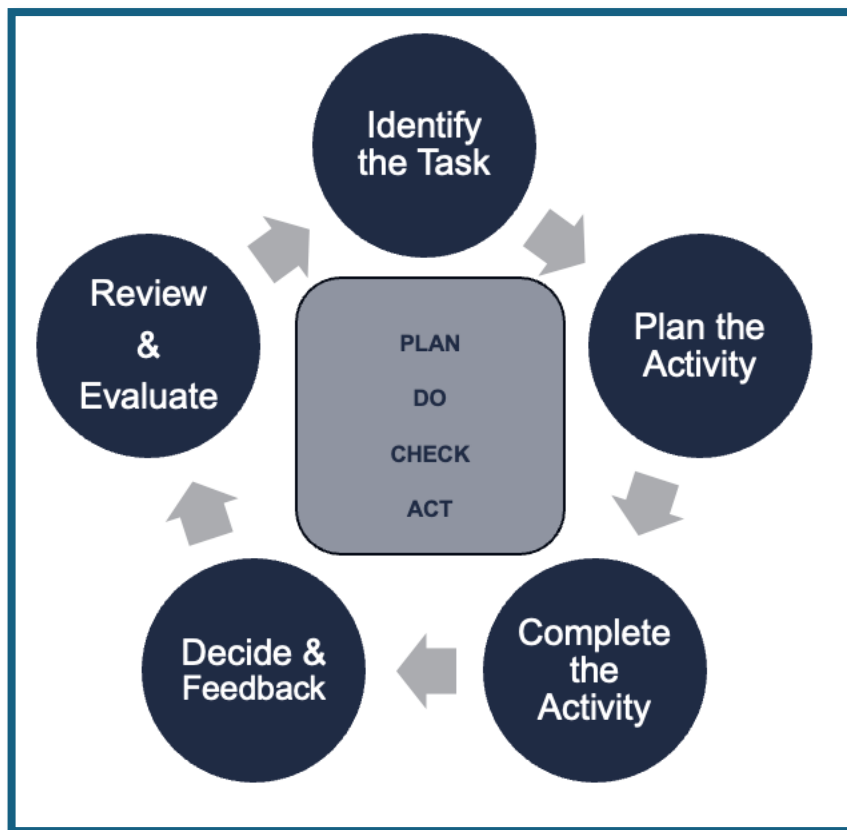
**Verification Process** – A process by which the verifier undertakes internal quality assurance of assessment processes and practices.

The PMTandA process has been designed to confirm through systematic risk-based sampling the quality and consistency of assessment decisions made, and practice utilised by all Assured individuals undertaking competence assessment using Competence Standard and/or Network Rail Training and Assessment materials.

The PMTandA verification process has been created to document and implement a verification process that determines whether:

- I. Assessors understand & operate in accordance with the requirements set in the applicable industry standard and rule sets
  - a. [NR/L2/CTM/222] / [NR/L2/CTM/202] / [RTAS Rules] / [Network Rail TTK] / [Sentinel Scheme Rules]
- II. That consistent assessment decisions are made by assured individuals within the provision
- III. That assessment practices are followed for evidence collection, relevance, authenticity and currency (as per above documents & internal operating procedures for delivery within this manual).
- IV. That assured individuals are provided with feedback following verification activities
- V. That assessment decisions are process within the required timescales
- VI. That verification records are available, maintained, complete and auditable
- VII. That assessments are compliance with the relevant industry standards/RTAS rules

## 10.2 PMTandA IQA Cycle



PMTandA have created a verification process which is aligned to wider educational IQA (Work Scrutiny) practices and expectations but also tailored to meet the specific industry requirements as specified by industry standards and the Assurance Organisation and in line with the ISO 9001 requirements and quality process.

The IQA cycle is formed around a 4-stage process:

- I. **Plan** – *Identify the activity required & create a documented plan*
- II. **Do** – *Complete the activity and communicate the outcome/requirements*
- III. **Act** – *Implement the action*
- IV. **Review** – *Review and evaluate the effectiveness/impacts of the process used*

This process has also been aligned to wider formal quality and assurance processes used within the Quality & Compliance industry to ensure suitability and robustness of the process.

*(BS EN ISO19001:2018 Guidelines for auditing management systems]*

## 10.3 Plan – Sample Planning

PMTandA use a systematic risk-based approach to the sample planning of verification of completed RTAS course packs.

This process has been designed to meet the regulatory requirements and provisional requirements for the type of delivery being conducted at PMTandA.

Sample planning is formed through the calculation of an “Overall Risk Rating” score. This score is determined through the reviewing of 3 main risk factors:

- I. **Experience Risk**
- II. **Frequency of Delivery**
- III. **Performance Risk**

Each of the main risk factors have their own rationale:

**RATIONALE**  
*systemic risk based calculation*

THIS RISK FACTOR IS FOCUSED ON THE LENGTH OF TIME THE TRAINER HAS BEEN DELIVERING TRAINING & ASSESSMENT EVENTS . AS THIS FACTOR IS TIME BOUND THIS POSES A LOWER WEIGHTING THAN THE OTHERS. HOWEVER IT IS EXPECTED THAT NEWER TRAINERS POSE A HIGHER RISK THAN EXPERIENCED TRAINERS.

THIS RISK FACTOR IS FOCUSED ON THE FREQUENCY OF DELIVERY FOR THE ASSURE INDIVIDUAL. THIS ELEMENT CAN BE INFLUENCED BY THE NATURE OF THE EMPLOYMENT STATUS OF THE INDIVIDUAL AND INTERNAL ROLES WITHIN THE PROISION. THE MAIN RISK WITH FREQUENCY OF DELIVERY IS SKILLS FADE / TRAINING MATERIAL UPDATES.

THIS RISK FACTOR IS FOCUSED ON THE INDIVIDUALS PERFORMANCE IN PRACTICE, AND IT IS LINKED TO THEIR PREVIOUS IV REPORT RATINGS (AVERAGE). THIS POSES THE HIGHEST WEIGHTING TO THEIR SCORE. THIS FACTOR IS DIRECTLY AFFECTED BY THE INDIVIDUAL THEMSELVES AND HEAVILY INFLUENCES THE OVERALL SCORE

Each of the three (3) risk factors above are RAG rated, with set criterion to help ensure a standardised approach is achieved. These risk factors are also “Weighted” in relation to their significance and contribution to the Overall Risk Rating score, and risk they bring to delivery quality & compliance.

The combination of these individual risk factors calculates the individual Overall Risk Rating, which in turn determines the sample size for the next month for that individual. Each Assured individual has their own risk calculation within the IQA system.

RISK FACTOR	GREEN	AMBER	RED	RISK SCORING RAG CRITERIA	
	EXPERIENCE RISK	1	2	3	ASSURED INDIVIDUAL STATUS HELD FOR >36 MONTHS
				ASSURED INDIVIDUAL STATUS HELD BETWEEN 12 - 36 MONTHS	AMBER
				ASSURED INDIVIDUAL STATUS HELD FOR <12 MONTHS	RED
FREQUENCY RISK	2	4	6	LAST DELIVERY WITHIN 3 MONTHS	GREEN
				LAST DELIVERY BETWEEN 3 - 6 MONTHS	AMBER
				LAST DELIVERY >6 MONTH	RED
PERFORMANCE RISK	4	8	12	AVERAGE OF LAST IV SAMPLE = GREEN PACK	GREEN
				AVERAGE OF LAST IV SAMPLE = AMBER PACK	AMBER
				AVERAGE OF LAST IV SAMPLE = RED PACK	RED

OVERALL RISK RATING		
<b>G</b>	<b>SCORE 7-10</b>	<b>LOW RISK - IV 10% of COURSE PACKS</b>
<b>A</b>	<b>SCORE 11-14</b>	<b>MEIUM RISK - IV 50% of COURSE PACKS</b>
<b>R</b>	<b>SCORE 15-21</b>	<b>HIGH RISK - IV 100% of COURSE PACKS</b>

Internally created management systems have been created for verification sampling – which include sample size based on the risk factors. Sampling will occur every month, with the previous risk outcome driving the following months sample size.

		ANDREW MARTIN			
JANUARY	JANUARY		MONTHLY VERIFICATION OUTCOME		
	RISK RATING FROM PREVIOUS MONTH		EXPERIENCE RISK	<b>G</b>	<b>1</b>
	<b>MEDIUM</b>		FREQUENCY RISK	<b>G</b>	<b>2</b>
	EVENTS DELIVERED PREVIOUS MONTH	<b>7</b>	PERFORMANCE RISK	<b>A</b>	<b>8</b>
	SAMPLE SIZE		CURRENT MONTH OVERALL RISK RATING		
	<b>4</b>		<b>11</b>	<b>MEDIUM</b>	
FEBRUARY	FEBRUARY		MONTHLY VERIFICATION OUTCOME		
	RISK RATING FROM PREVIOUS MONTH		EXPERIENCE RISK		
	<b>MEDIUM</b>		FREQUENCY RISK		
	EVENTS DELIVERED PREVIOUS MONTH		PERFORMANCE RISK		
	SAMPLE SIZE		CURRENT MONTH OVERALL RISK RATING		
			<b>0</b>		

Sample planning will be conducted by the Quality Assurance Manager on a monthly basis, the verification planner will be used to identify any verification which is required to be completed and then allocate the selected pack to the next available Internal Verification Report [IVR] within the system, using the “Master Log” sheet.

PMTanda Creating a skilled workforce		PM TRAINING							
SAMPLE DETAILS									
IVR NUMBER	TRAINER NAME	TRAINER EMAIL	EVENT TITLE	COURSE START DATE	COURSE REFERENCE	VERIFIER ALLOCATED	VERIFICATION YEAR	MONTH OF VERIFICATION	RATIONALE
IVR 0001	ANDREW MARTIN	andrew@pmtanda.co.uk	SMTH Recert (NWR)	10/11/2025		ROSS CLARK	2025	DEC	ROUTINE
IVR 0002	ANDREW MARTIN	andrew@pmtanda.co.uk	SMTH Recert (NWR)	11/11/2025		ROSS CLARK	2025	DEC	ROUTINE
IVR 0003	ANDREW MARTIN	andrew@pmtanda.co.uk	SMTH Recert (NWR)	12/11/2025		ROSS CLARK	2025	DEC	ROUTINE

The course pack details added to the Master Log will automatically populate into the applicable IVR template.

A Verifier who is also a Trainer and/or Assessor shall not and will not verify their own training or assessment events.

### 10.3.1 Sampling Rationale

The reason for the course pack being selected is an important element to the sampling process.

To help document this PMTanda will select course packs for various reasons, which will be recorded in the Master Log, reasons include:

IQA SAMPLING RATIONALE	
<b>ROUTINE VERIFICATION SAMPLE</b>	Usual Monthly Sample selected from Risk Rating
<b>FIRST TIME OBSERVATION EVENT</b>	Sampled as part of First Time Observation process
<b>NEW CAPABILITY</b>	Sampled as New Capability for Individual
<b>TRIGGER</b>	Sampled due to issue (Complaint/Appeal/Internal or External Review)
The above table shows the reasons (Rationale) behind why the particular course pack has been selected for verification. The rationale for each sampled pack should be added to the Master Log. This information can be used to analyse how verification is used within the provision and form part of the overall IQA process.	

### 10.3.2 Sample Tracking

Within the Master Log a process tracker is available, which shows each step for the verification process, only when all elements have been indicated as YES will the status show as COMPLETED.

Delivery staff are encouraged to add comments to their completed verification reports; this is however optional and cannot be forced upon them. Should delivery staff not add comments then YES-TNC (trainer no comment), will document why this is blank within completed reports.



Each aspect of the IVR is required to have a RAG rating applied. These individual RAG ratings combine to determine the “Overall Pack Grade”.

Verifiers are provided with the RAG Rating criterion in the Guidance Sheet, this is to aid in standardisation and reliability of the verification process between verifiers, and includes:

<b>VERIFICATION TEMPLATE GUIDANCE</b>	
<b>G</b>	DOCUMENT IS PRESENT / ALL REQUIREMENTS FOR THE DOCUMENT AND/OR PROCESS HAVE BEEN FULLY MET IN LINE WITH RTAS RULES & INTERNAL PROCEDURES/EXPECTATIONS
<b>A</b>	MINOR ADMINISTRATIONAL ERRORS/FINDING - NOT RECURRENT THEMED (ISOLATED IN NATURE) - I.E MISSING DATE/SIGNATURE/ANSWER CHANGE/TICKS (NOT AFFECTING COMPLIANCE/OUTCOME)
<b>R</b>	MISSING DOCUMENTS / INTERNAL OR EXTERNAL REQUIREMENTS NOT FOLLOWED (COMPLIANCE) / PRE-REQUISITES NOT MET / TURN AWAY NOT IDENTIFIED / SWP COMPLETION / ANY INDICATION OF MALPRACTICE OR MALADMINISTRATION (MALICIOUS OR RECURRENT) / RULE BOOK BREACH

Feedback between the Verifier and Assured Individual is provided and recorded within the individual IVR template, along with evidence of any findings and requirements.

Sections within the IVR templates include:

- I. Course Information – *Event details & Verification Details*
- II. Verification – *Universal Compliance requirements*
- III. Course Pack Verification – *Course pack document completion*
- IV. GLH – *As per NWR Material, RTAS and internal requirements*
- V. Findings – *including screenshot of rules / extracts from packs etc*
- VI. Actions – *Previous & current*
- VII. Feedback – *Feedback to & from assured individuals*
- VIII. Declarations – *signatures of parties involved*
- IX. Cascade – *Process for cascading IVR*

### **10.5 Act – Actions & Interventions**

Within the System there is an “Action Log” sheet, this tracks all actions arising from verification activities and has the ability to port any open actions into applicable IVR templates.

Planners should use the filters to select the applicable person and any “On Going” actions. The port button can be pressed to highlight and send the applicable actions into the desired IVR.

Any new actions arising from verification activities can be ported back in the main Action Log from the IVR sheets also, this will add them to the bottom of the list.

Sections on the action log can record which IVR any actions were identified from and which IVR the actions were ported to for reviewing. If any action is deemed to be closed by verifiers, this can be recorded to document the close out process for verification findings.

ACTION DETAILS SECTION				SEND ACTIONS TO IVR		IVR ACTION WENT TO / OUTCOME	
COPY THESE COLUMNS (M:X) OVER TO THE IVR TEMPLATE. USE THE FILTERS TO SHOW THE APPLICABLE TRAINER & ON GOING ACTIONS  PRESS THE SEND ACTIONS BUTTON - HIGHLIGHT THE ACTIONS TO PORT INTO THE IVR AND INPUT THE IVR NUMBER (IVR####).  RESET FILTERS TO SHOW ALL AFTER USE				SEND ACTIONS TO IVR  (Ensure IVR#### format)		(If still ongoing then remove referred to data & send action to next verification report for staff) - If closed the add date of verification closure & update status.)	
ACTION REFERENCE	ACTION/DEVELOPMENT NEED	STAFF INVOLVED	TO BE ACTIONED BY:				
IVR0001/01	ENSURE THAT DELEGATES COMPLETE THE AGREE/DISAGREE SECTION ON	ANDREW MARTIN	NEXT SMTH RECERT	IVR0026	02/02/2026	CLOSED	
IVR0002/01	ENSURE THAT COPIES OF LOG SLIPS USED IN SMTH ASSESSMENT FROM	ANDREW MARTIN	NEXT SMTH RECERT	IVR0026	02/02/2026	CLOSED	
IVR0004/01	ENSURE COURSE REGISTERS ARE FULLY COMPLETED	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	CLOSED	
IVR0004/02	ENSURE BOOK NUMBERS ARE ADDED TO KNOWLEDGE ASSESSMENTS	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	CLOSED	
IVR0004/03	ENSURE THAT COPIES OF DELEGATE ID IS RETAINED & ENDORSED	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	CLOSED	
IVR0004/04	ENSURE THAT COPIES OF SENTINEL PROFILES ARE RETAINED IN ADVANCE OF	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	ON GOING	
IVR0004/05	ENSURE A CONSISTENT APPROACH TO MARKING IS COMPELLED	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	CLOSED	
IVR0004/06	LOOK TO RECORD ASSESSMENT REVIEWS ON STANDARDISED/DEDICATED	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	CLOSED	
IVR0004/07	ENSURE DELEGATES DATE & INITIAL ANSWER CHANGES ON KNOWLEDGE	RICHIE JONES	NEXT EVENT	IVR0033	03/03/2026	CLOSED	
IVR0005/01	ENSURE THAT COURSE REGISTERS / COURSE CHECKLISTS ARE FULLY	STEVE HEARD	NEXT EVENT	IVR0040	04/02/2026	CLOSED	
IVR0005/02	ENSURE THAT ALL ASSESSMENTS ARE FULLY MARKED	STEVE HEARD	NEXT EVENT			ON GOING	
IVR0005/03	ENSURE THAT COPIES OF DELEGATE ID IS RETAINED & ENDORSED	STEVE HEARD	NEXT EVENT			ON GOING	
IVR0005/04	ENSURE THAT COPIES OF SENTINEL PROFILES ARE RETAINED IN ADVANCE OF	STEVE HEARD	NEXT EVENT			ON GOING	

The action log contents also enable leaders & managers / Verifiers the ability to identify trends within individual delivery staff members, or events, locations etc., across the provision.

Helping to inform and plan wider IQA activities (Observations of TLA, Standardisation events, CPD and 1-1 review discussions).

### 10.6 Review – IVR Data Analysis

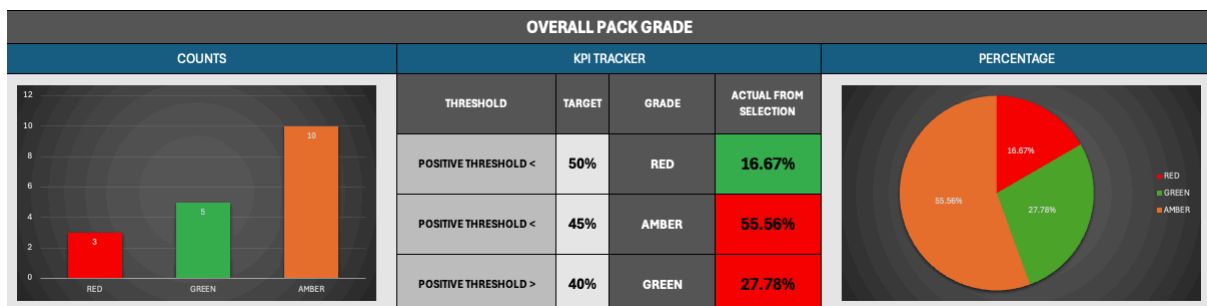
Within the PMTandA Verification Management System and from completion other IVR templates. A bespoke quality monitoring system has been created to enable effective evaluation of the Internal Verification process and provide sufficient data for a deep dive analysis to be completed.

This deep dive analysis can help identify trends from a variety of sources within the provision itself.

Within the data analysis system individual PMTandA KPIs can be allocated to elements within the IVRs. This enables live data tracking of Quality Management data and to help identify areas which require particular focus and/or intervention from those responsible for quality management within the provision.

These KPIs are reviewed regularly and are based on a percentage (%) return rate from the RAG outcomes from the individual IVRs. These targets are also adjustable to allow for suitable weighting specific to the inherent risk to compliance, learners, industry and PMTandA for any non-compliance.

This allows enables ambitious and continual improvement targets to be set departmentally and enable effective comparisons to be made when analysing this data.



## 10.7 Complaints & Appeals Process

The Learner has the right to appeal/complain should they feel that there have been inconsistencies during the period of assessment or contravention of other Policies and Procedures covered during induction.

PMTandA have a clearly defined route of appeal should any Learner have any reason to complain.

The review would include:

- Access to fair and reliable assessment
- Provide clear and prompt response times
- Provide stages for all parties to put their case forward
- Clear outcomes
- Constructive feedback
- Relate to the Learner's assessment needs
- A formal recording system
- Evaluation
- Equality of Opportunity and Diversity
- Provide a Safe Working Environment

If Learners are in disagreement with their assessors concerning evidence assessments, they have the right to refer the matter to:

- The relevant Internal Verifier on the contact details given at induction and notified within the e-portfolio/ paper-based portfolio,
- The PMTANDA Head of Centre, if the matter remains unresolved
- The IQA/EQA who may be consulted at their next visit. At this stage learners should provide the EQA with records of the activity that has already been undertaken

Awarding Organisation EQA/ Regulatory Body /Standard Verifier:

### Stage 1

- If a Learner disagrees with an assessment decision he/she must record this on the appropriate assessment feedback sheet/diary entry
- Learner discussion with assessor (record on attached template)
- Assessor will then review, consider and feedback assessment decision
- Assessor will write a clear explanation of the assessment decisions on the Learners Appeals Procedure form, stage 1, within 5 working days.
- If a Learner agrees with the decision, NO further action is required.
- If a Learner remains unhappy, move to stage 2 and notify the Lead Verifier.
  
- If a Learner wishes to make a formal or informal complaint regarding Equality and Diversity, or Health & Safety issue please contact PMTANDA Head of Centre - telephone 01874620704

## **Stage 2**

- The assessor will submit the original assessment records to the IQA together with an explanation for their decision within 24 hours of the appeal reaching stage 2.
- The IQA will review the assessment decision taking account; the Learner's reason for appeal, the Learner's evidence and associated records. The assessors reason for the decision.
- The IQA must give the Learner a decision in writing within 5 working days from the appeals date. A copy of which should also be sent to the QAM.
- The Learner must tell the IQA if he/she is still unhappy, if so, the appeal may go to stage 3.

## **Stage 3**

- The Learner should contact the Awarding Organisation contact listed on page 1 and provide all the details of decisions made during stage 1 & 2.

### **10.7.1 Records of Appeals**

The appeals process will be made available and accessible to learners in all PMTandA training centre by display on notice boards.

The Appeals process can also be provided upon request to any learner on any event.

The appeals procedure will be briefed to learners during the induction to learning and is also covered in the assessment briefing contained within the standardised decks.

Appeals will be documented and retained within the applicable delivery staff files.

The appeals process will only be used when there is a dispute around the validity of an assessment outcome. For any other issue the complaints policy and process will be used.

## **11 Observations of Teaching, Learning & Assessment [OTLA] Delivery**

Having an effective OTLA process is a core aspect to enabling the best quality of delivery being conducted by PMTandA.

Observations serve a multitude of purposes within PMTandA. They are a vital tool in the overall quality management and compliance process for assured delivery.

Observations within PMTandA have a focus on enhancing the teaching practices, supporting the learning experience and informing the CPD process.

Observations help to assess the quality of TLA within the provision, whilst identifying areas of strength & areas for development within practices.

Observations also provide Leaders & Managers with valuable data, which drive specific quality improvement strategies and form the basis of changes & improvement to these cycles.

***Please refer to the PM-Elev8 Competency and Quality Monitoring Handbook.***

***This document provides a full explanations of the Observation process used within PMTandA Technical Training and the Validus sytem.***



## **12 Development of Assured Individuals**

This section will explain how PMTandA complete the initial and ongoing development of assured individuals within the provision. This will include the initial induction of Trainer/Assessors and individual capability upskilling. This section will also include the ongoing business as usual aspects of competency management such as CPD and online exams.

### **12.1 Recruitment & Induction of Assured Individuals**

The recruitment and induction of individuals will be conducted in line with the wider PMTandA Company policies & procedures.

In relation to any assured individuals additional elements will be completed by the Operations Manager & Quality Assurance Managers and will include:

- I. RTAS rules and requirements
- II. NWR TTK materials and usage
- III. Relevant Industry training standards (CTM)
- IV. PMTandA Training Delivery manual (this document)
- V. Training resources, documents and expectations
- VI. Use of the Sentinel Database (checks / result notifications)
- VII. Online Exam requirements and process (if applicable)
- VIII. CPD requirements and process
- IX. OTLA Process and requirements
- X. IQA & Verification process and requirements
- XI. Practical Area requirements (Task briefs / SOPs / Risk Assessments etc)
- XII. Safeguarding Procedures

Inductions will be recorded and evidenced retained in the staff file for the individual. The completed Induction evidence will also be uploaded to the individuals Validus profile as evidence of status update.

This ensures that any individual new to PMTandA has sufficient knowledge and understanding of the requirements prior to undertaking any duties, from this point the maintenance of this will fall under the business-as-usual processes for development and cascading of information.

### **12.2 NSAR Registration & Application**

Any individual who is required to deliver assured training and/or assessment events must be approved by the Assurance Organisation before any delivery or mentorship can begin.

Individuals wishing to join RTAS and become an assured individual should complete the below process:

- I. Ensure that the full PMTandA induction process is fully completed and documented
- II. Register with the Assurance Organisation as a Trainer and/or Assessor
- III. Complete the NSAR Application form & submit the relevant evidence

#### **12.2.1 NSAR Application Guidance**

Individuals will be required to complete the NSAR application form and submit evidence, this will include the following requirements:

- I. Educational Qualifications
- II. Teaching and/or Assessing Qualifications
- III. Technical /Engineering Qualifications
- IV. Statement of Technical Experience [500 word approx.]
- V. Statement of Delivery style [500 word approx.]
- VI. Statement of personal development need & method to achieve these [500 word approx.]
- VII. Current & Up to Date CV [including PMTandA]
- VIII. CPD events completed in previous 12 months & associated evidence of completion
- IX. Letter of Support – signed by SLT on PMTandA Letter head / stating events to be upskilled in.
- X. Evidence of any professional memberships (if applicable)

### **12.3 Initial Assurance of Trainer / Assessors**

Once the application form has been fully completed and submitted and this has been reviewed and approved by NSAR/NWR (if applicable), only then can the formal mentorship process begin for the initial assurance approval for the individual.

- I. **Mentee** – *the new trainer/assessor undergoing mentorship & development*
- II. **Mentor** – *the assured individual who supports the mentee through the upskilling process*

Once the documented approval of the individual's application has been received. PMTandA will appoint a qualified and experienced Assured Trainer and/or Assessor (as applicable), who holds the assured capability to deliver support to the mentee as a mentor in a programme of mentored development.

The mentee will be briefed by the mentor on the specific content and delivery of the course that they are to deliver and/or assess, this briefing shall be documented and retained on the individuals Validus profile. This briefing will include the full delivery requirements and full breakdown of the use and documents contained within the TTK materials for that event and any internal delivery requirements.

Upon completion of the initial briefing the mentee can then move into the delivery mentorship phase.

The mentee shall be supported through the delivery of a minimum of two (2) initial courses/events over a maximum period of three (3) months.

Any extensions to this mentorship period shall be requested by SLT to the Assurance Organisation. This must be done in writing no later than fourteen (14) days prior to the expiry date of the three (3) months period.

If successfully approved the mentorship period timescale can be extended but cannot exceed six (6) months in total.

The delivered mentorship events are minimum requirements and the individual mentorship and readiness for moving onto the next phase of upskilling should be review at this point. More mentorship events may be required; this will be conducted on an individual development basis.

Once the mentee is ready to progress and the mentor & SLT are satisfied the mentee under mentorship is capable of delivering the course themselves. The Quality Assurance Manager should request the capability for the individual in Skillsbackbone/NWR/Validus (as applicable) and submit the relevant documents with this request.

The evidence required will include:

- I. Letter of Support from SLT – stating mentorship complete & support for solo delivery
- II. Evidence of mentorship records
  - a. Training capability
    - i. Course Registers
    - ii. Mentor reports
  - b. Assessing capability
    - i. Full Assessment materials
    - ii. Mentor reports
- III. Personal Statement from mentee – including occupational competence met in line with TTK trainer requirements
- IV. Fully completed and signed Appendix 2 from SLT

The Assurance Organisation will review the submitted evidence and respond (if applicable). The Assurance Organisation may request additional information relating to the mentorship before approving the outcome. This should be provided as requested.

Once the Assurance Organisation has reviewed and approved the submission, the Quality Assurance manager can then arrange for the final stage of the initial assurance process to be completed, the First Time Observation (if applicable) or internal approval in the Validus & Dante systems and Authority to Work [ATW].

#### **12.4 First Time Observation [FTO]**

Any new trainer shall be required to be observed in delivery by the Assurance Organisation prior to securing approval as an assured individual (if event is under RTAS).

The Assurance Organisation may also require an FTO to be completed for an Assessment event if deemed necessary, this will be communicated and decided by the Assurance Organisation on an individual basis.

Successful First Time Observation [FTO] is required as a pre-requisite to the awarding of an initial assured capability. The mentee trainer is not approved to deliver events independently until the Assured Capability is uploaded to the Sentinel Database and confirmed in writing to SLT by the Assurance Organisation. (in RTAS events).

The booking and payment for the FTO will be arranged by SLT using the Assurance Organisation online portal [Skillsbackbone].

#### **12.5 Mentor Requirements**

To be selected in the role of mentor for any upskilling the individual must be deemed suitable, for this to be achieved they must meet the following criteria:

- I. The mentor must have held the capability to be mentored themselves, for a minimum of twelve (12) months.
- II. Have delivered the competence to mentored, a minimum of four (4) times over the previous twelve (12) months.
- III. Have not been involved in any incident, accident, close call or Sponsor/RTAS Formal Review and/or Investigation involving the competence to be mentored in the previous twelve (12) months.

The mentor cannot have any conflict of interest in the relation to the mentee.

Any application for initial assurance or upskilling where mentorship has been undertaken by a mentor with a conflict of interest shall be rejected by the Assurance Organisation and might be subject to a Formal Review.

Mentors for PMTandA will also be selected on their ability to support and develop others.

Mentorship is a different process to observations and requires strong development, understanding, patience and behaviours around coaching and development practices.

The mentor must be physically present at all times during the delivery of the mentored event/mentorship process, this includes the First-Time Observation [FTO] event.

Specific Mentorship Workflows and documentation has been developed within the Validus system to record and document mentorships.

## **12.6 Expansions of Scope (Individuals)**

Assured individuals who have completed the FTO and have an approved capability in Sentinel (RTAS events only) and wish to add additional capabilities shall follow the process below:

Individuals must be deemed as competent and experience (occupationally competent) in the capabilities they intent to deliver. Competence certification shall be obtained and certification achieved in the first instance. This should be uploaded to the individuals ATW within the Validus system.

This can be achieved by the individual attending a training and/or assessment event as a delegate and completing any initial probationary elements to achieve the full competency and/or sufficient occupational experience.

Once this has been achieved the individual should complete the mentorship process in line with this document. The requirement for completion of an FTO is not applicable for extensions of scope to capabilities for individuals.

The evidence of mentorship can be submitted and reviewed, approved by the Assurance Organisation and/or internally to enable approval of capability.

Once approved the Validus system will be updated to reflect the capability awarded and an ATW granted, the internal systems can then be updated as applicable to allocate events.

## 12.7 Continuous Professional Development

*Please refer to the PM-Elev8 Competency and Quality Monitoring Handbook.*

*This document provides a full explanations of the CPD process used within PMTandA Technical Training and the Validus system.*



For the purposes of RTAS requirements, any assured individual will also be required to ensure the following in relation to CPD completion within the PMTandA CPD process documented within the Competency & Quality Monitoring Handbook.

## 12.8 CPD Completion

The CPD process will be completed and reviewed in line with the Assurance Organisation requirements and industry best practices.

CPD will be conducted on a rolling annual basis with the CPD year being:

- I. **JULY 1<sup>st</sup> – JUNE 30<sup>th</sup>**

PMTandA have processes in place to plan, monitor and ensure that findings and records from observation are monitored within the assured individuals CPD activities.

PMTandA as a provision will ensure that a minimum of thirty (30) hours of approved CPD is submitted by each assured individual into the Skillsbackbone portal each year.

Assured individuals must complete their CPD in line with the RTAS requirements and record their completed CPD on the Skillsbackbone Portal.

Failure to do so, where there is not a dispensation in place, might result in a Formal Review and/or potential suspension of individual of provisional capabilities until the required CPD is completed and submitted.

PMtandA will plan and monitor the completion of CPD within the provision through dedicated sections of the bespoke Competency Management System [Validus]. This allows leaders & managers to track completion and implement the required interventions before the end of the CPD year.

### **12.9 CPD Dispensations**

Should there be a valid reason that an individual cannot achieve the required minimum CPD per annum of thirty (30) hours. Discussions will be held with SLT during CPD review points.

Should the decision be made that a dispensation is required. The Quality Assurance Manager can request this from the Assurance Organisation, using the Freshdesk Portal. This will include the submission of signed letter stating:

- III. The assured individual the dispensation relates too
- IV. The reason for the dispensation request
- V. The amount of dispensation required (hours reduction)
- VI. The justification for the dispensation
- VII. Supporting evidence relating to the request

The Assurance organisation will review the request and provide an outcome. Should this be approved the letter/email response should be retained in the staff file and their Skillsbackbone Portal will be updated to reflect the reduced hour requirements.

Dispensations for CPD cannot be submitted less than twenty (20) days in advance of the CPD year end and except from ill health, mitigation will not be considered during the last month of the CPD year.

The main reasons for CPD dispensation request include (*not exhaustive list*):

- I. Health & Wellbeing Issues
- II. Sustained Absence from Work
- III. Change in individual's primary role
- IV. Significant reduction of delivery

Note: *dispensation requests for reduced delivery may also be subject to Skills Fade Rectification*

Any updates regarding to CPD amounts for assured individuals will be mapped into the individuals Validus profile.

### **12.10 Online Exams**

Assured individuals must ensure that any relevant and applicable online exams are undertaken and passed annually to maintain assurance (applicable to certain capabilities only).

No Grace period is allowed for online exams.

During the completion of any online exams, PMtandA will appoint an Invigilator/Verifier. This individual must be present at all times to invigilate the online exam completion.

Invigilators/Verifiers will also ensure that results are submitted correctly and retain evidence of the exam outcomes internally.

New trainers who require exams will be added into the competency management system [Validus].

Exams will be planned to be completed within 3 months of gaining the competence, or immediately after their interim assessment (whichever comes first) which requires an online exam. Following on from this initial completion, individuals will fall into the routine requirements for online exam completion as above.

Online exams will be planned with sufficient notice at PMTandA, this will use the bespoke Competency Management system (Validus) to monitor the planning and completion of the online exams of individuals. Online exams can be completed within 12 weeks from the expiry date; therefore, the planned date will be within the 12 weeks from expiry & 21 days from expiry band.

### **12.10.1 Online Exam Rules**

The below must be adhered to in regard to any required online exam completions:

- I. All assured individuals shall take the Core Online exam as a minimum where they hold current and valid COSS Competence
- II. All assured individuals can only take additional online exams for the assured capabilities they deliver
- III. Operational trainers must successfully complete the nine (9) to twelve (12) month interim assessment before taking the online exams. Failure to successfully pass the interim assessment will result in the relevant competency being taken down from Sentinel. No grace period is allowed.
- IV. Where the Assured individual does not hold the assured capability, competence must be maintained as defined within the relevant competence standard
- V. Failure to successfully pass the core online exams prior to the expiry of the relevant competences shall result in the suspension of all the assured capabilities, including SMTH. In order to reinstate those assured capabilities, initial training shall be required for each of the competences lost
- VI. Where additional exams are applicable, these are to be completed within fifteen (15) days of the start of the core exam
- VII. Failure to successfully pass the non-core exams shall result in the suspension of the relevant competence
- VIII. Failure of any element on the online exam shall result in the assured individual being required to complete initial training to regain competence. Where exceptional circumstances apply, guidance must be sought from the Assurance Organisation
- IX. Assured individuals should complete their online exams no less than twenty-one (21) days before expiry to ensure that competences are maintained
- X. Assured individuals subject to temporary suspensions can undertake online exams
- XI. Assured individuals subject to a suspension as a result of a formal review outcome shall not undertake online exams. These individuals shall maintain or renew their competence as required by the route to competence detailed in the relevant competence standard.

## **12.11 Skills Fade**

PMTandA will monitor the competencies and capabilities of assured individuals through the bespoke Competency Management System [Validus] and TMS system [Dante].

The following process will be followed should Skills Fade be identified with an assured individual:

SLT will ensure that the assured individual that is subject to Skills Fade is notified to the Assurance Organisation (if applicable) as returning to delivery when they have:

- I. Been absent over a period exceeding six (6) months and/or
- II. Have significantly reduced delivery over a period exceeding six (6) months; and
- III. Where changes to Network Rail Approved TTK Materials or standards have taken place

Should Skills Fade be applicable and the Assurance Organisation notified the delivery staff member will be required to complete a period of Skills Fade Rectification. This process in line with development of trainer/assessors section of this manual and requires the individual to be mentored with evidence submitted to the Assurance Organisation.

The Assurance Organisation may specify the exact requirements for the rectification process on an individual basis, this may include only one mentorship event being required, variations and individual requirements must be in writing from the Assurance organisation and retained in the individual staff file & competency management system record.

The individuals ATW and capabilities will be updated and removed from the Validus system and Dante system until the required rectification process has been completed.

## 13 Cascade & Communication

This section of the manual will explain the processes used for the cascading of information and communication within PMTandA. This section will include details on the meetings held within the Technical Training department and the requirements for individuals in relation to briefings & updates.

### 13.1 Team Meetings

PMTandA hold regular training & standardisation meetings throughout the calendar year.

As the provision has delivery staff throughout the UK geographically, and with these individuals being a mixture of Associate and full time employees the main method of completing formal meetings is through virtual methods (Teams).

In regard to formalised meetings PMTandA holds a variety of meetings at various levels within the provision:

- SLT Meetings
  - Quarterly – SLT for wider strategy, target setting, reviewing & evaluations
- Daily Meeting
  - Daily – short wash up calls to discuss daily operations (full time staff)
- Team Week
  - Quarterly – planned face to face events – full provision attendance
- Technical Training Standardisation
  - Quarterly – face to face – specifically for technical trainers
- Training meetings
  - Monthly – online call to communicate general tech training requirements.

These meetings have set agendas and are documented, recorded and retained for evidence of completion. With registers of attendance being retained as required.

Assured individuals must attend these meeting as planned by SLT, however if an individual is unable to attend for a specified reason, then copies of the documented meeting minutes/Video will be available for viewing within the company IMS / Resource Vault.

### 13.2 Briefings & Updates

Any information relating to the compliance and/or quality of delivery of any assured events will be cascaded to the relevant individuals with the Technical Training department.

For such communications these will be sent via email with a templated format and include the QR code & link to an E-form.

Individuals will be required submit a response to the briefing via the E-form and confirm their understanding and acceptance of the content of the update and any instructions applicable to it.

Sources of information which will require formal briefings and updates will vary, but the most common sources can include (*not exhaustive list*):

- I. NSAR
- II. Network Rail
- III. Sentinel
- IV. PMTandA
- V. ORR / CIRAS / RAIB
- VI. RISQS
- VII. Other External Assurance or awarding bodies (Master Vendor etc.)

The types of information which would constitute a formal briefing, update will include (*non-exhaustive list*):

- I. Changes to TTK Materials
- II. Changes to Internal or External Policies, procedures, standards, rule sets
- III. Changes to industry Practices or new Technologies
- IV. Changes to Competency or capability requirements
- V. Changes to CTM standards or Quality Assurance Requirements
- VI. Changes to UK Legislation or Regulations

Each briefing record will be provided it's unique reference number and evidence will be retained for each briefing within the PMTandA IMS.

An overview of the briefing content will be added to the email body and specific points to consider will be included.

Any specific attachments or evidence will also be attached to the briefing template.

Briefings and updates will be tracked to help identify where the changes are coming from within the provision, this can help with internal reviewing.

### **13.3 Standards & Regulations**

Individuals who require access to the applicable industry standards will be provided with an individual login to the Network Rail standards portal.

This will provide direct access to the individual to the latest industry standards.

This login will be individual to the staff members and will fall under the same data security procedures and requirements within PMTandA.

Individuals will also be kept updated on any standard updates and changes through the internal briefing process. Applicable standards and regulatory documents will also be accessed and updated in the PMTandA Resource Vault.

**RECIPIENT ADDRESS** – to send request to

All Tech Training (Distribution list)

**SUBJECT:**

PM Tech Training – Briefing & Update Alert [dd/mm/yyyy] [PMTT-BU-###]

**CONTENT:**

Tech Training Team,

This email is to inform you of an important update relating to the Technical Training Provision.

It is important that the below is reviewed and actioned appropriately.

DETAILS						
<b>Briefing &amp; Update Reference</b>			<b>PMTT-BU-###</b>			
<b>Update Type</b>	New Document Created	<input type="checkbox"/>	Document Updated	<input type="checkbox"/>	Standard / Rule Update	<input type="checkbox"/>
	Internal Policy / Procedure	<input type="checkbox"/>	Competency Specific	<input type="checkbox"/>	NSAR SBB /QA	<input type="checkbox"/>
	Urgent Safety Matter	<input type="checkbox"/>	Training Toolkit	<input type="checkbox"/>	Corrective Action	<input type="checkbox"/>
	Other:					<input type="checkbox"/>
BRIEFING & UPDATE CONTENT						
TRAINING POINTS & DISCUSSION POINTS – (what needs to change?)						

Please now respond to this alert by completing the Tech Training Briefing & Update Response Form below:

FORM RESPONSE ACTION KEY	
<b>CONFIRM</b> I CONFIRM RECEIPT AND UNDERSTANDING OF THE ALERT AND WILL COMPLETE THE REQUIRED ACTIONS.	<b>REQUEST DISCUSSION</b> I Require additional information relating to the update before I can confirm – arrangements can be made for further discussions.



## 14 Internal Quality Management Systems

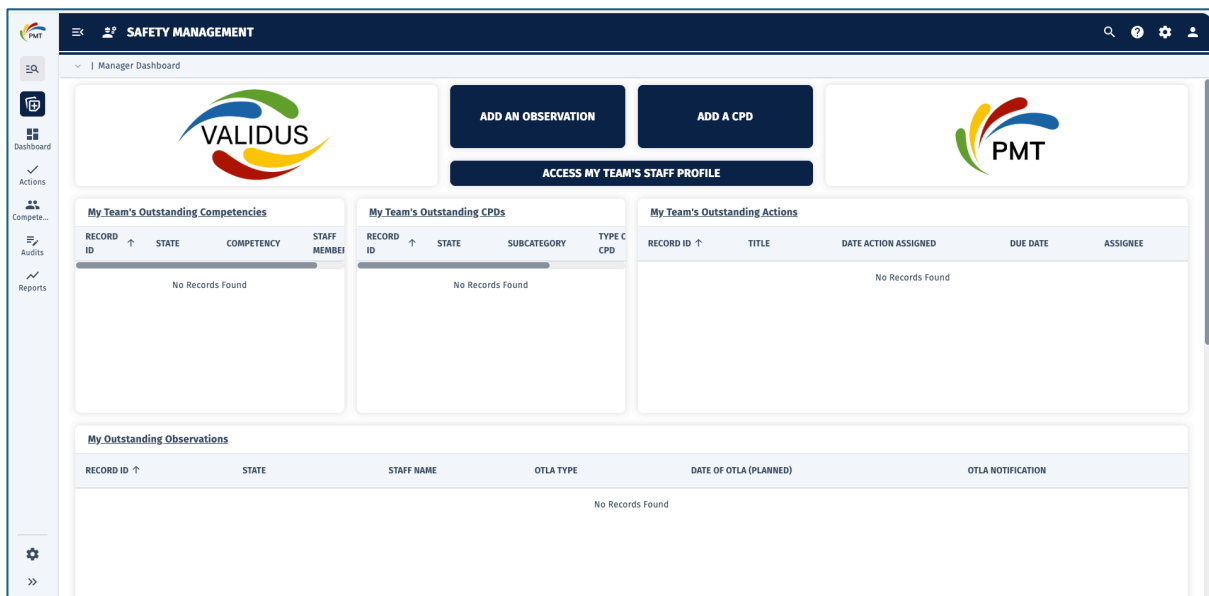
This section will explain the back-end Quality Management systems [QMS] which PMTandA uses to ensure the quality and compliance of their Training & Assessment Delivery. These bespoke systems have been designed to allow deep dive analysis into quality related data to be conducted, which contributes to effective self-assessment and quality improvement practices within the provision. The systems have also been designed to align to the Assurance Organisation requirements as per RTAS/NWR Rules.

### 14.1 Competency & Quality Management System [Validus]

A bespoke Competency Management system has been created; Validus, this system ensures that Individuals have and maintain the required levels of competency to enable them to maintain their assurance approval.

This system has been designed to record and monitor the competency management of PMTandA staff and includes:

- Competency Management
- Authority to Work [ATW]
- CPD
- OTLA
- Actions
- Internal Audits

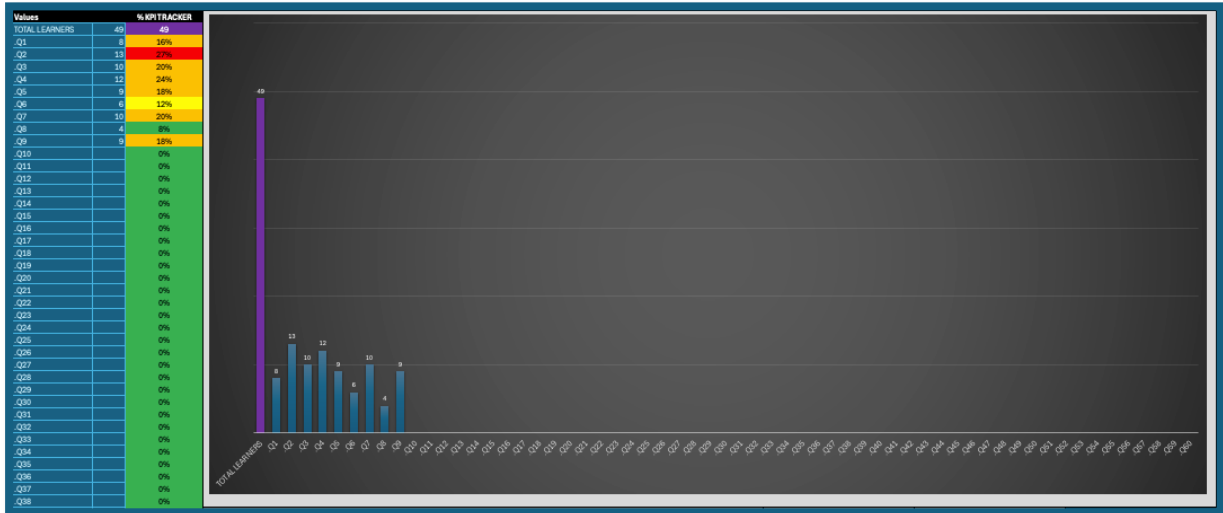


Individuals will have their own profiles within the Validus system, this system serves as the main competency management and monitoring process within PMTandA.

Fatigue risk and working hours are monitored by the provisions fatigue management process, in line with Sentinel Scheme Rules and RISQS assurance requirements, this includes and is the same for Assured Individuals.

## 14.2 PCQA Analysis System

A bespoke monitoring and analysis system has been created to take the data from the PCQA form completed by delivery staff and capture this into a management system which provides a deep dive analysis to be completed.



The system will automatically evaluate the raw data and display this in a usable visual format. The Quality Assurance Manager can then use the slicer filters to choose which data to display:

- I. Assured Individual
- II. Assessment Title

The system also has an inbuilt KPI monitor which will flag up any question which has a certain percentage answered incorrectly. These will guide discussions and enhanced reviews into that question during standardisation meetings.



## 14.3 OTLA Planning & Tracking System

A bespoke OTLA Planning, Monitoring and Management system has been created, this system aligns fully with the RTAS/NWR rule requirements for Assured Individuals delivering events.


Each delivery staff member has their own column within the “Tracker” sheet. This maps in the individuals’ details and displays the required minimum number of observations.

Each observation has its own section, as details are populated and the process elements completed the Status indicator will automatically update to show the live and current status of that individual observation.

Only when the status is moved to Complete will this be counted in the total counts and against the relevant Event Type (Training/Assessment). Only when the required minimum number of complete OTLAs have been achieved with the OBS Complete counter show Green.

PM TRAINING - OBSERVATION TRACKER												
BANZI KUBHEKA				BEN MARTIN				COLIN MITCHELL				
OTLA TRACKING				OTLA TRACKING				OTLA TRACKING				
EMPLOYMENT		ASSOCIATE		EMPLOYMENT		FULL TIME		EMPLOYMENT		ASSOCIATE		
SPONSORSHIP				SPONSORSHIP				SPONSORSHIP				
DELIVERY TYPE		NON RTAS		DELIVERY TYPE		NON RTAS		DELIVERY TYPE		NON RTAS		
MIN OBS REQUIRED	TRAINING	ASSESSMENT	OBS COMPLETE	MIN OBS REQUIRED	TRAINING	ASSESSMENT	OBS COMPLETE	MIN OBS REQUIRED	TRAINING	ASSESSMENT	OBS COMPLETE	
3	3	0	3	3	3	0	3	3	1	0	1	
OTLA DETAILS				OTLA DETAILS				OTLA DETAILS				
OTLA TYPE				OTLA TYPE				OTLA TYPE				
EVENT TYPE		TRAINING		EVENT TYPE		TRAINING		EVENT TYPE		TRAINING		
OTLA DATE		19/02/2025		OTLA DATE		06/05/2025		OTLA DATE		11/03/2025		
OTLA REFERENCE				OTLA REFERENCE				OTLA REFERENCE				
OBSERVER		MICHELLE BOOTH		OBSERVER		EMMA YOUNG		OBSERVER		BEN MARTIN		
TRACKING				TRACKING				TRACKING				
OB COMPLETE	REPORT SUBMITTED	ADDED TO SBB/FILE	STATUS	OB COMPLETE	REPORT SUBMITTED	ADDED TO SBB/FILE	STATUS	OB COMPLETE	REPORT SUBMITTED	ADDED TO SBB/FILE	STATUS	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	COMPLETE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	COMPLETE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ONGOING	

The system has a dedicated log sheet for the allocation of OTLA references, this ensures a documented record and individual OTLA reference number is allocated. This sheet can be mapped and referenced during assurance visits and will reflect the OTLAs uploaded to Skillsbackbone and Validus.

 <span style="float: right;">PM TRAINING - REFERENCE LOG</span>			
P&M OTLA REFERENCE	OBSERVATION YEAR	TRAINER/ASSESSOR	ALLOCATED
PMT-OTLA-0001			<input type="checkbox"/>
PMT-OTLA-0002			<input type="checkbox"/>

The system has an Overview page, which allow for easier planning and identification of OTLA status across the provision.

This page is automatically updated and reflects the Tracker page, so no manual input is required here.

The overview page provides the Quality Assurance Manager with visual indicators on the OTLA for each individual.

The system will automate the flagging of the OTLA status (example in images):

- I. Obs 1 – was completed but is approaching 12 months old – will need replacing to ensure rolling 4 over a 12-month period shortly to avoid expiration (date is amber)
- II. Obs 2 – Is showing as Blue – OTLA is planned to be completed in the future from today’s date
- III. Obs 3 – Observation is currently on-going (not all checklist boxes have been ticked- status is amber)
- IV. Obs 4 – showing Red and expired – OTLA is older than 12 months – OTLA to be planned ASAP.

OBS 1	OTLA DATE	20/12/2024				
	STATUS	COMPLETE				
OBS 2	OTLA DATE	11/12/2025				
	STATUS	PLANNED				
OBS 3	OTLA DATE	10/10/2025				
	STATUS	ONGOING				
OBS 4	OTLA DATE	10/10/2000				
	STATUS	EXPIRED				

#### 14.4 Self Assessment Report [SAR] & Quality Improvement Plan [QIP]

PMTandA will conduct regular and effective Self-Assessment and quality improvement practices within the provision.

The aim of these is to enable an honest, critical reflection and analysis of the provision in relation to the quality and compliance of outputs. With the aim of identifying areas of strength which can be standardised and highlighted any areas of development and put a plan in place to enable these to be rectified.

This process should be conducted formally and documented into a Self-Assessment Report (SAR) and the relevant quality actions populated into a documented Quality Improvement Plan (QIP).

These documents will be completed and submitted to the Assurance Organisation in line with RTAS requirements as part of the PMTandA Annual Review process into Skillsbackbone by the 31<sup>st</sup> of January each year.

The process of Self-Assessment will be continual. Using the management systems above and the ability to actively display and monitor live data, regular assessments and interventions can occur during the delivery year.

The self-assessment of the provision will use the visual data gathered from the systems & delivered events to formulate and justify decisions. The provision will measure itself against the relevant Quality Assurance Framework of the Assurance Organisation, its own internal expectations and requirements and any relevant wider industry requirements.

Following completion of this Self-Assessment, any area which is highlighted as a development area will be documented on the provisions QIP document.

This is a templated document which has been designed to ensure the ability to effectively document, plan, monitor and complete the required improvement actions within the provision.

PMTandA		TECHNICAL TRAINING QUALITY IMPROVEMENT PLAN (QIP) YEAR HERE				<span style="color: red;">▲ High</span> <span style="color: orange;">● Medium</span> <span style="color: green;">▼ Low</span>		<span style="color: green;">● Complete</span> <span style="color: orange;">● In Progress</span> <span style="color: red;">● Missing</span>		Ref: #00000 Issue Number: # Review: #00000		PMTandA					
YEAR HERE		CHANGE				KPI INDICATORS				QUARTLY OVERVIEWS							
YEAR	AREA	WHY	Target Completion Date	PLANNED IMPROVEMENTS	PROGRESS	METHOD	Q1	Q2	Q3	Q4	FINI STATUS	ACTUAL COMPLETION DATE	QTR 1 - JAN - MAR	QTR 2 - APR - JUN	QTR 3 - JUL - SEP	QTR 4 - OCT - DEC	
LEADERSHIP & MANAGEMENT					1												
					2												
					3												
					4												
					5												
					2												
					3												
					4												
					5												
					2												
					3												
					4												
QUALITY OF PROVISION					1												
					2												
					3												
					4												
					5												
					2												
					3												
					4												
					5												
					2												
					3												
					4												

The QIP has dedicated sections to ensure effective monitoring and completion is completed and reviewed regularly through the delivery year, these include:

- I. Area of Improvement
- II. Why is the improvement needed
- III. Target completion date
- IV. Planned improvements to be made
- V. Priority
- VI. 4 step method to complete
- VII. Quarterly review impact indicators
- VIII. Quarterly document reviews on actions process and discussions
- IX. End status indicator

The QIP and SAR will form part of the PMTandA standardisation meeting agenda and will be formally reviewed each quarter through the delivery year. Due to the level of detail and continual reviewing, this process also enables an effective position statement to be achieved at each quarter.

## 15 Assurance Visits

This section of the manual will explain the process for Assurance Visits from the Assurance Organisation. Including their purpose and types. The section will also explain the requirements of PMTandA in relation to the conduction and completion of the Assurance Visits.

**Assurance Visit** - *A visit by the Assurance Organisation of an Assured Provider and/or Individual for the purposes of assessing the level of compliance with the RTAS Rules, Quality Assurance Framework and Network Rail Standards”*

### 15.1 Quality Assurance Visits [QAVs]

The purpose of an assurance visit is to validate and verify that the assured events being delivered by PMTandA, and the supporting documentation and administrative procedures used by PMTandA are in accordance with RTAS/NWR Rules and the Quality Assurance Framework.

Should any individual fail to cooperate with the Assurance Organisation in relation to, or in the course of an assurance visit this will be constituted a breach of the RTAS rules and internal procedures, and the individual(s) / provision may be subject to Formal Review and/or Suspensions from delivery.

The assurance visit process can include an additional visit whereby observations of delivery that consider the quality of documentation against the Assurance Organisation Quality Assurance Framework are made, subject to the endorsement of a nominated Senior Manager within the Assurance Organisation.

If PMTandA has not met the requirements of the assurance visit and/or RTAS rules and is suspended, notification of the non-conformances that require immediate improvement will be discussed during the close out meeting of the assurance visit. Other areas which will complete the content of the require action plan will be communicated by the Assurance Organisation with ten (10) days from the end date of the visit.

Grades and outcomes from assurance visits will be in line with the Assurance Organisations Quality Assurance Frameworks.

The Assurance Organisation will notify PMTandA of an upcoming QAV and provide five (5) days notice (nominal). The Quality Assurance Manager will act as the primary contact prior to and during the QAV with the Assurance Organisations Quality Assurance Manager [QAM].

If the primary individual is not available a suitable deputy will step in in line with this manual.

The Quality Assurance Manager will provide the QAM with the required documents requested and within the required timescales (nominal 24 hours).

The Quality Assurance Manager will ensure a suitable room/location for the QAV to be conducted, this will be an area which does not impact or disturb the normal operations of the provision but also provide the QAM a suitable and private space to complete the QAV and have discussions as applicable.

Any outsourced consultants will not be able to present QAVs as per Assurance Organisation requirements.

## **15.2 Unannounced Assurance Visits [UAVs]**

An Unannounced Assurance Visit [UAV] can also take place under the following circumstances:

- I. Following allegations of any breach of the RTAS Rules.
- II. Following a Formal Review and/or investigation.
- III. Following a full assurance visit to monitor progress of completion of Action Plans
- IV. Where the Assurance Organisation has grounds to suspect the integrity of evidence and/or.
- V. Any other reason which in the opinion of Network Rail and/or the Assurance Organisation justifies a UAV

Due to their nature of these visits, PMTandA will not be made aware of their intended completion.

Should a QAM attend the premises to complete a UAV, the following process will be adopted by PMTandA.

- I. The QAM will be inducted onto the Site & briefed as usual and provided a suitable place to await a member of SLT.
- II. SLT will be notified of the QAMs attendance and the UAV requirement.
- III. Should the Quality Assurance Manager not be available a deputy will step in in line with this manual.
- IV. The lead individual will discuss with the QAM the process and cooperate with the UAV requirements as expected

## **15.3 Action Plans**

Following any assurance visit PMTandA will be notified verbally of any non-conformances that require immediate attention during the close out meeting of the assurance visit. Formal confirmation of all areas which need to be addresses, along with timescale for completion, will be communicated by the Assurance Organisation within ten (10) days from the end date of the visit, in the form of an Action Plan requiring completion by PMTandA.

The Quality Assurance Manager will act as the responsible person for leading on the completion and submission of any Action Plans for PMTandA.

The action plan should be completed, clearly stating how PMTandA intend to close out the non-conformances and their timescales for their closure, this “intended response” will be returned to the Assurance Organisation within five (5) days of receipt.

The Action plan will contain timescales in which evidence of completed actions taken by PMTandA and evidence of the implemented action must be provided. These may be subject to individual timescales dependant on the action but are nominally set at four (4) weeks. The Quality Assurance Manager will ensure an updated Action Plan with actions completed and supporting evidence is returned to the Assurance Organisation within this timescale.

Submission of evidence and completion of any action’s plans are monitored by the Assurance Organisation and only when the Assurance Organisation has informed PMTandA in writing can the action plan be recognised as being formally closed.

## **16 Breaches to the RTAS / NWR / Sentinel Scheme Rules**

This section of the manual will explain the requirements, expectations and processes relating to breaches to the applicable rules sets. This section will provide users with example of what constitutes a breach and the ramifications for individuals and providers, including Formal review and suspensions.

The full documented process for the Assurance Organisations investigations into suspected breaches of the RTAS Rules and the range of possible outcomes for such breaches if proven are included in the RTAS Rules Appendix “RTAS-Formal Review Procedures Appendix”. This section of the RTAS rules can be consulted if relevant for any individual and/or provider should they be subject to a Formal Review pending a potential breach of RTAS.

An Assured provider or individual that is suspended, including Temporary Suspension, as a result of allegations under investigation and/or proven breaches of the RTAS Rules, is also prohibited from planning, delivering training and/or assessment via any sub-contractor arrangements.

This includes use of premises and sites owned/leased by the Assured provider or individual to deliver Assured Training and Assessment.

Where an individual not in an Assured Position has breached the RTAS Rules and has been determined during a Formal Review and/or third party investigation, to be the guiding mind of an assured provider and was involved in conduct or activities relating to the breach, the Assurance Organisation might withdraw the Assured Provider’s Assurance for such time as the Assurance Organisation and/or Network Rail considers appropriate in the circumstances.

### **16.1 PMTandA Management of Breaches**

Any breach of rules will be investigated and may result in disciplinary action being taken against the individual in line with the RTAS Rule and Formal Review Process, NWR TQAS and internal procedures.

Any investigation will follow the fair culture process and be conducted in line with PMTandA procedures, and investigation will be fully documented and retained.

If PMTandA identifies or becomes aware of any alleged or suspected breach of the RTAS/NWR/Sentinel rules they will notify the applicable Assurance Organisation in writing as soon as reasonably practicable and, in any event, by the next working day.

Any individual suspended and/or proven to be involved in any breach of the RTAS Rules shall not be permitted to hold any position of influence within PMTandA.

Any individual suspended and/or proven to be involved in any breach of the RTAS Rules shall not involve themselves in the planning and/or facilitation of delivery of any training and/or assessment events unless specifically approved by Network Rail.

Individuals who are suspected of a breach of Sentinel Scheme and/or RTAS Rules (as applicable), or who are under investigation from the Assurance Organisation, will not be de-sponsored until permission has been granted from the Assurance Organisation.

PMTandA will protect and provide any evidence in relation to a suspected breach and will fully co-operate with any investigation request and/or requirement.

In the event that PMTandA shall have their assurance withdrawn they shall not be permitted to hold any position of influence, direct or indirect involvement with any other assured provider, unless specifically approved by Network Rail.

Individuals employed by PMTandA are required and will fully cooperate with any investigation (internal or external) as explained in the roles and responsibilities section of this manual and RTAS rules.

## **16.2 Breaches of RTAS Rules**

(Refer to: Rail Training Assurance Scheme (RTAS) Formal Review Procedures Appendix)

Breaches of the RTAS Rules by either an Individual or an Assured Provider include, but are not limited to, the following:

Any breach of the Sentinel Scheme Rules for Sponsors by an Individual or Assured Provider.

- I. Any breach of the RTAS Rules by an Individual or Assured Provider.
- II. Any breach of Network Rail Standards, including but not limited to, Competence Standards by an Individual or Assured Provider.
- III. Any breach of Network Rail Lifesaving Rules by an Individual or Assured Provider.
- IV. Any action of theft, attempted theft, fraud, or falsification of documentation and/or records.
- V. 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.
- VI. Any breach in working hours, including reporting or endeavouring to report for a shift of work having previously undertaken a shift on RMI within the last twelve (12) hours (known as double-shifting).<sup>26</sup>
- VII. Any event of presenting a falsified or altered Sentinel Smart Card or claiming a false identity for the purposes of trying to gain entry onto RMI.
- VIII. The infringement of any health and safety rules and regulations.
- IX. Any event of negligence which causes, or has the potential to cause, unacceptable loss, damage or injury.
- X. Any event of physical violence while at work.
- XI. Any event of deliberate damage to RMI.
- XII. Any event of bullying, harassment or discrimination.
- XIII. Any breach of confidence.
- XIV. Any other event that brings the RTAS into disrepute.
- XV. Any action of false notification of a training and/or assessment event.
- XVI. Any failure to adequately monitor and/or mentor Assured Trainers, Assured Assessors and/or mentored trainers and mentored assessors.

- XVII. Any action of de-sponsoring an Individual subject to an investigation and/or Formal Review without obtaining agreement from the Assurance Organisation in accordance with 1.12 (RTAS Rules).
- XVIII. Any failure by an Assured Provider, Assured Trainer, Assured Assessor or Individual to cooperate with any investigation into an alleged breach, either of themselves or a third party of the RTAS Rules, or failure to cooperate with a Formal Review or Formal Review Appeal.
- XIX. Any allegation of a breach of the RTAS Rules which is found to be false and is determined as part of a Formal Review to have been made with malicious intent.
- XX. Any action which Network Rail deem as indirect contravention and/or disregard of the Sentinel Scheme Rules, RTAS Rules, Lifesaving Rules and/or Network Rail Policy, Standards and/or Network Rail Approved Training and/or Assessment Materials.

26 In the rare event that there has been less than twelve (12) hours rest at the time of undertaking and/or attending training and/or assessment i.e. less than twelve (12) hours since having previously undertaken a shift on RMI, a risk assessment must be completed, a reference number recorded within the Sentinel Swipe In/Out process and records retained within training and/or assessment packs. A breach in working hours will be determined where this evidence is not present.

### 16.3 Formal Review Outcomes

Suspension Duration (Years)	<1	1	2	3	4	5	5>	Permanent Ban
Event	Action				Action			
	Disciplinary Action (can include suspension) (<1-3 years)				Suspension (4-5> years & Permanent Ban)			
	Provider management systems – Contravention, Slips and Lapses, Mistake caused by the system and Poor Judgement				Sabotage, Malicious Intention, Deliberate or Reckless Contravention, Contravention for personal benefit			
Breach of RTAS Rules	Mistake	Breach			Multiple Occurrence Breach and/or Deliberate Breach			
					Multiple Occurrence Breach and/or Deliberate Breach with knowledge of Guiding Mind			
Theft, fraud or falsification			Breach	With knowledge of management and/or Guiding Mind	Multiple Occurrence Breach and/or Deliberate Breach			
						Multiple Occurrence Breach and/or Deliberate Breach with knowledge of Guiding Mind		
Infringement of Health and Safety Rules	Mistake	Breach			Multiple Occurrence Breach and/or Deliberate Breach			
					Multiple Occurrence Breach and/or Deliberate Breach with knowledge of Guiding Mind			
Negligence leading to, or potential to lead to, loss or injury			Breach	With knowledge of management and/or Guiding Mind	Multiple Occurrence Breach and/or Deliberate Breach			
						Multiple Occurrence Breach and/or Deliberate Breach with knowledge of Guiding Mind		
Deliberate damage				With knowledge of management and/or Guiding Mind	Multiple Occurrence Breach and/or Deliberate Breach			
						Multiple Occurrence Breach and/or Deliberate Breach with knowledge of Guiding Mind		

## 17 Glossary of Terms / Definitions

TERM	DEFINITION
<b>Acceptable forms of identification</b>	For British nationals, one of the following: a current & valid, branded form of identify token, used for accessing the RMI (such as a Sentinel card); in date full driving licence; in date valid UK Provisional Photo Card Driving Licence; passport; biometric ID card; resident permit as per Home Office guidance; or Val date card. For non-British nationals, a current and valid passport is required
<b>Action plan</b>	A written plan of action to be taken in order to remedy any areas which have not met the RTAS Rules, premises & facilities specifications and/or quality assurance framework following and assurance visit
<b>AOD</b>	Auxiliary Operating duties
<b>Appellant</b>	An assured individual who is appealing a formal review outcome
<b>Approved supplier Assurance provider</b>	The organisation that provides assurance approval and audit arrangements for an organisation to be a supplier of services to the rail industry either as a sponsor or a non-trackside sponsor in line with the Sentinel Scheme Rules
<b>Assurance organisation</b>	a body identified by Network Rail to oversee the delivery of training related to RTAS
<b>Assurance</b>	an accreditation which is awarded according to the RTAS Rules, premises and facilities specifications, quality assurance framework and Network Rail standards. This accreditation is required before certain activities, as detailed in the RTAS Rules, can be delivered by assured providers, assured individuals. The accreditation is awarded by the assurance organisation, in accordance with the assurance process set out in the RTAS Rules.
<b>Assurance Manager</b>	an employee of the assurance organisation who is responsible for undertaking quality assurance activities on behalf of Network Rail
<b>Assurance Organisation on-line portal</b>	the online portal where all requests for provider and assured individual changes are submitted and managed including transfer, deactivations, individual upskilling, provider scope and approved practical sites. This portal also hosts the training directory and events calendar.
<b>Assurance visit</b>	a visit by the assurance organisation of an assured provider and or individual for the purposes of assessing the level of compliance with the RTAS rules, quality assurance framework or Network Rail standards.
<b>Assured Assessor</b>	An assessor who has demonstrated that they meet the assured assessor criteria described in the RTAS Rules and who is approved by the assurance organisation on behalf of Network Rail to deliver on or more specific assessment events within the RTAS Rules

<b>Assured Capability / capabilities</b>	Individual competence(s) where an assured trainer and or assessor is approved to deliver and award competence to others. The trainer and or assessor capabilities are listed on the Sentinel Database
<b>Assured position</b>	an assured trainer and or assessor
<b>Assured Provider</b>	PMTandA
<b>Assured Trainer</b>	A trainer who has demonstrated that they meet the assured assessor criteria described in the RTAS Rules and who is approved by the assurance organisation on behalf of Network Rail to deliver on or more specific training events within the RTAS Rules
<b>Breach</b>	an act of breaking or failing to observe a rule
<b>Candidate / learner</b>	an individual undertaking assessment
<b>Change of control</b>	the transfer of the majority of the shares in an assured provider or where a person who controls an assured provider ceases to do so, or if another person acquires control of it
<b>Competence standard</b>	a description of what knowledge, skills and behaviours an individual who has been confirmed as competence can demonstrate, including the assessment criteria to confirm and individual as competent.
<b>Competence</b>	Qualifications which are awarded and maintained through training and assessment processes mandated by Network Rail which enables the individuals to undertake a particular activity
<b>Conflict of interest</b>	<p>a conflict of interest includes actual, potential or perceived conflicts of interest and or duty.</p> <ol style="list-style-type: none"> <li>1. A situation that has the potential to undermine the impartiality of a person because of the possibility of a clash between the persons self-interest and professional interest or public interest</li> <li>2. A situation in which a party's responsibility to a second part limits its ability to properly discharge its responsibility to a third party</li> <li>3. Where a person connected to an individual stand to gain a benefit. A connected person can be a spouse, relatives (including step and adopted).</li> </ol>
<b>Contract of sponsorship</b>	the formal relationship between an individual and their primary sponsor. While similar in intent to a contract of employment, the contract of sponsorship relates only to the Sentinel Scheme and does not require or imply direct employment.
<b>Contravention</b>	the individual and or provider did not follow the correct requirements

<b>Core online exams</b>	the online exams that contain PTS, Lookout, COSS & PC
<b>COSS</b>	Controller of Site Safety
<b>Day(s)</b>	Unless expressly stated as working days, days are calculated as calendar days and therefore include weekends and bank holidays. In computing days, the day on which the period begins is ignored. For example, is a requirement to provide notification within five (5) days of an event is mandated and the event is on 1 January, the deadline to provide notification will be on 6 January. Where a period would otherwise end on a weekend or bank holiday, that period will be deemed to expire on the next working day.
<b>Delegate / learner</b>	An individual undertaking training
<b>Deliberate breach</b>	An intentional act to operate outside of the RTAS Rules
<b>Direction(s)</b>	A formal list of actions and activities which are required in Formal Review Appeals and Formal Review Appeal Hearings
<b>Electronic Signatures</b>	Symbols or other data in digital form attached to an electronically transmitted document as verification of the sender's intent to sign the document, such as a completed relevant tick box and/or electronic file of a handwritten signature.
<b>ES</b>	Engineering supervisor
<b>Events Calendar</b>	an online calendar hosted by the assurance organisation where assured providers share their delivery plans
<b>Experience(d)</b>	Knowledge and or skills in a particular competence which has been gained operationally over a reasonable period of time and in varied environments as defined in Network Rail Competence Standards.
<b>Fair Culture consequences model</b>	Network Rails process that identifies fair outcomes from a Formal Review
<b>First Time Observation</b>	Observation of a training/assessment event being delivered by an assured individual under mentorship. The observation shall be undertaken by the assurance organisation
<b>Formal Review</b>	the process of reviewing whether there has been an alleged or suspected breach of the RTAS Rules and the subsequent investigating activities undertaken by the assurance organisation, on behalf of Network Rail
<b>Formal review appeal</b>	an appeal against a formal review outcome. An appeal can only be brought where there is new evidence not presented during the formal review and or mitigating circumstances and or any other compelling reason which in the opinion of Network Rail justifies a formal review appeal
<b>Formal review appeal hearing</b>	a hearing chaired by Network Rail, where a panel of individuals who were not involved in the formal review will review submission

	and or evidence presented by the appellant and assurance organisation in challenging the formal review outcome
<b>Formal review outcome</b>	the formal decision made by Network Rail following the completion of formal review
<b>Formal review panel</b>	A panel constituted in accordance with, and for the purposes set out in, the RTAS formal review procedures
<b>Guided Learning hours [GLH]</b>	the minimum number of hours outlined within lesson plans i.e. the duration that the event is required to take in order to deliver a valid result. For these purposes, the duration of one day equates to six hours learning time
<b>Guiding mind</b>	A person within an assured providers organisation that has material influence over a particular act, conduct, operation or activity. This includes but is not limited to assured positions, as well as positions which are not that of an assured position, such as training manager, administrator, director and board member
<b>Individual(s)</b>	Any person(s) involved, or who has previously been involved, in an RTAS and or quality assurance framework activity such as, but not limited to, a delegate, candidate, assured individual and training and management staff
<b>Joining instructions</b>	a physical or digital document which outlines pertinent information regarding an assured event including as a minimum the content covered in this manual
<b>Lifesaving rules</b>	Rules mandated by Network Rail to minimise the risk of death and serious injury. Compliance with the Lifesaving rules is mandatory for all
<b>Mistake</b>	an act or judgement that is misguided or wrong
<b>Mistake caused by the system</b>	a mistake as a result of individuals and or providers inadequate information, policy, procedure, training, support, workload and or equipment that might have contributed to an error
<b>Multiple occurrence breach</b>	More than one act or omission, each of which is a breach of an RTAS rule
<b>Network Rail approved materials</b>	Training and assessment materials approved and issued by Network Rail
<b>Network Rail Training Toolkit</b>	a Network Rail owned and maintained electronic repository of all mandatory and Network Rail approved materials. The system also contains all briefing communications regarding changes to materials which every assured provider is mandated to use and remain up to date with its content.
<b>Non-operational assured individuals</b>	As assured trainer and or assessor that is recorded in Sentinel as non-operational. This individual does not use their competence in an operational capacity
<b>Online exams</b>	Exams which an assured individual is required to undertake annually in order to maintained assurance for competences

<b>Operational assured individual</b>	An assured trainer and or assessor that is recorded in Sentinel as operational. This individual can use their competence in an operational capacity and completes all workplace assessments associated with the competences that they hold
<b>PICOP</b>	Person in charge of possession
<b>Poor judgement</b>	The individual and or provider demonstrates poor risk awareness and or understanding of the impact their actions have caused
<b>Practical site</b>	A site used to deliver practical training, that requires prior approval by the assurance organisation, to ensure that the location meets specific requirements to confirm competence as detailed in the inspection worksheet. The full list of approved practical sites shall be held and maintained by the assurance organisation.
<b>Primary sponsor</b>	The organisation that is accountable for maintaining the sponsorship arrangements with an Individual and for ensuring their continued Competence and fitness for work through a Contract of Sponsorship. Only Primary Sponsors are permitted to issue Sentinel Smart Cards or request their withdrawal.
<b>PTS</b>	Personal Track Safety.
<b>Quality Assurance Framework</b>	The document which details a series of quality statements which an Assured Provider shall follow and be reviewed and graded against by the Assurance Organisation.
<b>Rail Managed Infrastructure (RMI)</b>	Any asset or property belonging to Network Rail or utilised for the purpose of providing transportation by rail.
<b>Rail Training Assurance Scheme (RTAS)</b>	The assurance scheme operated by Network Rail for supply of training and assessment services.
<b>Rail Training Assurance Scheme (RTAS) Rules</b>	The rules that govern RTAS which all participants involved must adhere to.
<b>Reckless Contravention</b>	Deliberate acts by an individual and/or provider who knowingly breaks the rules. They deliberately ignore safety procedures without thinking or caring about the consequences.
<b>Required Personal Information</b>	Personal information about an Individual which is required to be shared with their Sponsor in order to evidence their own personal identity and/or health and wellbeing which affects their day-to-day work.
<b>Responsible Manager</b>	An Individual identified by relevant policies, standards, procedures and materials as responsible for an associated decision, person or activity.
<b>Responsible Team within Network Rail</b>	A team within Network Rail which is responsible for safety and/or Assurance processes and is involved within the RTAS process and rules.

<b>Rule Book</b>	The formal series of operational railway rules which are in handbook format and mandated across RMI.
<b>Sabotage or Malicious Intention</b>	Deliberate acts of sabotage and/or malicious intention by an individual and/or provider, where the purpose was to cause disruption and in doing so putting life at risk.
<b>Sentinel Database</b>	The database which maintains records, including safety critical details of Individuals and organisations involved in working on RMI.
<b>Sentinel Scheme</b>	The Sentinel Scheme consists of the Sentinel Scheme Rules and the associated Sentinel Database which maintains records, including safety critical details of Individuals and organisations involved in working on RMI.
<b>Sentinel Scheme Administrator</b>	The third party contracted by Network Rail to administer the Sentinel Scheme, including management of the Sentinel Database, call centre operation and Sentinel Smart Card production.
<b>Sentinel Scheme Rules</b>	The rules that govern the Sentinel Scheme that all participants of the Sentinel Scheme must adhere to. These can be acquired from the Sentinel website.
<b>Sentinel Smart Card</b>	An identity card issued and controlled through the Sentinel Scheme.
<b>Slips and Lapses</b>	The individual and/or provider actions which did not proceed as documented/required.
<b>Sole Trainer or Assessor</b>	An Assured Trainer and/or Assessor that delivers training and/or assessment under their own Assured Provider name and is the sole individual responsible for all Assured Provider and Assured Trainer and/or Assured Assessor RTAS requirements.
<b>Sponsor</b>	An organisation approved by Network Rail that establishes an agreement with an Individual for work on RMI. The Sponsor is the organisation responsible for organising an Individual to work on RMI and can be a Primary Sponsor or a Sub Sponsor.
<b>Sub Sponsor</b>	An organisation that, with the permission of the Primary Sponsor, uses an Individual to work on their behalf.
<b>Suspension</b>	Removal of an Assured Provider or Individual's Assurance to deliver training and/or assessment events, and their entitlement to notify Competence on the Sentinel Database.
<b>Swiped In/Out</b>	The act of using the Sentinel Smart Card to electronically record within the Sentinel Database the date, time and location that an Individual accessed and egressed to and from premises subject to the Sentinel Scheme.
<b>SWP</b>	Safe Work Pack.
<b>Temporary Suspension</b>	Removal of an Assured Provider or Individual's Assurance temporarily to deliver training and/or assessment events, and their entitlement to notify Competence on the Sentinel Database, as described in Clause 16 of the RTAS Formal Review

	Procedures. It is intended that Temporary Suspensions should be reviewed at regular intervals.
<b>Unannounced Assurance Visit(s)</b>	Assurance Visits which are conducted without any prior notice.
<b>Verifier</b>	A competent individual who has detailed understanding of assessment processes, techniques, methods and recording requirements.
<b>Verification Process</b>	A process by which the verifier undertakes internal quality assurance of assessment processes and practices.
<b>Whistleblowing</b>	A report of wrongdoing received through a formal confidential reporting process such as, but not limited to, CIRAS, Speak Out or other methods where the reporter's identity is protected. Reporting incidents through other channels cannot guarantee Whistle-blower status and associated anonymity.
<b>Workplace Assessment</b>	An assessment which an Individual is required to undertake as per the relevant Network Rail Competence Standard in order to maintain Competence and which sits outside the scope of On-Line Exams.