

What

The Interim RTAS Rules [December 2013] have been rewritten by Network Rail with NSAR support. They have also been reviewed by and feedback applied from the ARTP Board, further reviewed and amended as a result of legal scrutiny and formally approved by Network Rail.

The RTAS Rules V1.0 are published along with this briefing note to provide a clear and detailed set of rules by which Assured Providers (Training and Assessment providers), Assured Trainers and Assured Assessors are governed by NSAR as the nominated Assurance Organisation with delegated responsibility from Network Rail.

Supporting appendices providing additional detail on processes will be published in due course and do not affect the ability to implement the RTAS Rules v1.0

Why

The Interim RTAS Rules [December 2013] were created in 2012 to make distinctive Sentinel Scheme Rules for sponsors and RTAS Rules for training and assessment provision, separating them from the Sentinel Scheme Rules standard. They were published as an interim measure with intent to implement a version 1.0 of the RTAS Rules in the future.

The RTAS Rules review has been undertaken to provide clarity, removing ambiguity in clauses and ensuring requirements of individual roles within the RTAS Scheme are detailed and clear. Experience from the previous two years has been used and some of the changes have been included to future proof the scheme.

When

The RTAS Rules V1.0 will be mandatory from **Monday 28th May 2018**. During the period leading up to the compliance date, NSAR Assurance Visits will expect to see preparatory actions underway to fulfil changes to requirements within the RTAS Rules V1.0.

Assurance Visits and other general assurance work, including potential breaches undertaken after the compliance date will be fully assessed against RTAS Rules V1.0. Course Pack verifications will be completed using the Rules in place at the time of the course and/or assessment delivery and will be documented clearly within reports and action plans.

Summary of Changes

Assured Providers and Assured Individuals – training and assessment providers and individual trainer/assessors

Responsibilities have been clearly defined in detail for managing the following;

- Working hours
- Sentinel swipe in/out
- De-sponsorship
- Certification
- Ceased trading and change of control requirements
- Suspensions – refusal to co-operate with an investigation and Assurance Visits applicable to both provider and individuals
- Suspended providers sub-contracting their work
- Mentorship process clarified including timeline & occupational evidence
- Records defined, mandated and, where applicable, increased
- Clarity around document retention & access
- Prohibition on sharing system log-in details
- Access to Rail Managed Infrastructure requirements
- Inclusion that Sole Trainers and Assessors are defined as Assured Providers and subject to Provider and Individual Assured trainer/assessor requirements
- Manufactured assessments definition and process
- Practical site approval process and requirements
- Requirements of management meeting documentation
- CPD, trainer/assessor observations, upskilling & exams
- Equal opportunities support – functional skills (dyslexia)
- Assured positions and positions of influence [Guiding Mind] requirements clearly defined

Assurance Organisation [NSAR]

Clarity of purpose, role and responsibilities of the Assurance Organisation [NSAR];

- Process defined for assurance visits and grading appeals
- Network Rail governance for Assurance Organisation decisions and actions
- Definition of unannounced visits

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Publication of the RTAS Rules V1.0

- Failure to cooperate with Assurance Visits

The investigation process:

The process has been updated with the following changes:

Removal of training provider local investigations and replaced with a clear investigation process that includes;

- Name of investigation
- Lead investigator position
- Hierarchy of review including responsibilities and timescales
- Formal review – NSAR
- Formal review Appeals and Appeal Hearings – NWR
- Appeal hearings and timeframe included
- Refresh of RTAS Outcome Guidelines

Action required

All providers must provide copies of, and brief, the updated RTAS Rules V1.0 to all training/assessment delivery and support staff including assured trainers/assessors, management, administration and positions of influence [Guiding Minds] before the compliance date and return briefing registers and documentation to accreditationadmin@nsar.co.uk **no later than 31 May 2018**.

NSAR will be dedicating a future Training Provider Forum to the updated RTAS Rules V1.0 providing opportunities to discuss directly and openly with NSAR.

NSAR can also be contacted with queries for response via correspondence to accreditationadmin@nsar.co.uk.