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2 Document Approval

Description	Name / Title	Signature	Date
Prepared by:	Rhys Richardson / Training & Assessment Manager		21/11/2026
Reviewed by:	Rhys Richardson / Managing Director		21/11/2026
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3 Version Control Table

Version Number	Date of Edits	Person Editing	Summary Changes
0.1	29/10/2023	Rhys Richardson (RR)	Created in draft
1.0	05/12/2023	Rhys Richardson (RR)	Approved for use.
1.1	21/03/2024	Rhys Richardson (RR)	Amended to include digital form submission.
2.0	20/12/2025	Rhys Richardson (RR)	Replaced SOP02 with a fully structured RTAS Management System procedure. Expanded scope beyond track safety, introduced formal definitions, clarified roles and responsibilities, strengthened governance and escalation controls, aligned timeframes to RISQS & RTAS expectations, formalised evidence review requirements, added independence safeguards, improved audit trail and records retention, and aligned explicitly to RTAS Rule 4.2.42 and RISQS requirements.
2.1	21/11/2026	Rhys Richardson (RR)	Approved for use (R. Richardson, MD, 21/11/2026); use from 01/12/2026 after staff briefing. Stage 2 appeals go to the next senior manager or the Deputy Training and Assessment Manager, independent of stage 1 (MD decision 21/11/2026), instead of the Managing Director. Stage 2 is final; onward "governing body" route removed (no RTAS or NSAR appeal route for assessment decisions); right to report suspected RTAS breaches to NSAR noted (RTAS 11.1, 12.1, 12.5.1).

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5 Definitions

For this document, the following definitions apply:

- **Appeal**
  A formal request made by a candidate to review a training, assessment or examination decision where they believe the outcome was unfair, incorrect, or not in accordance with applicable standards, procedures or evidence.
- **Assured Provider**
  An organisation authorised by the Assurance Organisation (AO) to deliver training and assessment activities in accordance with the Rail Training Assurance Scheme (RTAS).
- **Assurance Organisation (AO)**
  An organisation authorised to provide assurance of training and assessment activities in accordance with the Rail Training Assurance Scheme (RTAS).
- **Candidate**
  Any individual undertaking training, assessment or examination delivered by Richardson Rail Services Ltd.
- **Stage 2 Reviewer**
  The next senior manager or the Deputy Training and Assessment Manager, who must be independent of the stage 1 decision (no part in the event under appeal or the stage 1 review). The TAM records who the Stage 2 Reviewer is on the appeal record when the appeal is escalated.
- **RTAS**
  The Rail Training Assurance Scheme, which sets the governance, assurance and quality requirements for rail training and assessment delivery.
- **Training and Assessment Manager (TAM)**
  The individual responsible for managing training, assessment and assurance activities, including the review, investigation and determination of appeals.
- **Trainer / Assessor**
  A competent individual authorised by Richardson Rail Services Ltd to deliver training and/or conduct assessments in accordance with RTAS and applicable standards.

6 Purpose

The purpose of this document is to define a high-quality process that outlines the steps necessary for candidates who have attended training or assessment events to appeal any result / outcome that they feel us unfair or unjust.
This process aligns with the assessment and training requirements as specified in RTAS rules 4.2.42.

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7 Scope

This procedure applies to all training, assessment and examination activities delivered by Richardson Rail Services Ltd, whether undertaken at RRSL premises, third-party venues, client sites or online environments.
It applies to all individuals and roles involved in the delivery of training and assessment activities, including (but not limited to):

- Sentinel logged competencies.
- Non-Sentinel logged competencies.
- Events without a need for certification or result (e.g. Post incident).

8 Detailed step-by-step process.

The below will act as a detailed process for candidates and RRSL staff to understand their obligations and steps needed to be taken, as well as time frames and possible outcomes.

- Where the responsibility or action is to be done by RRSL trainer or assessor the abbreviation (RRTA) will be used.
- Where the responsibility or action is to be done by the candidate the abbreviation (RRCA) will be used.
- Where the responsibility or action is to be done by RRSL's Training and assessment manager the abbreviation (RRTM) will be used.
- Where the responsibility or action is to be done as part of RRSL's booking process or admin team the abbreviation (RRSA) will be used.
- Where the responsibility or action is to be done by the Stage 2 Reviewer (the next senior manager or the Deputy Training and Assessment Manager, independent of the stage 1 decision) the abbreviation (RRS2) will be used.

8.1 Pre-Event

- (RRCA / RRSA) As part of the joining instruction email, there will be the inclusion of the appeals process document for candidates to be able to read and understand. If at this stage the candidate disagrees with the appeal process that might be used, they must inform their sponsor and request cancelation of the booked event.
- (RRCA) If the candidate would like a hard copy of the appeals process, they must request this directly or via their sponsor, at least four (4) working days in advanced of the event start date.
- (RRSLS) Before commencing any training or assessment event, the Trainer/Assessor must remind all candidates of the appeals process, the steps in the process and that they have the right to use it if necessary. Remind candidates that if they do not like, or agree with the appeals process, they must speak up now and not continue with the events as booked.

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8.2 At the event outcome

- (RRCA) If a Candidate believes that a decision made by the Trainer/Assessor is unjust, they should communicate their concerns verbally to the staff member at the time the decision is made. They should explain the reasons for their dissatisfaction and specify the areas where they feel they have not been assessed, trained or treated fairly.
- (RRSLS) The Trainer/Assessor should ensure to listen to the candidates concerns, and then, clearly state the areas where the candidate needed to provide or demonstrate more evidence in the ongoing assessment / Exam / Training event as applicable, ensuring to provid a clear and evidence supported outcome that shows the candidate how and why the outcome was selected.
- (RRCA) If the Candidate is still aggrieved following the Trainer/Assessor's explanation, an appeal report form should be completed.
    - If on a workplace assessment, the assessment paperwork should be clearly marked as disagreed to by the candidate.
    - If on a training event, the candidate must write the disagreement on the post course objectives form when offered it by the trainer.

8.3 Post Event – Appeal Submission

- (RRCA) The Appeals form (TRA-031) should be provided directly to the Training and Assessment Manager by sending the completed form: By completion of the from using this online link - **https://form.jotform.com/253594948209067**.
    - The appeal request must be completed within Five (5) working days post completion of the event, otherwise it will be disregarded.
- (RRTM) The Training and Assessment Manager will notify the candidate of receipt of the appeal. Typically, the notification will be within seven (7) working days of receipt of the initial email. But will be in no more than ten (10) working days.

8.4 Appeal review & outcome

- (RRTM) The Training and Assessment Manager will start reviewing all evidence provided by the candidate, including any provided images, records and statements.
    - This review will then extend to the relevant assurance records for the event, as well as reviewing the Trainer/Assessor; relevant records and information. This can include but is not limited to.
        - Completed paperwork from the event by the candidate.
        - Completed paperwork from the event by the Trainer / Assessor.
        - Checking for confirmation from the candidate that they did not agree with the outcome at the time (recorded on paperwork as per 8.2.)
        - Trainer / Assessor feedback records.
        - Trainer / Assessor trends of outcomes vs E&D monitoring data.
        - Trainer / Assessor IQA & EQA reports.
        - Prior appeals or complaints from the candidate.

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    - Prior appeals or complaints toward the Trainer / Assessor.
- (RRTM) Following a holistic review of all applicable and supporting evidence, the TAM will decide within 10 working days (Calculated from the sent date of the of the appeal received notification sent to the candidate), a decision and outcome on the appeal.
- (RRTM) The appeal decision will be provided, in a clear written explanation to the candidate, including why and how the outcome has been decided.

If the Training and Assessment Manager is unable to reach a decision based on the information given, or if the candidate does not accept that decision, it will be escalated to the Stage 2 Reviewer (the next senior manager or the Deputy Training and Assessment Manager, independent of the stage 1 decision).

8.4.1 Accepting appeal outcome

- (RRCA) If the grievance is resolved and the candidate accepts the decision; they should aim to respond in writing within two (2) working days. There will be no further action required by RRSL upon the candidate accepting the decision.
- (RRSA) If there is no written reply from the candidate within two (2) working days, this will be recorded. The appeal is then considered accepted and closed. This will not be re-opened following subsequent communications if received.

8.4.2 Unresolved or disagreement of the outcome

- (RRCA) If the grievance is unresolved and the candidate does not accept the decision; they must respond in writing within two (2) working days.
- (RRTM) The TAM should then respond, following a further review of all the evidence confirming upholding or changing of the appeal outcome withing seven (7) working days.
- (RRCA) Candidate either agrees (Follow 8.4.1) or disagrees (continues below).
- (RRTM) If unresolved or the TAM cannot agree on its resolution, it will be escalated to the Stage 2 Reviewer. However, before taking this step, the TAM shall:
    - Check that the candidate is satisfied that all the relevant information is contained within the appeal outcome and report (by reading this to the candidate if necessary).
        - If the candidate is not satisfied, the Training and Assessment Manager should obtain a second appeals record form to expand on the information given by the Candidate.
- (RRTM) Once done the Training and Assessment Manager must then send the Stage 2 Reviewer all the relevant evidence, assessment (or training) records/plans and the appeals report form.
    - Attach their own report to explain why they have upheld their decision.
    - Attach the report of the candidate and why they disagree with the outcome of the appeal
    - CC in the candidate to the email.

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- (RRS2) The Stage 2 Reviewer will decide within two weeks (14 working days) after receiving information from the Training and Assessment Manager.
    - This is following a detailed review of all the evidence, and as required arranging meetings with the candidate, assessor/ Trainer and Training and assessment manager.
    - The decision will be based on the interviews and supporting evidence.
- (RRS2) Will ensure that following the decision, the candidate will receive a written summary and report.
- (RRCA) The Stage 2 Reviewer's decision is final (see 8.5).

8.5 Final decision

- (RRS2) The Stage 2 Reviewer's decision is final and ends RRSL's appeals process. There is no further appeal of an assessment decision to NSAR or Network Rail: RTAS Rules V2.1 clause 4.2.42 requires the Assured Provider's own appeals procedure only, and NSAR's published complaints procedure (TA020) covers complaints about NSAR's own conduct.
- This does not affect anyone's right to report a suspected breach of the RTAS Rules (for example malpractice) to NSAR at FormalReview@nsar.co.uk, or anonymously through CIRAS or Network Rail Speak Out (RTAS Rules V2.1 clauses 11.1, 12.1 and 12.5.1). Such a report is not an appeal and does not change an assessment result.

(RRTM) Record the final outcome on the appeal record and confirm to the candidate in writing that the stage 2 decision is final.

9 Evidence & records

- (RRTM) The Training and Assessment Manager will record all appeals and back them all up electronically for future audit purposes. These will be retained for the same duration as the assurance evidence of the event that they correspond to.
- (RRTM) The records must be stored in the correct location within our DMS and, when possible, links created in the original evidence folders to the appeal.

10 Additional notes

- If the trainer/assessor involved in an appeal request is the Training and Assessment Manager, stage 1 will be reviewed by the next senior person in line. Stage 2 then goes to a Stage 2 Reviewer who took no part in stage 1 (the Deputy Training and Assessment Manager or another senior manager). Nobody decides an appeal against their own decision (GOV_001_26 §12).
- Please note that appeals and complaints must be submitted separately and cannot be combined on one form. For information on how to file a complaint, please refer to its own instruction document.

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- Because the Training and Assessment Manager is also the Managing Director, stage 2 is not decided by the Managing Director; it always goes to the Stage 2 Reviewer.
- Where possible and practicable the appeal will not be handled by the assessor or trainer who the appeal is against.

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APPENDIX A – Possible outcomes from the appeal

A1. Purpose of this appendix

This appendix identifies the possible outcomes that could be made by Richardson Rail Services Ltd following the completion of the appeals process.

A2. Candidate outcomes

Following a review of all evidence the following are possible (but not exhaustive) outcomes for the candidate following the appeal:

- Re-assessment or attendance of training for free.
- Re-assessment or attendance of training for discount.
- No Further action / changes.
- Change of assessment or training event outcome to;
    - Competent.
    - Not Yet Competent.
    - Not Competent.
- Referral for formal review.
- Notification to sponsor or sentinel of errors or omissions.

A3. RRSL staff outcomes

Following a review of all evidence the following are possible (but not exhaustive) outcomes for the candidate following the appeal:

- No further action.
- Referral for formal review.
- Internal discipline process actions.
- Takedown of capability.
- Takedown of competence.
- Notification to sponsor or sentinel of errors or omissions.

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