

Changes to the Sentinel Scheme Rules June 2018

Compliance date: 9 July 2018

Clause	Changes	Rationale for Change
Non-Trackside Sentinel Scheme Rules.	Non-Trackside rules are now within the Sentinel Scheme rules along with the declaration in Appendix G. (See section 6.1)	As the rules are almost the same they have been merged. Any parts that are slightly different have been noted in the rules.
Section 2.1 – All sponsors	The bullet point ‘Maintaining a minimum contracted insurance level for works undertaken by individuals being put to work’ has been removed.	It was removed as this would be specific to each contract
Section 2.1 – All sponsors	A bullet point has been added to say ‘All works must be planned and authorised’	As per the Network Rail Standard NR/L2/OHS/019 - Safety of People Working On or Near the Line. It is also a requirement to plan works on TfL infrastructure
Section 2.2 f) – Safety Critical Equipment to enable the Individual to undertake their role (jointly with any Sub-sponsor).	It now reads, ‘Safety Critical Equipment to enable the Individual to undertake their role (<i>where a sponsored individual only requires Safety Critical Equipment for works undertaken for the Sub-Sponsor, then this equipment shall be provided by the Sub-Sponsor</i>)’.	More clarity on who provides the Safety Critical Equipment to the individual.
Section 2.3 – Sub-sponsors	The Sub-sponsor must have agreement from the Primary Sponsor before resourcing the individual to work.	Clarity added as some Sub-sponsors have not been having confirmation back from the Primary Sponsor before the individual commences work.
Section 2.3 – Sub-Sponsors	A timescale of 14 days has been added for when Sub-Sponsors should inform the Primary Sponsor of an alleged scheme breach by the individual they are using.	Some Primary Sponsors are unaware of a breach until they are contacted by the Infrastructure Maintainer.

<p>Section 2.4 – Individual Cardholder</p>	<p>Additional details of the accountability of individual have been added to this section.</p> <p>This includes that the individual must have confirmation they have approval from the primary sponsor before working for a sub-sponsor must have confirmation they have approval from the Primary Sponsor before working for a Sub-Sponsor.</p>	<p>There have been a number of investigations where the individuals under investigation were unsure of their own personal responsibility whilst working for their own and others safety, as well as having confirmation from their Primary Sponsor that they can be Sub-Sponsored.</p>
<p>Section 3.5 – Management of Working Hours</p>	<p>The wording has been amended to say the sponsors can use the database data rather than them being sent data from the scheme administrators.</p>	<p>It has been changed as some Primary Sponsors were expecting a report from Network Rail when the system has been set up for them to manage sponsored individuals working hours.</p>
<p>Section 3.6 – Sub-sponsors must provide further PPE as required by any task based risk assessment they conduct.</p>	<p>This now reads; All sponsors must provide further PPE as required by any task based risk assessment they conduct.</p>	<p>The word All has replaced the word Sub-Sponsors.</p>
<p>Section 3.12 – De-sponsoring Individuals.</p>	<p>The note has been amended to say that a Primary Sponsor must act upon an individual’s request for de-sponsorship within 5 working days.</p>	<p>A number of complaints have been received from individuals who are being stopped from moving Sponsors for non-safety related reasons, that relate to employment agreements or arrangements that are outside of the scope of the Sentinel Scheme Rules.</p> <p>The rules have made it clearer that the Sentinel Scheme Rules give no rights to Sponsors to refuse de-Sponsorship, other than for safety reasons where a breach of the Sentinel Scheme Rules is suspected.</p>
<p>Section 3.13 – Confidential Reporting Service</p>	<p>Clarity on what is required with the additional inclusion of Appendix B</p>	<p>This has always been available but has not been posted with the rules of the website.</p>

Section 4 – Breaches of the Sentinel Scheme Rules	Additional details added to some of the breaches and any breach of bullying, harassment or discrimination has been removed.	<p>The Formal Review panel have had many investigations submitted that were not a breach but the wording of the breaches lead the sponsor to think they were.</p> <p>Also the bully, harassment or discrimination breaches were removed as these should be dealt with by the sponsors own Human Resources (HR) processes.</p>
Section 5.2 - Investigations by Primary Sponsor	Has been put into the correct sequence and made clearer at the beginning to reiterate that a Primary Sponsor cannot de-sponsor an individual who is under investigation.	<p>There have been numerous occasions where an individual under investigation has been de-sponsored by the Primary Sponsor, either while they are carrying out an investigation or without carrying one out.</p> <p>This has led to individuals being sponsored by another sponsor and allowed back on the infrastructure.</p>
Section 5.4 - Sentinel Formal Review Panel	Expanded to explain the areas of Network Rail that make up the membership of the Formal Review panel.	Names are not published due to past threats of violence and death against the individuals on the panel.
Section 6.3 - Single Sponsor ID for multi companies within the same group	Amended to say they can have a single ID in Sentinel but will be at risk of losing access to all parts of the company if one part fails an audit.	<p>This has been in place since 2013 but sponsors are unaware that if one part of the business fails a RISQS audit then all access in the current Sentinel system will have their access frozen until an audit is passed.</p> <p>By being frozen in the system, individuals cannot be accepted on site without a valid sponsor.</p>

Section 6.4 – Novation of Sponsorship (<i>formally 6.1.3</i>)	Comment added that acceptance of the Material Change Report that any assurance audit arising from this may incur costs.	RISQS may charge to carry out an assurance visit after the novation of individuals.
Appendix A - Contacts added	Details of who to contact and when has been added.	This is so that Network Rail are the main point of contact and any other Infrastructure maintainers (TfL etc.) will be included on any Formal Review panel to review breaches on their infrastructure.
Appendix E – Fair Culture Consequences Model	Added as an appendix	This was original referred to in the scheme rules as ‘Just Culture’ Consequences Model in the past prior to the fair culture process being published.

The following sections in version 2 – June 2015 were removed from Version 3

Section	Reason
Section 2.5 – Network Rail	This section has been removal as details were repeated in the rules or added to other sections for clarity.
Section 2.6 - Sentinel Scheme Administrator	Removed as this was more about how the Sentinel system is run as part of the system supplier rather than a scheme rule.