

# Technical Authority

Providing technical leadership



## SMTH Transition Assessment Appeals Procedure

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**Version control**

Issue	Date	Summary of change
1	January 2025	First Draft

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Published and issued by Network Rail, Waterloo General Offices, London, SE1 8SW

SMTH Transition Assessment Appeals Procedure

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## SMTH Transition Assessment Appeals Procedure

### **1 Scope**

This document sets out the appeals process which is applicable to any individual who is undergoing the transition assessment for SMTH through the online transition assessment pathway, and wishes to appeal the outcome of any of their assessments.

### **2 Appeals Process**

The flowchart (Figure 1) shows the appeals process. The table (Table 1) gives further information in relation to that step of the process. The two should be read alongside each other.

Appeals can be made in response to the outcome of any of the individual assessments within the SMTH transition assessment. Appeals can be made after the first, second or third attempts at an assessment.

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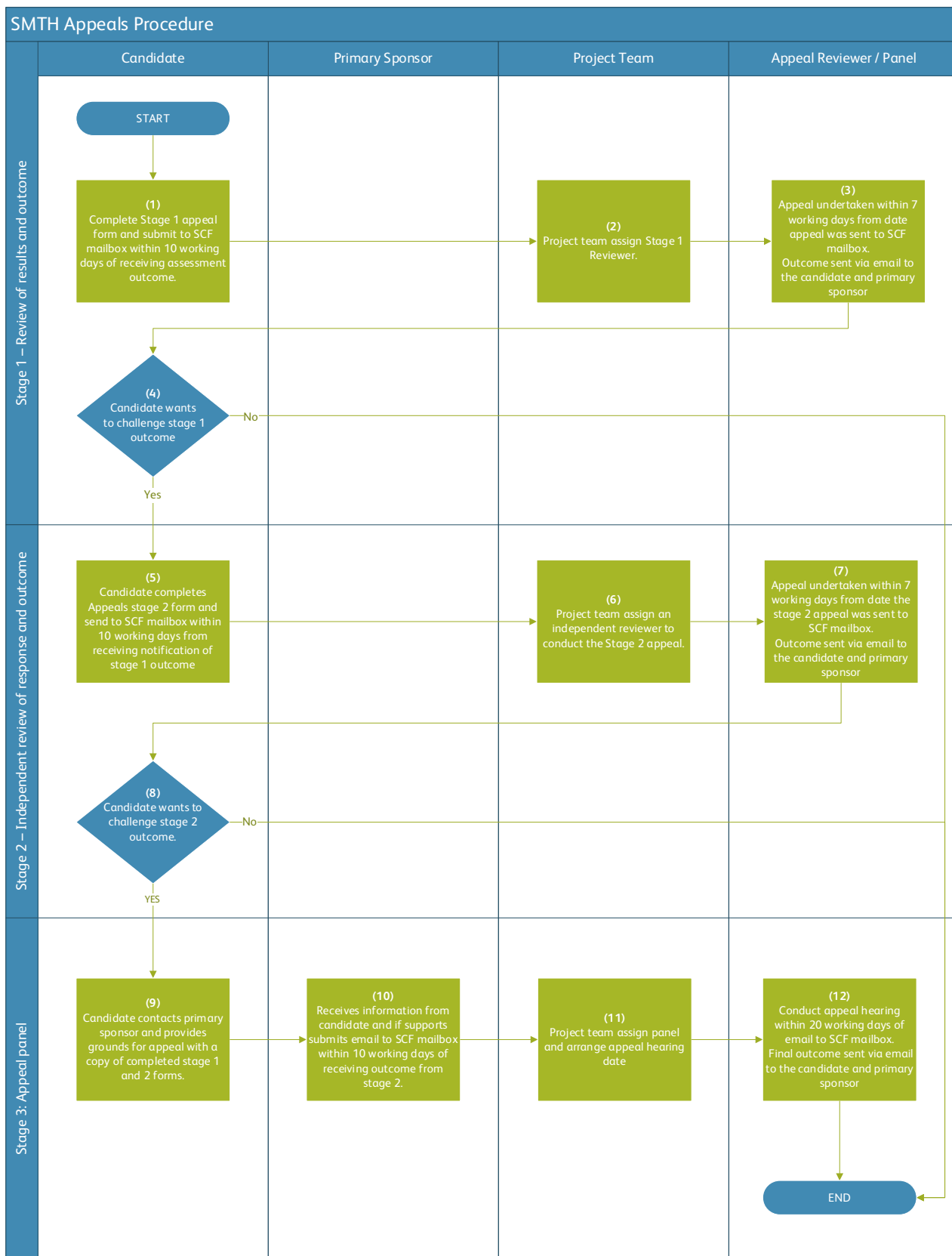


Figure 1: The Appeals Process Flowchart

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Step	Description	Internal Process for information
1	<p>The candidate has 10 working days from receiving the assessment outcome to submit an appeal.</p> <p>To submit an appeal the candidate shall complete the stage 1 appeals form and submits this via email to the SCF Mailbox.</p> <p>The form can be found on the SMTH Industry Competence Standardisation Safety Central webpage:  <a href="https://safety.networkrail.co.uk/safety/signal-and-level-crossing-engineering/smith-industry-competence-management-standardisation/">(https://safety.networkrail.co.uk/safety/signal-and-level-crossing-engineering/smith-industry-competence-management-standardisation/)</a>.</p> <p>An appeal form submitted later than 10 working days after the assessment outcome had been received will not normally be considered unless extenuating circumstances exist.</p>	<p>No internal project team actions at this stage.</p>
2	<p>The reviewer is allocated by the project team through SCF mailbox triage.</p>	<p>When an email requesting an appeal is received into the SCF mailbox it shall be marked as 'High' Priority.</p> <p>The project team will confirm that the appeal has been received within 10 days of the assessment outcome being received by the candidate. Appeals received more than 10 days after the assessment outcome has been received by the candidate shall be rejected unless extenuating circumstances exist.</p> <p>The stage 1 appeal review should be allocated to the reviewer who undertook the initial proctoring review for the assessment in question.</p> <p>Note: where this is not possible any of the reviewers can be called upon to review the stage 1 appeal.</p> <p>The stage 1 appeal reviewer should be notified and agree that they have been assigned an appeal to review.</p>
3	<p>The stage 1 appeal reviewer shall reconsider the assessment outcome after reviewing:</p> <ul style="list-style-type: none"> <li>• The completed stage 1 appeals form</li> <li>• Evidence used in the decision-making process to date</li> <li>• Any additional evidence provided</li> </ul>	<p>The stage 1 appeal reviewer shall consider the stage 1 appeals form and any other required evidence to decide if the appeal is to be upheld or rejected.</p> <p>Consideration should also be given to any recovery pathway to be provided to</p>

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Step	Description	Internal Process for information
	<p>The stage 1 appeal outcome decision is made as either appeal upheld, or appeal rejected.</p> <p>The stage 1 appeal outcome is sent to the candidate and primary sponsor within 7 working days from the date the completed stage 1 appeals form was received into the SCF mailbox.</p>	<p>the candidate if it is applicable. This could include the outcomes below:</p> <ul style="list-style-type: none"> <li>• The attempt is valid, and no additional action is required, the candidate shall proceed following the prescribed processes (3 attempts allowed)</li> <li>• Allowing an additional attempt at an assessment</li> </ul> <p>The outcome of the appeal shall be recorded and sent, by the stage 1 appeal reviewer, from the SCF mailbox to the candidate and the primary sponsor.</p> <p>The SCF mailbox should also be copied into this email for retention of records.</p> <p>The email shall include:</p> <ul style="list-style-type: none"> <li>• Date stage 1 appeal was conducted</li> <li>• What the decision of the appeal was (Upheld or Rejected)</li> <li>• any details that support the decision made by the reviewer.</li> <li>• Signpost any next steps</li> </ul>
4	<p>The candidate can submit a stage 2 appeal if they feel:</p> <ul style="list-style-type: none"> <li>• The result of the stage 1 appeal is not correct, or</li> <li>• There is further evidence that has not been considered, or</li> <li>• The appeals procedure has not been correctly followed.</li> </ul>	<p>No internal project team actions at this stage.</p>
5	<p>The candidate has 10 working days from receiving the stage 1 appeal outcome to submit a stage 2 appeal request.</p> <p>To submit an appeal the candidate shall complete the stage 2 appeals form and submits this via email to the SCF Mailbox.</p> <p>The form can be found on the SMTH Industry Competence Standardisation Safety Central webpage:  <a href="https://safety.networkrail.co.uk/safety/signal-and-level-crossing-engineering/smith-industry-competence-management-standardisation/">(https://safety.networkrail.co.uk/safety/signal-and-level-crossing-engineering/smith-industry-competence-management-standardisation/)</a>.</p>	<p>No internal project team actions at this stage.</p>

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Step	Description	Internal Process for information
	<p>An appeal form submitted later than 10 working days after the assessment outcome had been received will not normally be considered unless extenuating circumstances exist.</p>	
6	<p>The stage 2 appeal reviewer is allocated by the project team through SCF mailbox triage.</p>	<p>When an email requesting an appeal is received into the SCF mailbox it shall be marked as 'High' Priority.</p> <p>The project team will confirm that the appeal has been received within 10 days of the assessment outcome being received by the candidate. Appeals received more than 10 days after the assessment outcome has been received by the candidate shall be rejected unless extenuating circumstances exist.</p> <p>The stage 2 appeal shall be allocated to a reviewer who is independent of the initial procotoring review and stage 1 appeal.</p> <p>The stage 2 appeal reviewer should be notified and agree that they have been assigned an appeal to review.</p>
7	<p>The stage 2 appeal reviewer shall reconsider the assessment outcome after reviewing:</p> <ul style="list-style-type: none"> <li>• The completed stage 1 appeals form</li> <li>• The completed stage 2 appeals form</li> <li>• The rationale for the stage 1 appeal decision</li> <li>• Evidence used in the decision-making process to date</li> <li>• Any additional evidence provided</li> </ul> <p>The stage 2 appeal outcome decision is made as either appeal upheld, or appeal rejected.</p> <p>The stage 2 appeal outcome is sent to the candidate and primary sponsor within 7 working days from the date the completed stage 2 appeals form was received into the SCF mailbox.</p>	<p>The stage 2 appeal reviewer shall consider the stage 2 appeals form and any other required evidence to decide if the appeal is to be upheld or rejected.</p> <p>Consideration should also be given to any recovery pathway to be provided to the candidate if it is applicable. This could include the outcomes below:</p> <ul style="list-style-type: none"> <li>• The attempt is valid, and no additional action is required, the candidate shall proceed following the prescribed processes (3 attempts allowed)</li> <li>• Allowing an additional attempt at an assessment</li> </ul> <p>The outcome of the appeal shall be recorded and sent, by the stage 2 appeal reviewer, from the SCF mailbox to the candidate and the primary sponsor.</p> <p>The SCF mailbox should also be copied into this email for retention of records.</p> <p>The email shall include:</p>



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Step	Description	Internal Process for information
		<ul style="list-style-type: none"> <li>• Date stage 2 appeal was conducted</li> <li>• What the decision of the appeal was (Upheld or Rejected)</li> <li>• any details that support the decision made by the reviewer.</li> <li>• Signpost any next steps</li> </ul>
8	<p>The candidate can submit a stage 3 appeal if they feel:</p> <ul style="list-style-type: none"> <li>• The result of the stage 2 appeal is not correct, or</li> <li>• There is further evidence that has not been considered, or</li> <li>• The appeals procedure has not been correctly followed.</li> </ul> <p>The stage 3 appeal will require the support of the candidate's primary sponsor to be submitted.</p>	No internal project team actions at this stage.
9	<p>The candidate receives the Stage 2 appeal outcome and, in conjunction with their primary sponsor, has 10 working days to arrange for a stage 3 appeal request to be submitted.</p> <p>The Candidate should provide the primary sponsor with:</p> <ul style="list-style-type: none"> <li>• Assessment outcome</li> <li>• The completed Stage 1 appeal form</li> <li>• The stage 1 appeal outcome</li> <li>• The completed Stage 2 appeal form</li> <li>• The stage 2 appeal outcome</li> <li>• Additional information / evidence that is to be used for the basis of a stage 3 appeal.</li> </ul>	No internal project team actions at this stage.
10	<p>The Primary Sponsor reviews the evidence supplied by the candidate and determines whether they wish to submit a stage 3 appeal.</p> <p>This needs to be completed within 10 working days of the candidate and primary sponsor receiving the stage 2 appeal outcome.</p> <p>The primary sponsor shall send an email, along with the evidence, to the SCF mailbox.</p> <p>Note: There is no stage 3 appeal form for the candidate or primary sponsor to submit.</p>	No internal project team actions at this stage.

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Step	Description	Internal Process for information
	Any appeal submitted after 10 working days from the stage 2 appeal outcome being received would not normally be considered unless extenuating circumstances exist.	
11	<p>A stage 3 appeal request email is received into the SCF mailbox.</p> <p>The project team organise an appeal panel and set a hearing date for the stage 3 appeal (with the aim of completing the stage 3 appeal within 20 working days from receiving the stage 3 appeal request email from the sponsor).</p>	<p>When an email requesting an appeal is received into the SCF mailbox it shall be marked as 'High' Priority.</p> <p>The project team shall be notified of a stage 3 appeal being received.</p> <p>The project team will confirm that the appeal has been received within 10 days of the assessment outcome being received by the candidate. Appeals received more than 10 days after the assessment outcome has been received by the candidate shall be rejected unless extenuating circumstances exist.</p> <p>The project team shall:</p> <ul style="list-style-type: none"> <li>• Appoint a suitable panel</li> <li>• Arrange a suitable date for the appeal to be held (online or face to face)</li> <li>• Send the final stage 3 appeals outcome to the candidate and primary sponsor</li> </ul> <p>The candidate shall be advised of:</p> <ul style="list-style-type: none"> <li>• The date of the appeal hearing</li> <li>• The composition of the panel and of their right to object to any of the proposed members whom they do not consider to be sufficiently independent</li> <li>• Their right to attend the hearing and to submit any other written evidence to support their appeal.</li> <li>• Their right to be accompanied by an adviser, who may speak on their behalf.</li> </ul> <p>The primary sponsor shall be advised of:</p> <ul style="list-style-type: none"> <li>• The date of the appeal hearing</li> <li>• The composition of the panel and of their right to object to any of the proposed members whom they do not consider to be sufficiently independent</li> </ul>
12	The final stage 3 appeal is heard.	All parties that form the appeals panel shall have access to all information before the appeal panel.

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Step	Description	Internal Process for information
	<p>The final stage 3 appeal outcome decision is made, either appeal upheld, or appeal rejected.</p> <p>The final stage 3 appeal outcome is sent to the candidate and primary sponsor within 20 working days from the date the request for a stage 3 appeal was received into the SCF mailbox.</p>	<p>The appeals panel shall include:</p> <ul style="list-style-type: none"> <li>• The Network Technical Head of Signalling, Network Technical Head of Level Crossings Engineering or Chief Control, Command &amp; Signalling Engineer</li> <li>• A representative of the primary sponsor</li> <li>• Any Subject Matter Expert that may be required</li> <li>• The candidate and adviser if applicable</li> <li>• An individual to record minutes of the meeting</li> </ul> <p>The appeal hearing will be chaired by one of the Network Technical Heads or the Chief CCS Engineer.</p> <p>The panel shall consider the stage 3 appeals evidence and any other required evidence to decide if the appeal is to be upheld or rejected.</p> <p>Consideration should also be given to any recovery pathway to be provided to the candidate if it is applicable. This could include the outcomes below:</p> <ul style="list-style-type: none"> <li>• The attempt is valid, and no additional action is required, the candidate shall proceed following the prescribed processes (3 attempts allowed)</li> <li>• Allowing an additional attempt at an assessment</li> </ul> <p>The outcome of the appeal shall be recorded and sent, by the panel along with the appeal hearing minutes.</p> <p>The Chair of the appeals panel will arrange the final stage 3 outcome to be sent to the candidate and the primary sponsor. This would normally be through an email sent from the SCF mailbox.</p> <p>The SCF mailbox should also be copied into this email for retention of records.</p> <p>The email shall include:</p> <ul style="list-style-type: none"> <li>• Date appeal was conducted</li> </ul>

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Step	Description	Internal Process for information
		<ul style="list-style-type: none"> <li>• What the decision of the appeal was (Upheld or Rejected)</li> <li>• any details that support the decision made by the reviewer.</li> <li>• a copy of the stage 3 appeal hearing minutes.</li> <li>• Signpost any next steps</li> </ul>

**Table 1: The details of each step of the appeals process**

### 3 Glossary

Term	Definition
Appeal Upheld	The appeal submitted by the candidate is valid and acknowledged. This may change the original assessment outcome and would normally result in a change for the candidate who raised the appeal request.
Appeal Rejected	The appeal submitted by the candidate was not supported by the reviewer / appeal panel. The original assessment outcome would normally stand and the appeal dismissed.
Reviewer	<p>A member of the project team who is authorised to undertake proctoring on the Inspira platform. Currently these are individuals who are undertaking the following roles within the project team:</p> <ul style="list-style-type: none"> <li>• Data analysts,</li> <li>• Technical Capability Manager, or</li> <li>• Principal Engineer</li> </ul>
SCF Mailbox	<p>The Signalling Competence Framework mailbox.</p> <p><a href="mailto:signallingcompetencyframework@networkrail.co.uk">signallingcompetencyframework@networkrail.co.uk</a></p>

**Table 1 – Terms**