

| Sentinel Scheme Formal Review 2016   |   |                   |  |                   |                      |
|--|---|-------------------|--|-------------------|----------------------|
| Rule Breach  | Number  | Sanctions Applied | Sanctions Not Applied<br><i>Sponsors Outcome Accepted or Insufficient Evidence</i> | Successful Appeal | Unsuccessful Appeals |
| 4.1 Any action of theft, attempted theft, fraud, or falsification of documentation or records  | 8   | 5                 | 3  |                   | 1                    |
| 4.2 Any conviction related to theft or attempted theft of railway materials  | 2   | 2                 |  |                   |                      |
| 4.3 Any breach of the Drugs and Alcohol (D&A) 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.  | <i>These do not go to the Formal Review as these incidents are reviewed by a different process outlined in the D&amp;A standard (NR/L1/OHS/051) although sanctions are applied in Sentinel.</i> |                   |  |                   |                      |
| 4.4 Any breach in working hours, including reporting or endeavouring to report for a shift of work, having previously undertaken a shift on NRMI within the last 12 hours (known as double shifting); unless a risk assessment has been conducted by the Primary Sponsor and suitable controls implemented | 2   | 2                 |  |                   |                      |
| 4.5 Any event of presenting a falsified or altered Sentinel Smart Card, or claiming a false identify for the purposes of trying to gain entry on NRMI  | 3   | 1                 | 2  |                   |                      |
| 4.6 The infringement of any health and safety rules  | 23  | 9                 | 14   | 3                 | 1                    |
| 4.7 Any event of negligence which causes, or has the potential to cause loss, damage or injury;  | 2   | 2                 |  |                   |                      |
| 4.8 Any event of physical violence while at work   |   |                   |  |                   |                      |
| 4.9 Any event of deliberate damage to NRMI property  |   |                   |  |                   |                      |
| 4.10 Any event of bullying, harassment or discrimination   | 2   |                   | 2  |                   |                      |
| 4.11 Any breach of confidence  |   |                   |  |                   |                      |
| 4.12 Any breach of the Lifesaving Rules  | 41  | 13                | 28   | 1                 | 3                    |
| 4.13 Any failure to investigate an alleged breach of the Sentinel Scheme Rules for an Individual they currently sponsor or sponsored at the time of the alleged breach. (This also applies where investigations are undertaken, but are deemed inadequate at Formal Review)                                | <i>These are referred to Network Rails Corporate Investigations team for them to investigate the Sponsor or offer advice on how to carry out an investigation.</i>                              |                   |  |                   |                      |
| 4.14 Any allegation of a breach of the Sentinel Scheme Rules which is found to be false and is proven to have been made with malicious intent  | 3   |                   | 3  |                   |                      |
| 4.15 Any other event that brings the Sentinel Scheme into disrepute.   |   |                   |  |                   |                      |
| <b>Total</b>   | <b>86</b>   | <b>34</b>         | <b>52</b>  | <b>4</b>          | <b>5</b>             |