Railway Industry Supplier Qualification Scheme

Operation and Management

Part A

Issue record

This document will be updated when necessary by distribution of a complete replacement.

Issue	Date	Comments
1	January 2016	Initial Issue

Application

This document sets out the methods by which the RISQS Board will direct and supervise the Operation and Management of the Rail Industry Supplier Qualification Scheme

Supply

Copies of this document may be obtained from:

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Or from the RISQS website www.risqs.org

Definitions
Definitions of the terms used throughout the RISQS documents are set out in RISQS/001 Appendix A.

References / Related Documents

References / Related documents are set out in RISQS/001 Appendix B.

Part B

1. INTRODUCTION

1.1 This document describes the operation and management of the RISQS scheme. It is separated into three sections, Operation, Review and Management and provides information on all aspects of the scheme.

2. OPERATION

2.1. Customers

2.1.1. It is critical that customers participate in RISQS for it to become the preferred route for suppliers to engage with the industry. By specifying that RISQS is their preferred supplier qualification assessment mechanism, customers will encourage suppliers to use the scheme

2.2. Role of Scheme Manager

2.2.1. The Scheme Manager will be appointed by the RISQS Board subject to approval of the RSSB Board and will report to the RISQS Board as required but at least at every RISQS Board meeting where a report will be provided as to progress against objectives set by the Board including the business plan.

2.2.2. The Scheme Manager is responsible to the RISQS Board for the management of RISQS, particularly the operation and management of the Service Provider(s) and accrediting agent this includes delivery of information which demonstrates the efficiency and effectiveness of the scheme in improving product quality and reducing costs to the rail industry in accordance with the business plan priorities and budget. The Scheme Manager is also responsible for the promotion and extension of the scheme, in accordance with the RISQS business plan priorities.

2.2.3. The full Job Description of the Scheme Manager is provided at Appendix A

2.2.4. The Scheme Manager shall act as the main point of contact for suppliers and customers when there are significant issues either with the performance or with the operation of the scheme. There are mechanisms to provide feedback on the RISQS scheme through the IT application and the help desk (see sections 7 and 8).

2.2.5. The Scheme Manager shall develop and make recommendations to the RISQS Board on any proposed changes to the product or service groups.

2.2.6. The Scheme Manager will be responsible for managing the appeals process on behalf of the RISQS Board.

2.2.7. The Scheme Manager will act as custodian and maintain the risks register and keeping the RISQS Board informed of any changes to it, and will act on behalf of the Board to mitigate the risks.

2.2.8. The Scheme Manager will be responsible for maintenance of the Railway Industry Commodity Classification List (RICCL)

2.3. Service provision and accreditation

2.3.1. The requirements for the provision of services and the accreditation of service providers is set out in document RISQS/004

2.4. Qualification of Suppliers

2.4.1. A Company, seeking qualification as a RISQS supplier should register on the IT application and select the product codes it wishes to supply and from these the relevant questionnaire will be created by the Service Provider, including notification as to whether an Audit or other Intervention will be required. Once the questionnaire has been completed this will be assessed by the Service Provider and the company advised whether it has been successful at this stage.

2.4.2. Where an audit is required this will be carried out by one of the approved audit providers. On successful completion of which the Audit Provider will advise the supplier company and the Service Provider who will ensure that the qualification is published on the IT application

2.4.3. Where a company fails an audit there is a process for corrective actions to address any shortcomings and allow the company to continue to supply or to disallow further supply. This is detailed in document RISQS/004. However if the failure gives rise to concerns as to the suitability of the supplier to carry out provision of other / non auditable Product Group/s the Audit Provider must bring this to the attention of the Scheme Manager who will decide – where necessary with reference to the RISQS Board – what action should be taken.

2.4.4. The process whereby a supplier can arrange to extend the scope of their supply is detailed in document RISQS/004

2.4.5. A supplier whose qualification is due to expire shall arrange for a re-assessment to be carried out in sufficient time for any required actions to be closed out prior to qualification.

2.4.6. If a supplier, who is not currently qualified for a Product Group, fails an Assessment for the Product Group, the result does not need to be published on the IT Application

2.5. Appeals and Complaints

2.5.1. An appeal on any decisions taken within RISQS by the Service Provider(s) should be made in the first instance to the Provider(s). If it is not possible to resolve it in this way, then it may be taken to the Scheme Manager or ultimately to the RISQS Board. Procedures for appealing against any decisions are set out in Appendix B

2.5.2. Where a RISQS qualified supplier fails an assessment or the scheme manager informs the qualified supplier that it should have its qualification withdrawn, the supplier shall confirm what action is proposed, including whether an appeal is to be submitted within five working days from receipt of notification.

2.5.3. The same process is used for any other compliant about the scheme.

2.6. Feedback

2.6.1. RISQS, the RISQS website and associated IT application, is used and accessed by a wide range of suppliers and Customers in the rail industry, all of whom are permitted to use the procedure described in this section for submitting feedback.

2.6.2. Feedback about RISQS, the RISQS website or IT application, the qualification or audit process or content or the accreditation / management of Service Providers is used to assist in the development and improvement of the scheme. Feedback should be submitted, by any user, to the Service Provider. However in cases of urgency or confidentiality or where the feedback relates to the Service Provider the Scheme Manager can be approached directly via scheme.manager@RISQS.org . Feedback can also be via the User Forum(s) or through the relevant Board Representative.

Service Provider(s) deal with and answer issues raised in the feedback. Where an issue raised in feedback is of a difficult or strategic nature, Service Provider(s) should seek support from and if necessary pass it to the Scheme Manager for resolution. The Scheme Manager shall investigate and

resolve the issue. Where necessary the Scheme Manager shall submit the feedback and the outcome of the investigation to the RISQS Board for adjudication.

2.6.3. Where a customer has a complaint about a product or service provided by a RISQS qualified supplier, the customer should first attempt to resolve it directly with the supplier under the terms of their contract. RISQS is not the primary service for resolving any such disputes, however the customer is permitted to provide feedback informing RISQS about a problem that could have repercussions for the wider industry.

2.6.4. The auditor will not be able to see feedback from a supplier on the IT application when a complaint has been raised against it as supplier confidentiality is kept. The service Provider has the responsibility to raise issues with the Scheme Manager.

2.6.5. The details of all feedback, the respective responses and resolutions, shall be recorded by the Service Provider and copied to the Scheme Manager. This permits the Service Provider(s) to view any feedback submitted and is able to sort issues by type and to enter the resolution and date of resolution of the issue. For other concerns (for example an observation by a customer about a supplier), the Service Provider(s) shall consult the Audit Provider who had last assessed the supplier. The Service Provider shall review all feedback submitted within three working days of receipt and respond indicating a likely timescale for resolution of the issue or for a more detailed response.

2.6.6. All users can obtain the status of feedback submitted by their own company from the Scheme Manager.

2.7. IT System

2.7.1. The exact workings of the IT application may change to meet the requirements of the scheme, and in response to recommendations made by users.

2.7.2. The IT application is created and managed by the Service provider in order to meet the requirements set out in RISQS/004

2.7.3. The IT application can be accessed through the website of the Service Provider. A link is available on the RISQS website at www.RISQS.org

2.8. Working Group(s)

2.8.1. The purpose of a working group is to support the Scheme Manager and the RISQS Board in improving the RISQS Scheme. Attendance is by invitation from the Scheme Manager however, anyone that is interested in becoming a member of a working group can offer to become a member by application to the RISQS Scheme Manager. Membership of the working group shall be from across the industry as this gives a representative cross section of users. Members should have experience of the RISQS scheme and the IT application.

2.8.2. The terms of reference of working group(s) are:

- Review all aspects of the RISQS scheme including performance and the IT application.
- Share best practice and improve operation of the scheme.
- Make recommendations on changes to the RISQS Scheme.
- Make recommendations on changes to the IT application

2.8.3. The RISQS Board will initiate and govern Working Groups to discuss, analyse and develop solution concepts for specific topic areas.

2.8.4. The RISQS Board will appoint a Chair for each Working Group from amongst its members.

2.8.5. The members of each Working Group will agree the frequency of their meetings.

2.8.6. The Service Provider(s) will participate in the Working Groups and act as facilitator as appropriate.

2.8.7. Recommendations from the Working Groups will be submitted to the RISQS Board for consideration and approval.

3. MANAGEMENT

3.1. Introduction

3.1.1. This section describes the activities to be carried out in order for the operation and management of RISQS.

3.2. Business Plan

3.2.1. The Scheme Manager shall develop a business plan. The plan shall be reviewed and updated each year. Chapters of the plan should include the following:

- Vision.
- Objectives.
- The plan.
- Risk.
- Monitoring and Review

The plan shall be reviewed prior to finalisation of the budget cycle by the RISQS Board, so that the new year 1 plan determines the budget required for that year, with priorities set by the RISQS Board depending on the final budget settlement.

The Scheme Manager shall prepare a draft of the revision to the business plan which shall be reviewed and approved by the RISQS Board.

3.3. Communications

3.3.1. A communications plan shall be developed that identifies the stakeholders to be communicated with and the channels that will be used to allow for effective communication. The RISQS Scheme Manager will obtain approval for the plan from the RISQS Board. Delivery of the communications strategy will be one of the objectives for the Scheme Manager.

4. REVIEW

4.1. Introduction

4.1.1. One of the principles embedded within the RISQS scheme is continuous improvement. This applies to all stakeholders in the scheme, not just the qualified suppliers.

4.1.2. The improvement brought about by the Scheme must be demonstrable. Statistics demonstrating efficiency and effectiveness of the scheme will be developed by the RISQS Scheme Manager and made available to industry. Requirements for improvement by the Service Provider(s) will be set as KPI and monitored by the Scheme Manager in conjunction with the RISQS Board

4.2. RISQS Scheme

4.2.1. The Scheme Manager shall review the RISQS scheme on an on-going basis, to ensure that it continues to meet the requirements set out by the RISQS Board. This shall include a review of applicable statutory, mandatory and related industry requirements.

4.2.2. Where guidance is required on the RISQS scheme, the Scheme Manager shall be responsible for issuing guidance notes that clarify how the RISQS scheme is applied. This may be via the service provider. The relevant working group(s) will be the normal forum for discussion about guidance notes, prior to issue.

4.3. Feedback & Performance

4.3.1. The Scheme Manager shall develop monitoring and feedback arrangements to review the performance of the scheme. The feedback shall contain a number of different elements which are outlined below. The Scheme Manager shall provide to the RISQS Board reports covering feedback at each RISQS Board meeting.

4.3.2. The Scheme Manager will liaise with suppliers and their Audit Providers when significant incidents occur affecting a RISQS approved supplier. Decisions on withdrawing certification, communicating the results of the investigation to the industry and lessons learnt are dealt with on a case by case basis. This shall be in conjunction with the Service Provider and, where necessary, the RISQS Board.

Appendix A   Scheme Manager Job Description

JOB DESCRIPTION

RISQS Scheme Manager

Overview

The RISQS scheme provides qualification to the GB mainline rail sector and also to Transport for London. The scheme is specified and governed by the cross industry RISQS Board which has been established under the endorsement of the RSSB Board and the Rail Delivery Group. The Scheme Manager is responsible to the RISQS Board for the development and operational performance of the scheme.

Role

The Scheme Manager's role is to efficiently lead the operation, development and promotion of the RISQS Scheme on behalf of the RISQS Board and manage all service providers to the scheme.

Line Management

The role will report to the RISQS Board and in particular the RISQS Chair.

Responsibilities

- Establish, review, maintain and publish scheme documentation including principles, tools, procedures and guidance.
- Develop and maintain the specification for the provision of accreditation agency, information system, qualification and audit service providers and any other scheme roles.
- Develop and where appropriate administer the funding model for the scheme which meets the objectives of the RISQS Board.
- Appoint on behalf of the board the accreditation agency and the service provider(s) for the information system, qualification and audit.
- Supervise the operation of the accreditation agency and scheme service providers.
- Promote the scheme to suppliers, customers and other stakeholders; respond to requests; lead the response to significant issues (including investigations) and manage the complaints and appeals process on behalf of the RISQS Board.
- Lead the development of the scheme business plan and deliver objectives as assigned by the RISQS Board.
- Produce management information, performance metrics, reports and papers on all aspects of scheme operation for the RISQS Board and other parties as directed.
- Communicate with other schemes, regulators and relevant stakeholders to improve the efficiency and effectiveness of both the RISQS Scheme and wider GB rail supplier assurance regime.

Competence Requirements

Required	Desirable
10 Years Rail Experience Senior management Experience Experience of the Rail Industry Supplier Qualification Scheme 5 years Quality Management experience Leadership Skills High Level Communication Skills Good Organisational Skills Negotiation Skills Presentation Skills Computer Literacy Effective Time Management Self Motivation	NEBOSH Certificate IRCA Qualified Lead Auditor Member of Relevant Procurement Body

Resources

There will not initially be any provision of full time staff in support of the role but the following resources will be made available by the RSSB:

- Administration
- Secretarial Support
- Communications
- Marketing

Appendix B   Appeals/Complaints Process

Customer	Scheme Provider	Scheme Manager	RISQS Board	RISQS Complaints Process

Complaint about service Provider

Review complaint and feedback outcome to customer

Accepts outcome — NO → Appeal to Scheme Manager

Yes → No further action

Hear appeal and review evidence

Uphold Appeal — YES → Inform Scheme Provider and Appellant → Carry out corrective action

Uphold Appeal — NO → Inform Appellant

Accepts outcome — YES

Accepts outcome — NO → Appeal to RISQS Board

Hear appeal and review evidence

Uphold Appeal — YES → Inform Scheme Manager and Appellant → Inform Scheme Provider → Carry out corrective action

Uphold Appeal — NO → Inform Appellant

No further action