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RISQS/002

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Issue 1.3

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Date: May 2018

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# Railway Industry Supplier Qualification Scheme Governance Arrangements

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## Part A

### Issue record

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

Issue	Date	Comments
1	May 2013	First Issue
1.1	September 2013	Updated logo, hyperlinks added
1.2	June 2018	Change from RISQS Board to RISQS Committee, reference to Scheme Management Organisation

### Technical content

This document has been approved by the RSSB scheme management organisation June 2018.

Suggestions to improve the contents of this document should be directed to the Railway Industry Supplier Qualification Scheme (RISQS) Committee at the following address:

RISQS Committee  
RSSB  
The Helicon  
1 South Place  
London  
EC2M 2RB

E-mail: [admin@risqs.org](mailto:admin@risqs.org)

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### Application

A member of the railway industry, as defined in this document, may choose to adopt RISQS through company procedures or contract conditions, as one part of its overall assurance arrangements, in the management of supply chain risk. Where this is the case the member shall specify the nature and extent of application.

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### Supply

Copies of this document may be obtained from:

RISQS  
RSSB  
The Helicon,  
1 South Place,  
London,  
EC2M 2RB

E-mail: [admin@risqs.org](mailto:admin@risqs.org)

Or from the RISQS website [www.risqs.org](http://www.risqs.org)

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## **Definitions**

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

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## **References / Related Documents**

References / Related documents are set out in [RISQS/001](#) Appendix B.

## Part B

### 1 Introduction

- 1.1** This document describes the main arrangements for the Committee of the Railway Industry Supplier Qualification Scheme (RISQS).
- 1.2** This document should be read in conjunction with document [RISQS/001](#) Principles of the Railway Industry Supplier Qualification Scheme.
- 1.3** The RISQS Committee operates under the RSSB Board's governance and will be covered by RSSB insurance when conducting RISQS business. For avoidance of doubt liabilities are limited to the functioning of the RISQS Committee and not the operation of the scheme itself.

### 2 Purpose of the RISQS Committee

- 2.1** The RISQS Committee acts on behalf of the railway industry. Its main purpose is to provide, guidance, advice, support, challenge and recommendations on the effective running of the scheme, and its future strategic direction. The main responsibilities of the RISQS Committee are given below. These are:

- Policy and strategy
- Commercial model
- Business planning
- Current Scheme Operation (Scheme rules, Product codes, Questionnaire)
- Changes to Scheme Operation (Scheme rules, Product codes, Questionnaire)
- External communications and promotions

#### 2.2 Policy and strategy

- Provide, guidance, advice, support, challenge and recommendations.
- Review RISQS policy and scope and support any changes.
- Ensure RISQS documents are reviewed and amended on a regular basis.

#### 2.3 Development of the RISQS commercial model

- Provide, guidance, advice and challenge the procurement/ contractual model

#### 2.4 Communications and promotion

- Provide guidance, advice and support of the communications strategy and plan
- Promote RISQS throughout the rail industry
- Brief industry parties on progress and decisions made regarding the scheme

## 2.5 Management and business planning

- Support the work of the RISQS Scheme Management Organisation
- Provide guidance, advice and support of the RISQS five year rolling business plan.

## 2.6 Appeals

- Hear and determine appeals against qualification assessment decisions, each in accordance with the appeals procedure.

## 2.7 Feedback

- Review and provide feedback on significant issues raised involving RISQS qualified suppliers.
- Support and provide guidance and advice on indicators demonstrating effectiveness of the scheme.

## 2.8 Authorisation

- Seek approval from RSSB board for any material expansion in RISQS or the board's activities, or where RSSB's liabilities may be materially affected.

## 3. RISQS Committee members

- 3.1 Each industry category and other industry bodies as prescribed by the RISQS Committee shall have the right to have members on the RISQS Committee. Industry categories are defined in the RSSB governance arrangements and as listed below.

The RISQS Committee shall consist of the following full members:

- RISQS Committee Chair
- RSSB Director of System Safety and Health
- RSSB Head of Supplier Assurance
- Network Rail Procurement
- Network Rail Assurance
- Representative TfL/LUL
- Representative RDG
- Traction & Rolling stock buyer group chair
- Infrastructure buyer group chair
- Representative from RIA
- Supplier consultation group chair

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- Supplier consultation vice chair

The service provider(s) may be requested to attend if instructed by the Chair. 'Observers' and guests may be asked to attend meetings, if considered appropriate by the chair.

The RSSB Board will appoint the Chair of the RISQS Committee.

### 3.2 Membership criteria

Committee members shall:

- Occupy a senior position in the industry.
- Have relevant practical experience.
- Have a good understanding of the scheme and its operation.
- Demonstrate an understanding of the responsibilities of the committee.
- (In the case of Buyer and Supplier Consultation Group members) hold a leadership role within their organisation.

A member may be removed by the RSSB Board if the member:

- Ceases to hold the position that makes them eligible to be a member of the committee.
- Is absent from three out of six consecutive RISQS meetings without the agreement of the committee.
- Fails to exercise judgement in a professional manner.

**3.3** The RISQS Committee can co-opt further persons to be 'observers' if it is believed that the additional persons would improve the operation of the scheme for example the addition of a procurement specialist if there are none amongst the elected board members.

**3.4** When such a person is co-opted onto the RISQS Committee they shall act in an 'observation' capacity only.

**3.5** The RISQS Committee can stop a co-opted person's attendance at RISQS Committee meetings at any time.

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- 3.6** Each RISQS Committee member, except the Chair, may appoint a person, who is willing, to act as an alternate representative. The RISQS Committee representative may also remove the alternate representative from office. Any alternate representative shall comply with the requirements of 3.2 above. Any such appointment, or removal, shall be advised to the RISQS Chair in writing. An alternate representative shall cease to be an alternate representative if the relevant RISQS Committee member ceases to be a member of the RISQS Committee. An alternate representative shall be entitled to:
- Receive notice of and all correspondence relating to all RISQS Committee meetings to which their appointer is entitled to attend;
  - Attend and take full part in those RISQS Committee meetings which their appointer does not attend
  - Perform all the functions of their appointer in their absence.
- 3.7** If the RSSB Board so decides, RISQS Committee members shall be removed from the RISQS Committee and replaced if:
- They cease to meet the qualifications required for their selection as a RISQS Committee member.
  - They are absent from at least three out of six consecutive Committee meetings, without the acceptance of the Committee.
  - They resign their office by notice to the RISQS Committee Chair.
  - They no longer fulfil the selection requirements to sit on the Committee
- 3.8** The RISQS Committee will undertake an annual self-assessment of its remit and workplan, its performance against them and overall group maturity. The self-assessment and report shall be reviewed by the RISQS Committee, signed off by the Chair and an action plan put in place to address any areas requiring development.
- 4. RISQS Committee Chair and deputy**
- 4.1** The RISQS Committee Chair shall be appointed by the RSSB Board. The Chair's role is not to represent the constituency to which he/she belongs but to encourage fair representation of views through other members and seek best whole-industry solutions through consensus.
- 4.2** The constituency to which the Chair belongs may nominate another member to the Committee so that the views of that constituency are represented on the Committee.
- 4.3** Nominations put to the RSSB Board shall follow consultations with the RSSB Executive Member. The Committee shall ensure that, taken together, the Chair appointed represents a balance of constituencies.

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- 4.4** During the temporary absence of the Chair, the duties of the Chair may be carried out by another member. If there is a temporary vacancy, members may elect one of themselves to act as Chair on an interim basis.
- 5 Operation**
- 5.1** The RISQS Committee may regulate its proceedings as it sees fit, subject to the overall agreement of the RSSB board, as defined in [RISQS/001](#).
- 5.2** RISQS Committee shall meet approximately every three months unless the Chair considers there is insufficient business to justify a meeting.
- 5.3** The RSSB Scheme Management Organisation will regularly report to the RSSB Board about the activities of RISQS. Such reports will normally be published on RSSB's website after being considered by the RSSB board.
- 5.4** RISQS Committee meetings shall be quorate only if the following are in attendance:
- Chair
  - RSSB Director of System Safety and Health
  - RSSB Head of Supplier Assurance
  - Network Rail Assurance
  - Representative TfL/LUL
  - Representative from RIA
  - Infrastructure buyer consultation group chair
  - T&RS buyer consultation group chair
  - Supplier consultation group chair
- 5.5** The RISQS Committee Chair shall approve the agenda for each RISQS Committee meeting and ensure that appropriate papers adequately support each agenda item. Papers and presentation materials should be submitted to the Industry Groups Manager no later than five working days prior to the meeting date.
- 5.6** As soon as reasonably possible after each RISQS Committee meeting:
- Draft minutes of the meeting will be prepared.
  - The draft minutes shall be sent to the RISQS Committee Chair within five working days of the meeting.
  - The RISQS Chair shall review and comment on the draft minutes within two working days after receiving the draft minutes so that preliminary amendments can be made.

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- Minutes and outstanding actions will be reviewed at each meeting. Minutes of each meeting with actions arising will be distributed within ten working days of the meeting taking place.

### **6 Support**

**6.1** RSSB shall provide administrative support to the RISQS Committee and provide the resources, support and information necessary for their operation. This shall be the responsibility of the RSSB appointed board member. This includes, if requested by the RISQS Committee the:

- Provision of an Industry Groups Manager (who shall not be a RISQS member)
- Circulation of papers before meetings
- Production and circulation of minutes
- Provision of a schedule of RISQS board meetings for a calendar period of one year ensuring at least 30 day notice
- Provision of a venue for meetings

### **7 Consensus**

**7.1** The RISQS Committee shall use all reasonable endeavours to agree a consensus on the matters it discusses.

**7.2** The RISQS Committee Chair shall seek to ensure that each agenda item is given sufficient time for consideration.

**7.3** When a consensus cannot be achieved the RISQS Committee Chair shall decide, considering the weight of opinion on the RISQS Committee, the views of members contributing sustained objections on the issue and members who are substantially affected by the decision.

### **8. Disclosure of interests**

**8.1** If a member, has a direct or indirect personal interest in a matter to be discussed by the committee, as distinct from a common interest of the industry category, the member shall declare that interest at the earliest opportunity:

- On the first occasion at which the matter is discussed, or
- If a member is not aware of an interest at that time, at the next committee meeting after which they become aware of that interest, regardless of whether the matter is being discussed at that meeting.

## **Railway Industry Supplier Qualification Scheme Governance Arrangements**

- 8.2** When a member declares an interest, the other members shall decide whether that member may continue to participate in discussions on the matter concerned or whether that member shall be excluded from the meeting while the matter is discussed.