

Guidance Document on How to Calculate Audit Duration

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Revision	Author	Checked by	Approved by	Date approved	Reason for revision
01	G Scott			27-09-19	Initial issue
02	G Scott			23-06-20	Revised against new protocols

1. Purpose

This document is to provide a transparency into the formula of how your audit duration has been calculated. Using the answers to the next 6 questions will enable you to calculate the duration and the relevant audit modules which you will need to demonstrate compliance with.

The audit modules are RISQS audit for Core Industry Requirements, Sentinel, SWP, OTP and/or POS modules.

2. Calculator Guidance

This audit calculator guidance has been drafted in line with the requirements set out in NR/L2/SCO/302 – Supplier Qualification Requirements (which RISQS is governed by in order to provide assurance for Network Rail).

Where the final audit duration has a part day, the duration shall be rounded, down where there is 0.25 of a day and up where there is 0.50 or 0.75 of a day, to the nearest whole day.

Should you require any further clarification on calculating your audit length contact the customer support team on 0800 4101 300 opt 1.

3. Calculation / Modules

3.1. If the answer is ‘Yes’ to either of the following two questions, then you are required to undertake an audit.

- Do you have ‘auditable’ product codes?
- Does your staff currently or will your staff in the future need to hold Trackside competencies within Sentinel?
- The minimum audit duration is 1 day.

3.2. Do you have any ‘auditable’ product or service codes?

- Within the RICCL structure where a product code is auditable is denoted with **A** and verified denote with **V**, this has been determined based on the risk level of the activity for the product or service.
- If all your RICCL codes are ‘verified’ then no audit is required for your products or services, proceed to Question 4 to calculate the audit duration.
- If you have RICCL codes which are both ‘auditable’ and ‘verified’ then only those which are ‘auditable’ will need to be considered when determining your audit duration.

3.3. How many RICCL discipline areas do you have auditable codes in (A-H)?

- The auditable RICCL discipline area is determined by the first letter of your selected RICCL code.
- For each discipline area the audit duration will increase by 0.25 days.

RICCL Discipline Areas	
A - Transverse Railway Services & Supplies	Y/N
B - Control Command & Signalling	Y/N
C - Infrastructure	Y/N
D - Plant	Y/N
E - Energy	Y/N
F – General Business Supplies & Services	Y/N

How many Level 1's

3.4. Is the Construction (Design and Management) Regulations 2015 applicable to your works?

- The activities which are applicable to the Construction (Design and Management) Regulations 2015 are listed below, if you provide a RICCL with these activities.
- If the answer is Y the audit duration will increase by 0.5 days.

Auditable Activity Groups	
Q – Design, S - Construct, T - Commission, V - Maintain, X - Install, Y - Modify, Z – Decommission	Y/N
U - Dispose, M - Manufacture, N - Provide Service, P - Supply, R – Operate	N/A
Do you have any of the applicable activity groups	Y/N

3.5. Does your staff currently or will your staff in the future need to hold Trackside competencies within Sentinel?

- If your organisation needs to sponsor staff to hold competencies within Sentinel?
- If the answer is Y the audit duration will increase by 0.5 days.

3.6. Do you require a Safe Work Planning (SWP) audit, or On-Track Plant (OTP), or On-Track Plant Operations audit (POS)?

- Each of these modules are selected in the questionnaire, where both are scheduled to be audited at the same time there is a reduction in the audit duration?
- If you are required to undertake both a SWP audit AND an OTP / POS the audit duration will increase by 1 day.
- If you only require SWP module the audit duration will increase by 0.5 days.
- If you only require OTP/POS module the audit duration will increase by 0.75 days.
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Auditable Activity Groups		
Do you require both a SWP audit AND an OTP / POS	Y	1
Do you require both a SWP only	Y	0.5
Do you require an OTP / POS only	Y	0.75

4. Audit calculator

2020 Audit Duration Calculator

Has the supplier selected any auditable RICCL discipline area or a Sentinel requirement?
How many RICCL discipline areas does the supplier have auditable codes in (A through to H)
Has the supplier selected any auditable codes within the following activity Groups?: Construct, Install, Maintain, Commission, Design, Modify, Decommission
Do the supplier's staff or will the supplier's staff need to hold Trackside competencies within Sentinel?
If No, does the supplier need to complete a Non-Trackside Declaration?
Does the supplier require both a Safe Work Planning audit AND an On-Track Plant Operations audit?
Does the supplier require a Safe Work Planning audit?
Does the supplier require an On-Track Plant or On Track Plant Operations Scheme audit?

Answer

Options	Answer	Days	What Yes Means
Yes No	Yes	0.5	Core Module Required
1 to 8	1	0.25	per discipline
Yes 1 or more No	Yes	0.5	CDM Module Required
Yes No	Yes	0.5	Sentinel Module Required
Yes No	Yes		Declaration Only
Yes No	Yes	1	SWP and OTP/POS Module Required
Yes No	Yes	0.5	SWP Module Required
Yes No	Yes	0.75	OTP/POS Module Required

Total Audit Duration

5. Example

5.1. The example shown in the calculator below, is for 2 RICCL Disciplines (A and C), 2 Activity Groups covering: T-Commission, X-Install, 70 Sentinel staff and provides Safe Work Planning

2020 Audit Duration Calculator

Has the supplier selected any auditable RICCL discipline area or a Sentinel requirement?
How many RICCL discipline areas does the supplier have auditable codes in (A through to H)
Has the supplier selected any auditable codes within the following activity Groups?: Construct, Install, Maintain, Commission, Design, Modify, Decommission
Do the supplier's staff or will the supplier's staff need to hold Trackside competencies within Sentinel?
If No, does the supplier need to complete a Non-Trackside Declaration?
Does the supplier require both a Safe Work Planning audit AND an On-Track Plant Operations audit?
Does the supplier require a Safe Work Planning audit?
Does the supplier require an On-Track Plant or On Track Plant Operations Scheme audit?

Answer

Options	Answer	Days	What Yes Means
Yes No	Yes	0.5	Core Module Required
1 to 8	2	0.5	per discipline
Yes 1 or more No	Yes	0.5	CDM Module Required
Yes No	Yes	0.5	Sentinel Module Required
Yes No	No	0	Declaration Only
Yes No	No	0	SWP and OTP/POS Module Required
Yes No	Yes	0.5	SWP Module Required
Yes No	No	0	OTP/POS Module Required

Total Audit Duration