



Auditor Code of Conduct

Document no.: RISQS-SD-001

Revision	Author	Checked by	Approved by	Date approved	Reason for revision
01	Carl Rulton	Alan Thomas	Richard Sharp	27-02-18	Initial Issue

RISQS Auditor Code of Conduct

1 General Arrangements

The following Code of Conduct will apply to all RISQS auditors, whether Capita employees or third-party contractors and is a minimum expectation of professionalism and behaviour whilst working on the scheme.

All auditors are working for Capita and for the RISQS scheme must act in an open and way treating everyone fairly and respect.

In order to satisfy the expectations of the customer, company knowledge, audit preparation and professional behaviour are all of upmost importance and contribute to providing a service which supports the aims of the scheme.

All auditors should avoid conflicts of interest and any possibility of a conflict of interest. Should these arise, they should be openly disclose this information to the RISQS Auditing management team. The management team will decide on action to be taken.

Confidentiality is at the upmost importance. All auditors must treat information gathered during an audit as confidential and not disclose any aspect to third parties.

All auditors will treat records created during the audit process in accordance with Capita's guidelines for confidentiality, security, and privacy, and therefore comply with any applicable laws and agreements.

RISQS auditors must not offer any consultancy, technical or other services during the course of the audit process.

Any auditor or auditing organisation that operates on behalf of RISQS must not use RISQS Audit contacts as a means for business development. Any access to RISQS data is restricted purely to undertaking the audit service and must not be used to gather information on buyers or suppliers for means of furthering any other business need. Access to any RISQS information is solely for the delivery of audits and must not be abused in any way.

Where an auditor or organisation is providing any form of audit support, technical advice or health and safety service to a RISQS auditee the auditor must declare this to the RISQS management team.

Auditors are not eligible to audit a company that they have provided consultancy or employment advice and services for the directly related to RISQS audits in the last 3 years. The Capita RISQS manager must be informed of any audit schedule request that breeches this limitation.

Auditors cannot provide consultancy services directly relating to RISQS audits whilst in the employment of Capita in the 18-month period following the undertaking of an audit on an organisation.

If an external consultant or technical advisor from a third party is present during an audit the auditor should ensure there is a clear understanding at the outset of the audit that it is the Auditee which is being audited not the consultant or advisor and that any knowledge, procedures, records and systems being scrutinised are required to belong to the auditee not the consultant.

1.1 Audit Scheduling

Auditors must keep the scheduling calendar up dated with their available audit days.

The audit process starts 16 weeks prior to an audit when a supplier registers with the final shape and length of audit being set 8 weeks prior to an audit, the final scope of an audit is set 3 weeks from the booked audit date.

The scheduling system aims to allocate each audit to the nearest auditor. Auditees are given the opportunity to request preferred dates and these should be agreed wherever possible.

A suitable audit date is arranged by the scheduling team as soon as possible after an audit is requested by the RISQS system.

Audit dates are recorded centrally through the scheduling system, initial contact is made and details logged in the system and an auditor is then allocated the job.

The auditor must contact the auditee to confirm the audit arrangements. This contact must be between 15 and 10 working days prior to the audit date to confirm details, agree timings and discuss the audit process

Audits must be completed in line with the dates on the system and before the set target audit date which for re-audits is a minimum of 10 working days before the expiry date of the current audit. All contacts between the auditor and the auditee must be logged for future reference. (see Audit flowchart attached)

1.2 Audit Delivery

Audit preparation

Prior to the audit the auditor will have reviewed the latest supplier questionnaire and if available the previous audit reports. The auditor should gain an understanding of the scope of supply of the auditee and of any management arrangements or structure affecting the audit i.e. subsidiary company, Network Rail Licence Holder, etc. Auditors must endeavour to arrive on time and plan to spend the allocated 7-hour day or portion of a day as required by the audit duration time at the client's premises.

Note: if a ¼ day is required, then the auditor will spend an additional 1 hour 30 minutes on one of the audit days. This is to ensure the auditees time is best utilised.

Audit Procedure

Throughout the audit the auditor is a representative of RISQS and must portray a professional attitude. The auditor must hold an opening meeting and confirm the audit itinerary. The names of all attendees and start-time of the meeting will be noted.

During the opening meeting the auditor will explain the nature of the audit and confirm the auditee understands the audit process, its nature and limits, issues to do with confidentiality, financial arrangements the requirements for adding or subtraction of product codes and any non-applicable questions or empty processes.

The auditor will ensure that all topics and questions are answered in line with audit standards.

In cases where information it to be gathered in multi locations or by multi auditors these arrangements should be clearly explained to client. This should include which areas of the audit will be conducted where, when and by whom. Auditees must be given the opportunity to explain any specific site safety rules or requirements and make requests with regards to any particular requirement for attendance or the need for specific documentation. A detailed audit plan should be produced by the auditor and circulated prior to the audit starting. The audit plan should be checked and updated at the end of each audit day and findings communicated to the auditee.

The auditor will conclude the audit with a meeting to discuss final findings. Any major non-compliances or minor non-conformances must be discussed and agreed. Major non-conformances which will result in a failing must be reported through the mobile platform at the end of the last day of the audit and the close out route process agreed with the auditee representative in the close out meeting.

The auditor will differentiate between two levels of failures due to major non-conformances:

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- 6 or more major non-conformances create an immediate fail. The auditor must complete the report using the mobile app on the last day of the audit and make contact with the QA person to warn of an immediate fail. The report must be submitted at the latest for QA by 10am the next working day and followed up with a telephone call to the QA for confirmation.
- Up to 5 major non-conformances initiates a 5-day control process: The auditor must complete the report using the mobile app on the last day of the audit and make contact with the QA person to inform them of the major conformances. The report must be submitted at the latest for QA by 10am the next working day and followed up with a telephone call to the QA for confirmation.
- Auditors should agree the method of receiving close out information with the auditee at the close out meeting, it is expected that this will be via email only.

The auditor will follow up this, checking the close out information provided for the non-conformances and making a final decision on passing or failing the audit.

Note: The auditee has up to 5 calendar days after the final day of audit to return the responses, failure to return information on one or more of the non-conformances in this time will fail the audit. The auditor will review the responses on the subsequent day, if it is the 6th day then the pass/fail of the audit must be submitted to the system no later than 14:30.

Up to 5 major non-conformances will result in a 12 week after the end of the initial audit, when a re-audit is undertaken only the failed parts need to be checked, this a 1-day audit and will be a straight pass or fail. The result will be communicated at the end of the day.

Pass reports must be completed and sent no later than 6 days after the last day of the audit, a QA process will be undertaken and the final report made available via the RISQS system no later than 9 days after the last day of the audit.

General Conduct

Auditors should always arrive on time. Auditors should dress appropriately and should carry necessary PPE to enable any parts of the Client's premises to be visited.