

---

Supplier Assurance Management System (SAMS)  
 2 – Scheme Governance  
 Document Number: 02.01  
 Document Title: Principles of the Railway Industry Supplier Qualification Scheme  
 Issue: 2.0  
 Date: 16/09/2020

# Principles of the Railway Industry Supplier Qualification Scheme

## RISQS-SG-001

### Rev 2.0

	Role	Name	Signature		Date
Author	Scheme Operations & Systems Manager	Carl Rulton	Carl Rulton	Carl Rulton	14/08/2020
Approved by	Commercial Business Development Manager	Suzanne O'Keane	Suzanne O'Keane	Suzanne O'Keane	14/08/2020
Authorised by	Head of Assurance	Antony Howard	Antony Howard	Antony Howard	16/09/2020

## Revision history

Revision	Author	Date	Description
1.0	Scheme Manager	01/01/2013	First issue
2.0	Carl Rulton	16/09/2020	Second issue

## Contents

Section	Page
<b>1 Implementation and compliance date</b>	<b>1</b>
<b>2 Introduction</b>	<b>1</b>
<b>3 Purpose</b>	<b>1</b>
<b>4 Scope</b>	<b>2</b>
<b>5 Definitions and abbreviations</b>	<b>2</b>
<b>6 References</b>	<b>4</b>
<b>7 Management review</b>	<b>4</b>
<b>8 Responsibilities</b>	<b>5</b>
<b>9 Procedure</b>	<b>5</b>
<b>10 Record keeping</b>	<b>10</b>
<b>11 Audit</b>	<b>10</b>
<b>12 Related Documents</b>	<b>10</b>

## 1 Implementation and compliance date

1.1 This procedure shall be implemented from 16<sup>th</sup> September 2020.

## 2 Introduction

2.1 This document describes the main principles of the Railway Industry Supplier Qualification Scheme (RISQS).

2.2 RISQS has been developed to provide a fair, open and transparent third-party qualification process, with the aim of becoming the preferred route for suppliers to engage with their customers, in an efficient and effective manner.

2.3 Since the 1<sup>st</sup> of May 2018, RSSB have been operating “enhanced” RISQS for the industry.

## 3 Purpose

3.1 RISQS is a scheme managed “by the industry for the industry” and provides a service for the universal qualification of suppliers of those products and services that pose a risk to people, environment or assets that are procured by the industry. RISQS supports Network Rail, Transport for London, passenger, light rail and freight train operators, rolling stock organisations, main infrastructure contractors and other rail products and services providers in the management of supply chain risk. It provides an independent, third party qualification assessment of a supplier’s capability to supply products and services.

3.2 It should be noted that the industry also employs other schemes and arrangements to help secure supplier assurance, such as the Rail Industry Supplier Approval Scheme (RISAS), and the International Rail Industry Standard (IRIS). The governance arrangements set out in this document are designed to facilitate the efficient specification and operation of RISQS.

3.3 The principles set out in the document aim to secure the following:

- Separation of governance from service provision and impartiality
- Control by the rail industry of the specification and delivery of its own scheme
- Scheme assurance activities
- Processes to manage complaints and appeals, as well as certification decisions
- Creation of robust governance and scheme provision arrangements which are compatible with international standards for accreditation and conformance certification.

## 4 Scope

4.1 RISQS 'adds value' to both the buyer's and suppliers, and to this end, the following scheme objectives have been set to meet the current and future needs of the rail industry:

- Provide an entry route for suppliers wishing to pre-qualify to supply to the GB rail industry
- Provide a "Buying Tool" for the industry and assist with EU procurement compliance
- Help to inform suppliers of legal / safety / quality requirements
- Reduce duplication of supplier assessments thereby reducing costs
- Provide appropriate assurance regarding management systems and corporate legitimacy
- Act as an industry feedback tool to help improve performance.

## 5 Definitions and abbreviations

5.1 Definitions

Term	Description
Accreditation	The granting of the rights to act as the service provider(s), or the alteration of existing rights, after the application of a suitable assessment by the Accrediting agent.
Accrediting agent	An organisation which may be appointed by the Supplier Assurance function to carry out accreditation of the service provider(s).
Assessment	Systematic, independent and documented process for obtaining assessment evidence and evaluating it objectively to determine the extent to which qualification assessment criteria defined in RISQS-SG-004 Contract and Commercial Management are fulfilled.
Buyer	Person or organisation actively involved in the procurement process and likely to apply/require levels of assurance appropriate to their perceived exposure to risk'.
Certificate of supplier qualification	The Certification awarded by the service provider(s) to the qualified supplier that clearly describes, on or via the RISQS IT Application, the scope of the products or services covered by the qualification.
Certification	The status awarded to a supplier, who has passed a qualification assessment by the service provider(s) for the supply of one or more products or services.
Customer	The generic term for any organisation that purchases or seeks to purchase products. The term is used to cover all of the following: - end user, client, buyer, purchaser and procurer. Many suppliers will also be customers.

GB Rail Industry	Network Rail, LUL/Transport for London, passenger, light rail and freight train operators, rolling stock organisations, main infrastructure contractors and other rail products and services providers.
IT application	The database of service provider(s), qualified suppliers and products and services and associated web pages managed by the Supplier Assurance function.
Mandatory requirements	The requirements specified in the Railway Industry Standards or other standards, common norms or regulations. RISQS also requires compliance with the RISQS Scheme documents and associated Guidance Notes.
Product	Products are materials or services which are the result of a process.
Products and services	Products and services for which a supplier can achieve qualification.
Railway Industry Standards	Those standards issued by the RSSB in accordance with the Railway Industry Standards Code.
RICCL	Railway Industry Commodity Classification List (RICCL), which is consistent with ISO EN81346 and which identifies all commodities procured by the buyer for use on the GB rail industry.
RISQS Committee	The body that oversees RISQS on behalf of the Rail Industry.
RSSB Board	The RSSB Board acts as the custodian of the scheme. It has delegated the responsibility for direction and supervision of RISQS to the Supplier Assurance function within the RSSB directorate, subject to certain constraints and Management Review.
Signatory	Person with the authority to approve the qualification certification of a supplier by using an authorised electronic signature on the RISQS IT application.
Service provider	Organisation appointed and accredited by the Supplier Assurance function to support delivery of the scheme in accordance with specification defined in RISQS-SG-004 Contract and Commercial Management.
Service provider personnel	Any service provider staffs and contracted personnel working on RISQS activities as defined in the list contained in RISQS-SG-004 Contract and Commercial Management.
Sub-supplier	An organisation or person that provides a product or service to the supplier as defined below and/or sub-supplier in the context of a supply chain.
Supplier	Organisation or person that provides a product or service to the customer. Many suppliers will also be customers.
Supplier Assurance function	A function that is within the RSSB reporting into the Business Development & Engagement Directorate, whose director is part of the RSSB ExCo.
User	A user of the RISQS IT application, someone who has been considered by the Supplier Assurance function, if so appointed, to be a member of a company which has a legitimate interest in the rail industry such as a

	supplier, customer and duty holder, member of the service provider(s) or the RISQS Committee or its representatives.
--	--

## 5.2 Abbreviations

Term	Description
RISQS	Railway Industry Supplier Qualification Scheme.
RSSB	Railway Safety & Standards Board.

## 6 References

### 6.1 Scheme Procedures

- RISQS-SG-002 Governance Arrangements
- RISQS-SG-003 Operation and Management of the Railway Industry Supplier Qualification Scheme
- RISQS-SG-004 Contract and Commercial Management
- RISQS-SG-005 Document Control
- RISQS-SG-006 Management Review
- RISQS-SG-007 Scheme Assurance
- RISQS-SG-008 Complaints & Appeals
- RISQS-SG-009 Certification Decisions
- RISQS-SG-010 Non-conformance Register

### 6.2 Legislative

- Health and Safety at Work etc Act 1974 (HASAW)
- The Management of Health and Safety at Work Regulations 1999 (MHSWR)
- The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended) ('ROGS')
- The Construction (Design and Management) Regulations 2015
- ISO 17021

### 6.3 Rail Specific

- NR/L2/SCO/302 Supplier Qualification Requirements
- RIS – 2750 - Rail Industry Standard on Supplier Assurance.

## 7 Management review

### 7.1 This procedure will be reviewed at least once every three years or when any of the following occur:

- a significant change to the business operation
- a requested change in company policy
- recommendations from an investigation or audit necessitates that the review is brought forward
- any relevant change to infrastructure management standards.

## 8 Responsibilities

### 8.1 The Director of Business Development and Engagement is responsible for:

- Approving the impartiality and confidentiality policy statements.
- Holding the Head of Assurance to account for the activities of the Supplier Assurance function

### 8.2 The RSSB Board function is responsible for:

- Reviewing the impartiality and confidentiality policy statements on an annual basis
- Providing oversight of the RISQS Scheme and ensuring financial efficiency.

### 8.3 The Supplier Assurance function is responsible for:

- Appointing service providers to plan and undertake the qualification assessments on behalf of RSSB
- Managing the information available on the RISQS Scheme website.

### 8.4 The RISQS Scheme Service Providers are responsible for:

- Managing the IT application
- Accreditation/management of qualification assessment/audit provider(s)
- Qualification assessment/audit
- Undertaking additional tasks where required by the Supplier Assurance function.

## 9 Procedure

### 9.1 Qualification Assessment

9.1.1 RISQS requires suppliers to undergo a thorough qualification assessment process to verify that they have the management capability to meet customer requirements.

9.1.2 The Supplier Assurance function of RSSB are responsible for appointing service provider(s) to plan and undertake the qualification assessment to verify that a supplier meets the qualification criteria specified in the scheme documentation.

9.1.3 Following a successful assessment, the supplier will be notified of their qualification including details of the duration and scope of qualification. Details of qualified suppliers are available on the RISQS portal.

### 9.2 Customers

9.2.1 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. Specifically, customers should:

- Incorporate RISQS within their safety management system as one of the principal means by which they qualify their suppliers
- Provide feedback on any serious issues related to RISQS qualified supplier's which may have wider industry implications. As well as on any general aspect of RISQS, to assist in the development and improvement of the scheme, via the RISQS website, helpdesk or Scheme Manager.



9.2 Further information is contained in RISQS-SG-003 Operation and Management of the Railway Industry Supplier Qualification Scheme.

### 9.3 Suppliers

9.3.1 The core of the scheme is the qualification assessment of suppliers. The qualification assessment is carried out in accordance with the RISQS Scheme Rules (RISQS-SD-002).

9.3.2 After qualifying through RISQS, suppliers are required to maintain the online information, relating to their qualification, in order to remain compliant. Failure to do so could invalidate their status as qualified suppliers.

9.3.3 Suppliers are required to provide feedback about the operation of the scheme, to assist with its development and improvement, via the RISQS website, helpdesk or Scheme Manager.

9.3.4 There is a complaints and appeal process available to suppliers – refer to section 9.12 for further information.

### 9.4 RISQS Website

9.4.1 The Supplier Assurance function manages and operates a website which provides information on the scheme and where necessary links to the service provider(s) website(s). Information available includes the following:

- Product code hierarchy (RICCL codes)
- Scheme documents, policies and procedures
- Scheme Audit Protocols
- Terms & Conditions
- Guidance Documents, including Buyer & Supplier
- RISQS Committee Information

9.4.2 There are differing rights of access, depending on the organisation, the levels of membership held and the relationships between customer and supplier organisations. Access to information of a confidential or commercially sensitive nature will be controlled through a permissions regime.

### 9.5 Scheme Governance

9.5.1 The arrangements for the governance of the scheme are set out in RISQS-SG-002 Railway Industry Supplier Qualification Scheme Governance Arrangements. These include:

- RSSB Board
- RISQS Committee
- User Forums, Consultation and Working Groups

### 9.6 Impartiality

9.6.1 RSSB believes impartiality is the cornerstone of the RISQS Scheme and is of utmost importance in maintaining the trust that stakeholders should expect from a certifying body.

- 9.6.2 RSSB has set out the general arrangements to maintain impartiality in the RISQS scheme impartiality policy (RISQS-POL-002). This also includes an internal audit protocol, RISQS \_AP – 026 - Internal Review
- 9.6.3 This policy statement approved by the Director of Business Development and Engagement and is reviewed annually by the RSSB Board. The policy statement is published on the RISQS website and is publicly accessible.
- 9.6.4 RSSB will not provide certification for the management system of any other Supplier Assurance Provider.
- 9.6.5 RSSB will not provide management system consultancy for RISQS.
- 9.6.6 RSSB will not sponsor individuals within the Sentinel Scheme.

## 9.7 Confidentiality

- 9.7.1 Similarly, to impartiality, confidentiality is also an essential to maintaining the trust which stakeholders should expect from a certifying body.
- 9.7.2 RSSB has set out the general arrangements for managing confidentiality in the RISQS Scheme Impartiality Policy (RISQS-POL-001).
- 9.7.3 This policy statement approved by the Director of Business Development and Engagement and is reviewed annually by the RSSB board. The policy statement is published on the RISQS website and is publicly accessible.

## 9.8 Liability & Financing

- 9.8.1 The RSSB Board have responsibility to ensure the scheme is financially efficient. For further information regarding the RSSB Board's responsibilities refer to RISQS-SG-002 Railway Industry Supplier Qualification Scheme Governance Arrangements.
- 9.8.2 The RISQS Scheme operates under the RSSB Board's oversight and is covered by RSSB insurance.

## 9.9 Scheme Operations and Management

- 9.9.1 The arrangements for the operation and management of the scheme are set out in RISQS-SG-003 Operation and Management of the Railway Industry Supplier Qualification Scheme.
- 9.9.2 These arrangements include:
- Role of the Scheme Manager in supporting business operations and management
  - Scheme Rules, Terms & Conditions
  - Communications and publicly available information regarding the RISQS Scheme
  - Key operations including supplier registration, audit scheduling, audit reporting, issuing certificates
  - Management procedures including, complaints and appeals, conflicts of interest and competency managements.

## 9.10 Scheme Commercial & Contract Management

9.10.1 The arrangements for the specification and delivery of scheme service provider(s) including the role of accrediting agent are set out in RISQS-SG-004 Contract and Commercial Management.

9.10.2 The service provider(s) are responsible for delivery of:

- RISQS website/IT application
- Certification/management of qualification assessment/audit provider(s)
- Qualification assessment/audit.

9.10.3 The service provider(s) may also be required to undertake other tasks, projects or activities as requested by the supplier assurance function.

## 9.11 Scheme Decisions to Approve a Body is Certified

9.11.1 The arrangements for making scheme decisions to approve a body is certified is set out in RISQS-SG-009. These arrangements include:

- Publishing qualifications on the IT application following a successful audit
- Corrective action process to continue operations or to restrict/stop services.

## 9.12 Complaints & Appeals

9.12.1 There is a complaints and appeals process available if a supplier does not consider that the service provider(s) has acted in accordance with the scheme policies, rules or procedures or if there is an issue with such policies, rules or procedures. Further information is contained in RISQS-SG-008.

## 9.13 Scheme Assurance Plan

9.13.1 The Scheme Assurance Plan RISQS-SG-007 details RSSB's arrangements for monitoring the RISQS scheme, including, internal functions and those provided by external services providers.

## 9.14 Non-Conformance Procedure

9.14.1 RSSB will maintain a register of non-conformances (RISQS-SG-010) where shortfalls are identified during the scheme assurance activities (RISQS-SG-007). These may include:

- Internal assurance on RSSB scheme management
- External assurance on service providers operations
- Assurance undertaken by RISQS Customers (i.e. Network Rail & Transport for London).

## 9.15 Document Control

9.15.1 RSSB will control all the RISQS scheme policies, procedures and supporting appendices within the document control procedure detailed in RISQS-SG-005.

## 9.16 Management Review

9.16.1 To ensure adequacy of the RISQS scheme procedures, RSSB will undertake an annual management review of the scheme to ensure the systems in place are effective. The management review arrangements are set out in RISQS-SG-006.

## **10** Record keeping

10.1 All records shall be retained in for a minimum of six years, these include the following:

- All records associated with the RISQS Scheme shall be retained for a minimum of six years. Refer to specific scheme governance documents which detail what documentation shall be retained.

## **11** Audit

11.1 This document will be subjected to an internal audit once every three years (as a minimum) or if there is a significant change to the RISQS scheme.

## **12** Related Documents

12.1 The following documents are related to this procedure:

- There are no applicable documents relating to this procedure.