



Supplier
Qualification
Scheme

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	December 2015	Updated logo and address
2	January 2017	Revised to reflect scheme governance changes
3	January 2019	Revised to reflect scheme governance changes
4	March 2019	RISQS logo

Technical content

This document was approved by the Schemes Review Group (SRG) on 18/Feb/19

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

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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.

Supply

Copies of this document may be obtained from:

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

E-mail: scheme.manager@risqs.org

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](#) Principles of the Railway Industry Supplier Qualification Scheme (Appendix B).
- [RISQS/003](#) Operation and management of the scheme is defined in
- RISQS/TOR/001 - Terms of Reference RISQS Committee
- RISQS/TOR/002 - Terms of Reference Buyer Consultation Groups
- RISQS/TOR/003 - Terms of Reference Supplier Consultation Group

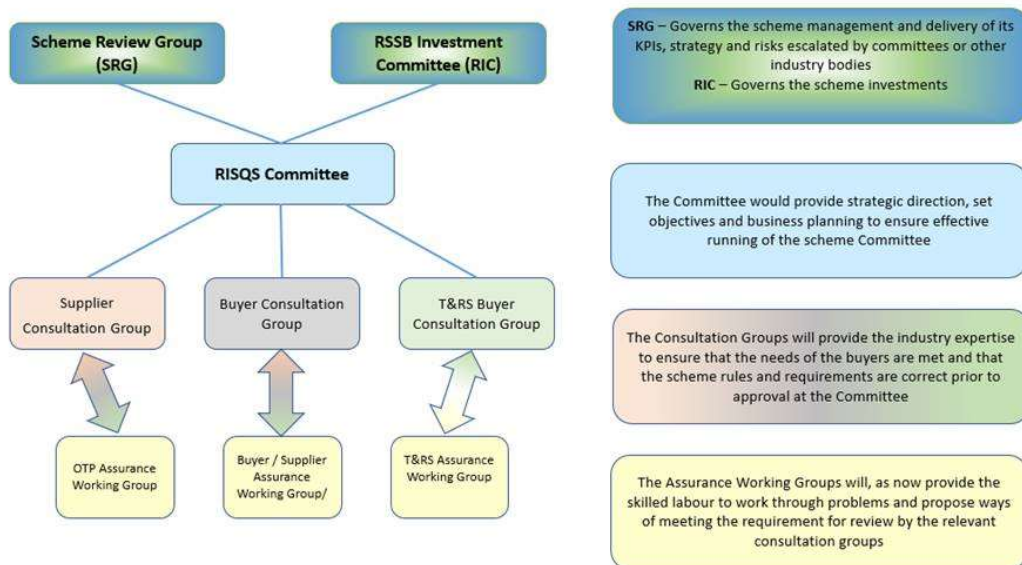
Part B

1. Introduction

- 1.1. This document describes the main arrangements for the Governance 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 Scheme operates under the RSSB Board's oversight and is covered by RSSB insurance.

2. Governance diagram

The below diagram shows the interfaces between the groups involved in providing governance and operational management for the RISQS Scheme.



3. Governance Overview

- 3.1. There are several groups that constitute the governance of the RISQS scheme. The reason for designing the governance in this way is to ensure the right level of industry involvement and that stakeholders have suitable experience, competence and seniority in the industry for the area of governance being discharged.

4. Governance Groups

4.1. Overview

4.1.1. The groups that together form the governance of the scheme are:

- RSSB Board
- RISQS Committee
- Buyer Consultation Groups (Infrastructure Buyers and T&RS Buyers)
- Supplier Consultation Group

5. Assurance Working Groups RSSB Board

- 5.1. The RSSB board is accountable for the provision of the Rail Industry Supplier Qualification Scheme on behalf of the Rail industry.
- 5.2. The RSSB Board have responsibility to ensure the scheme is financially efficient. Further information on the RSSB Board responsibilities is contained in [RISQS/001](#)
- 5.3. The RSSB board is responsible for establishing a Scheme Management Organisation (SMO) that will oversee and manage the day to day operation of the scheme, service provision and associated support resource requirements.

Operation and management of the scheme is defined in [RISQS/003](#)

6. RISQS Committee

- 6.1. The RISQS committee is drawn from railway industry leadership and acts on behalf of the rail industry. The Committee's purpose is to ensure that the Railway Industry Supplier Qualification Scheme meets the needs of the industry.

The main responsibilities of the RISQS Committee are:

- Reviewing and contributing towards policy and the strategic direction of the scheme.
- Providing an escalation point for appeals against qualification assessment decisions, each in accordance with the appeals procedure.
- Reviewing and contributing towards scheme governance arrangements.
- Promoting RISQS throughout the rail industry.
- Review and contribute towards the communications strategy and plan.

6.2. Committee membership

6.2.1. The RISQS Committee is made up of stakeholders that hold senior positions within key industry groups.

6.2.2. The committee is chaired by an independent chair appointed by the RSSB Board

6.2.3. The membership of the committee consists of:

- Independent Chair
- 1 representative from Network Rail assurance
- 1 representative from Network Rail procurement
- 1 representative from London Underground/Transport for London
- 1 representative from the Rail Delivery Group
- 1 Representative from the Rail Industry Association (RIA)
- 1 Representative from Civil Engineering Contractors Association (CECA)
- The Chair of the Infrastructure Buyer Group
- The Deputy Chair of the Infrastructure Buyer Group
- The Chair of the TOC/FOC/Rolling Stock Buyer Group
- The Chair of the Supplier Consultation Group
- The Deputy Chair of the Supplier Consultation Group

6.2.4. Representatives from the SMO will attend the Committee meetings.

6.2.5. Observers and guests may be asked to attend meetings, if considered appropriate by the Chair.

6.2.6. Members of the committee shall:

- Have significant relevant experience.
- Occupy senior positions in the industry.
- Have a broad understanding of RISQS and be familiar with the requirements for membership.
- Exercise their personal judgement in a professional manner.
- Appoint a suitable deputy to attend in the event of their absence.
- Declare any conflicts of interest should they arise.

6.3. The committee will have final approval for changes to the scheme proposed by the consultation groups.

7. Buyer Consultation Groups

7.1. To ensure that the governance of the scheme meets the requirements of the buying organisations the SMO will facilitate the creation and delivery of buyer meetings for the relevant sector of the industry (i.e. Infrastructure and T&RS)

7.2. Membership of these groups will be open to nominated representatives of buying members of the scheme.

7.3. Each year the Buyer Groups shall each elect a Chair and Deputy from the membership of the group, these elected positions will be held for a period of 12 months.

7.4. Where the Chair or deputy become unavailable or in the event of a vote of no confidence from the group the voting process is triggered.

7.5. The buyer group will review the output from the working groups and where required propose changes to the scheme.

7.6. The buyer group may delegate issues to a working group where work is required develop a proposal.

7.7. The buyer group will consult with the supplier consultation group to gain attendance on these working groups to prevent duplication.

7.8. The Buyer Group will consult with the supplier consultation group on any proposals that are to be sent to the Committee for authorisation.

8. Supplier Consultation Group

8.1. To ensure that suppliers can contribute to the aspects of the scheme that relate to them and communicate their views on the operation of the scheme, the SMO will facilitate the creation and delivery of consultation meetings

8.2. Membership of the group will be open to nominated representatives of Supplier members of the scheme and relevant trade associations.

8.3. Each year the Consultation Group shall elect a Chair and Deputy from the membership of the group, these elected positions will be held for a period of 12 months.

8.4. Where the Chair or Deputy become unavailable or in the event of a vote of no confidence from the group the voting process is triggered.

- 8.5. The Consultation group members will nominate two representatives who will sit on the RISQS Committee to provide the supplier perspective
- 8.6. The supplier consultation group may delegate issues to a working group where work is required develop a proposal.
- 8.7. The supplier consultation group will consult with the buyer groups to gain attendance on these working groups to prevent duplication.
- 8.8. The supplier consultation group will consult with the buyer group on any proposals that are to be sent to the Committee for authorisation.

9. Assurance Working Groups

- 9.1. Working groups will be formed to address specific areas of assurance within the scheme (e.g. Infrastructure, T&RS, OTP)
- 9.2. The remit of the assurance working groups is to take specific issues and suggest changes to the scheme to address these issues.
- 9.3. Suggested changes from the assurance working group will be forwarded to the Buyer Groups and Supplier Consultation Group for review.

10. Meeting Arrangements

- 10.1. Each group will meet a minimum of 3 times per calendar year. The group may hold meetings more frequently if required.
- 10.2. Notification of meetings shall be provided at least 30 calendar days prior to the meeting.
- 10.3. All meetings shall have an agenda provided at least 7 days in advance with relevant papers attached.
- 10.4. The only meeting with quorate requirements will be the RISQS Committee the minimum attendance required for this is 8 members.
- 10.5. Decisions will be made on a one member one vote basis, where there is a tied decision the Chair's vote will decide the outcome.
- 10.6. Meetings shall be timed to allow the output from the assurance working group meetings to be fed up through buyer and supplier consultation groups and together with the output from these groups to the Committee in a timely manner.
- 10.7. Records of meetings:
 - 10.7.1. Minutes from the committee meetings will be circulated to committee members only and are not to be shared unless prior agreement has been given by the Chair and SMO.
 - 10.7.2. Minutes from consultation groups will be in a format that is appropriate to allow circulation to a wider audience.
 - 10.7.3. Working groups – the presentation from the meeting will be used to present at the committee