



RAILWAY INDUSTRY SUPPLIER  
QUALIFICATION SCHEME

# **RISQS Audit Requirements**

## **Industry Minimum Requirements**

## Table of Contents

1.1 Management Structure .....	3
1.2 Health & Safety Competent Support .....	3
1.3 Management of Legal and Other Requirements .....	3
1.4 Compliance with CDM Regulations 2015 .....	3
1.5 Management Systems .....	4
1.6 Policy Control .....	5
<b>2. Safety Risk Management .....</b>	<b>8</b>
2.1 Health and Safety Risk Controls .....	8
2.2 Control of Substances Hazardous to Health .....	8
2.3 Implementation of Risk Controls .....	8
2.4 Personal Protective Equipment .....	8
2.5 Refusal to Work on the Grounds of Health and Safety (Work Safe).....	9
2.6 Welfare Arrangements .....	9
2.7 Communication and Coordination .....	9
<b>3. Environmental Management .....</b>	<b>10</b>
3.1 Environmental Risk .....	10
<b>4. Management of Accidents and Incidents .....</b>	<b>11</b>
4.1 Accident and Incident Reporting and Investigation.....	11
4.2 Emergency and Contingency Planning .....	11
4.3 Restoration of Service (Business Continuity).....	11
<b>5. Supply Chain Management .....</b>	<b>12</b>
5.1 Supplier and Subcontractor Management .....	12
<b>6. Competence Management .....</b>	<b>13</b>
6.1 Recruitment and Induction .....	13
6.2 On-going Competence Management .....	13
<b>7. Plant &amp; Equipment .....</b>	<b>14</b>
7.1 Management, Maintenance and Servicing.....	14
<b>8. Human Resources including Occupational Health Management.....</b>	<b>15</b>
8.1 Occupational Health.....	15

## 1. Management Control

### 1.1 Management Structure

Suppliers shall create a management structure including:

- Evidence of current organisational structure identifying key managerial posts i.e. health, safety, quality, environmental, technical, etc and their responsibilities for working within the relevant sector.
- Evidence that roles have defined job descriptions and that these are briefed and accepted by the post holder.
- Deputies or alternative arrangements are in place for key roles.
- That there are suitably qualified personnel for the services provided.
- If there are different structures on projects how this relates to the overall hierarchy.

### 1.2 Health & Safety Competent Support

Suppliers shall have adequate:

- Health and Safety support to manage the work activities identified within their profile
- As a minimum they possess a NEBOSH general certificate or equivalent.
- That the competent personnel are members of an appropriate professional institution e.g. Institute of Occupational Safety and Health; International Institute of Risk and Safety Management.

### 1.3 Management of Legal and Other Requirements

Suppliers shall have access to and be aware of the requirements of, and changes to legislation and standards:

- Suppliers shall have access to and review Health, Safety and Environmental legislation and standards.
- Suppliers shall have access to and review rail specific legislation and standards appropriate to the scope of services provided for each infrastructure they work on.

### 1.4 Compliance with CDM Regulations 2015

Suppliers shall show compliance with the relevant requirements within the Construction (Design and Management) Regulations 2015:

- If the Organisation acts as a Client, it must demonstrate mechanisms for:
  - Appointing other duty holders
  - Ensuring relevant information is provided to other duty holders
  - Ensuring the Principal Designer and Principal Contractor carry out their duties
  - Allocating sufficient time and resources (including welfare arrangements)
- If the Organisation acts as a Principal Designer; it must demonstrate mechanisms for:
  - Planning, managing, monitoring and coordinating health and safety in the pre-construction phase of a project including the following:
    - identifying, eliminating or controlling foreseeable risks;
    - ensuring designers carry out their duties;
    - preparing and providing relevant information to other duty holders;
    - Liaising with the principal contractor to assist in the planning, management, monitoring and coordination of the construction phase.

- If the Organisation acts as a Designer, it must demonstrate mechanisms, when preparing or modifying designs, to:
  - Eliminate, reduce or control foreseeable risks that may arise during construction and the maintenance and use of a building once it is built.
  - Provide information to other members of the project team to help them meet their duties.
  
- If the Organisation acts as a Principal Contractor, it must demonstrate mechanisms for:
  - Planning, managing, monitoring and coordinating the construction phase of a project. This includes:
    - Liaising with the client and principal designer;
    - Preparing the construction phase plan;
    - Ensuring that adequate resources are available to satisfy the work requirements;
    - Organising cooperation between contractors and coordinating their work.
  - Ensuring suitable site inductions are provided
  - Ensuring Site Security (preventing unauthorized access)
  - Ensuring workers are consulted and engaged in health and safety
  - Ensuring welfare facilities are provided.
  
- If the Organisation acts as a Contractor, it must demonstrate mechanisms for;
  - Planning, managing and monitoring construction work under their control so that it is carried out without risks to health and safety;
  - Ensuring that adequate resources are available to satisfy the work requirements;
  - For projects involving more than one contractor, coordinating their activities with others in the project team
  - For single-contractor projects, preparing a construction phase plan

## 1.5 Management Systems

Suppliers shall have Health, Safety and Quality Management Systems in place:

- Preferably the Organisation should have an ISO 9001:2008 quality certificate and/or OHSAS 18001:2007 certificate and/or an ISO14001:2004 certificate issued by a UKAS (or equivalent) accredited organisation in place.
- As a minimum a documented management system, appropriate to the scope of services, that meets all the quality, environmental and safety requirements detailed within this document

\* The most recent 3rd party surveillance reports should be reviewed to establish that no significant shortfalls were identified that could import unacceptable risk to clients and the general public.

- Where applicable the company must have documented procedures that cover key issues relating to the hire out/supply/maintenance of Possession only Rail Vehicles.
  - Purchase of new machines
  - Accreditation of maintenance plans
  - Modification of machines
  - Maintenance procedures
  - Annual brake test procedure
  - RCI test procedure

## 1.6 Policy Control

Suppliers shall demonstrate, to employees and other affected parties, the supplier's top level management commitment to Quality, Health, Safety and Environmental requirements and identify the overall framework within which the company operates.

The supplier shall have the following policy statements:

- Health and Safety;
- Environmental;
- Quality.

Note: A single integrated policy statement, in compliance with the Health, Safety and Environmental requirements and Quality objectives, is permissible where the supplier has an integrated management system

- The policies/policy shall:
  - meet UK legislative requirements;
  - be dated and current;
  - be endorsed at top level management (i.e. signed-off at Director Level);
  - cover all areas of the supplier's business.
- The Health and Safety Policy statement shall contain a clear commitment to:
  - safety, in so far as is reasonably practicable;
  - providing sufficient resources for the management of health and safety;
  - setting and monitoring safety objectives;
  - continual improvement in safety performance.
- The Environmental Policy Statement shall contain a clear commitment to:
  - preventing pollution;
  - specifically protecting the environment, with reference to aspects of work activities that are environmentally significant;
  - specifically minimising the environmental impact, for the life cycle; (including disposal), of plant, equipment, and other physical assets under the control of the supplier;
  - setting and monitoring environmental objectives;
  - continual improvement in environmental performance.
- The Quality Policy statement shall contain:
  - whether the supplier is certificated to any standards (e.g. ISO 9001 or any specific standards for the type of product or service);
  - the setting and monitoring of quality objectives;
  - a commitment to work with suppliers and customers to establish and maintain the highest quality standards;
  - a commitment to continual improvement in quality performance.
- The supplier shall have arrangements in place for managing policy statements, including:
  - communicating them to all employees on induction, starting a contract and following policy changes;
  - communicating them to their suppliers (as necessary) and other interested parties;
  - reviewing them (as a minimum annually).

## 1.7 Document Control

Suppliers shall have arrangements for the identification of all documents that require control to ensure the effectiveness of operations:

- The organisation has a Document Control Procedure that identifies the key documents requiring control. Such as:
  - National and International Standards,
  - Relevant Legislation.
  - Industry and Contract Specific Documentation.
  - Documents supporting the organisation's processes.
- The Document Control Procedure should identify:
  - How documents are reviewed and changes identified.
  - How documents are issued and reach their point of use; in particular multi sites.
  - The process for cancelled and superseded documentation.
  - Archiving and retention.
  - How does the company control the issue of drawings to specialist functions and construction functions/organisations?
- A master list of controlled documents and their status is maintained.
- It should be established that there is a robust system in place, where applicable, to ensure that the following documentation is provided for each machine and trailer in use:
  - Engineering Acceptance (all pages) and endorsements
  - Network rail product acceptance or letter of exemption
  - Record of Thorough Examinations
  - Load radius charts (only for machines fitted with RCI's)
  - Log book/operator inspection report book
  - Brake test certificate
- For Machine specific documentation has the organisation nominated a responsible manager / individual?

## 1.8 Monitoring

Suppliers shall have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers. The arrangements shall include:

- That management systems are assessed internally on a regular basis by competent personnel.
- That a documented audit schedule is prepared.
- That internal audit reports are available.
- That corrective actions raised through the internal audit process are reviewed by management and that the organisation has a managed process for the control of corrective actions.
- Obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident frequency reports, etc.
- Analysing and reviewing performance data and other key performance indicators, including the identification of trends.
- Reviewing and discussing suppliers' performance with their suppliers.
- Identifying and closing out corrective actions and concessions in a timely manner.
- During the inspection process, the company must ensure on-site personnel are executing their duties in a safe manner.
- Staff and contractors are in possession of their certification when on site.
- Quality inspections of the installation work are carried out.

## 1.9 Design Management and Control

Suppliers shall have adequate controls in place to manage the design process within the Organisation (If applicable):

Suppliers shall:

- Provide evidence of acting as designer and co-ordinating designs
- Have arrangements in place for co-ordinating designs in respect of CDM requirements (e.g. designing to meet Workplace regs, consideration of future maintenance, coordination between design disciplines and passing information to subcontracted & specialist design teams).
- Ensure design interfaces are thoroughly reviewed
- Have a documented process for submission of designs (Including revision status, change process etc).
- Have a formal process to show how changes are communicated to the client and where applicable sub-contractors.
- Have a process for third-party review to ensure designs are correct.
- Have a process for managing modifications after the design has been issued.

## 2. Safety Risk Management

### 2.1 Health and Safety Risk Controls

Suppliers shall incorporate Health and Safety controls into its risk management process:

- The production of Health and Safety Risk Assessments is formally documented within the organisation's Management Systems.
- Designated responsibility for compiling and authorising the risk assessments.
- Define the minimum competency for personnel authorised to compile risk assessments
- Establish assessments that are generic to the Organisation's scope of operations or unique to each particular contract.
- Ensure that all applicable site issues are incorporated into the relevant risk assessments.
- All infrastructure specific risks appropriate to the scope of services should be captured within the organisation's risk management process.
- Risk assessments shall be communicated to staff, clients and Organisations/subcontractors.
- Records of risk assessment briefing are to be retained.
- Undertake periodic reviews of risk assessments and the types of information the Organisation receives that may initiate a review of the risk assessments.
- Suppliers shall employ programs to reinforce safe behaviour and re-educate un-safe behaviours (Behavioural safety)

### 2.2 Control of Substances Hazardous to Health

Suppliers shall comply with the Control of Substances Hazardous to Health (COSHH) Regulations:

- Suppliers shall identify any substances used that may fall within the scope of the COSHH Regulations?
- Hold Manufacturers' Safety Data sheets for all substances used.
- Undertake formal COSHH assessments based upon the Manufacturers Safety Data sheets.
- Brief COSHH Assessments to all employees, organizations, subcontractors and the client as applicable.
- Retain records of COSHH assessment briefing

### 2.3 Implementation of Risk Controls

Suppliers shall have arrangements for implementing the risk mitigation control measures identified through the Risk Assessment process:

- Risk controls are to be identified within the Organisation's processes and communicated throughout their organisation.
- Suppliers shall ensure that responsibility for implementation of these arrangements has been allocated to competent persons, including Professional Heads.
- Detail how control measures are monitored/reviewed on a regular basis by personnel who understand the work being assessed.
- Supplier shall ensure that where method statements are produced, risk assessments are incorporated or referenced.

### 2.4 Personal Protective Equipment

Suppliers shall have arrangements for the issuing, checking and monitoring of Personal Protective Equipment (PPE) (including Fall Arrest and Fall Prevention Equipment if applicable):



- Issue at induction and following loss or damage.
- PPE is to be provided free of charge to own employees.
- The supplier shall have arrangements for monitoring use of PPE.
- Detail the PPE required where applicable in the risk assessment processes
- Ensure that subcontractors working on associated projects have suitable controls in place for PPE.
- Complies with LOLER and PUWER as appropriate.

## **2.5 Refusal to Work on the Grounds of Health and Safety (Work Safe)**

Suppliers shall have arrangements for managing refusal to work on the grounds of Health and safety (Work Safe):

- Suppliers shall have a documented Policy
- Records of briefing of the Policy shall be retained
- Policy shall include a cascade procedure in the event of conflict / disagreement
- The Policy shall detail that employees are not penalised for refusing to work on grounds of Health and Safety

## **2.6 Welfare Arrangements**

Suppliers shall have arrangements for ensuring that adequate welfare facilities are provided for personnel under their control:

- Where the Welfare is not provided directly the supplier shall confirm that suitable welfare is available and keep records of any checks made.

## **2.7 Communication and Coordination**

Suppliers shall have arrangements in place for Identifying and seeking co-operation from others who their works affect or whose work may affect them and adequately co-operating with them to enable each party to discharge their duties under CDM 2007, the MHSAW Regs and any other relevant statutory duty. In particular, these shall identify how the supplier engages with the wider construction team to coordinate delivery of their service in a way which, so far as reasonably practicable, ensures the health and safety of those carrying out the work and those who are affected by the work.

- Suppliers shall have processes in place for the controlled issue of Method Statements, RAMS, Work Package Plans and Task Briefings to staff and their suppliers (as applicable).
- suppliers shall have a process for the validation and checking of their suppliers Method Statements, RAMS, Work Package Plans and Task briefings (as applicable)

## 3. Environmental Management

### 3.1 Environmental Risk

Suppliers shall review Environmental Aspects and Impacts (i.e. Environmental risk assessments) appropriate to the scope of its activities:

- Suppliers shall identify controls to manage environmental legislative requirements appropriate to the scope of its activities
- Ensure that competent and authorised personnel assess the Environmental Aspects and Impacts associated with the scope of its works.
- Formally document Environmental Risk Management Processes within the organisation's Management Systems.
- Suppliers shall ensure issues such as environmental noise and restrictions on working hours are managed.
- Detail the responsibility and competency for compiling and authorising environmental risk assessments.
- Establish assessments that are generic to the Organisation's scope of operations or unique to each particular contract.
- Communicate environmental risk assessments to staff, clients and the Organisations' subcontractors.
- Records of briefing are retained.
- Suppliers shall verify that staff have appropriate knowledge of Environmental issues
- Define mechanism for periodic reviews of environmental risk assessments and the types of information the organisation receives that may initiate a review of the risk assessments.

## 4. Management of Accidents and Incidents

### 4.1 Accident and Incident Reporting and Investigation

Suppliers shall have arrangements for the investigating and reporting of all accidents, incidents, near misses and close calls:

- The supplier shall have understanding of the requirements of RIDDOR
- Suppliers shall have a nominated person for the statutory reporting of accidents and incidents as identified in RIDDOR.
- Suppliers shall maintain records of accidents, incidents, near misses and close calls.
- Supplier shall retain evidence that it has communicated the accident reporting process to its workforce and where applicable sub-contractors.
- The supplier shall ensure that it has a documented process for undertaking local investigations.
  - Including: competent people are undertaking the investigation; all operatives are aware of the investigative process; a mechanism for feeding into the Clients formal enquiry process; that arrangements are in place to assist and provide records to enforcement agencies (Police, Environment Agency, HSE).
- Supplier shall produce and analyse Accident and Incident Statistics.
- Suppliers should produce annual reports detailing Accidents, Incidents and Dangerous Occurrences Statistics and make these reports available.

### 4.2 Emergency and Contingency Planning

Suppliers shall have arrangements in place for responding to emergencies while undertaking work on rail Infrastructure. These arrangements shall include:

- The preparation and distribution of emergency response plans to its own personnel and suppliers and other affected parties.
- Production and distribution of an emergency contact list.
- Provision of equipment for use in the event of an emergency.
- Provision of competent personnel e.g. first aid staff
- Briefing workers on the plans and testing the effectiveness of such plans.
- Interfacing with, and assisting, Principal Contractors, Infrastructure Managers, Regulatory Authorities, and the emergency services, etc.
- Review and revision of the plans, particularly after an accident/incident or an emergency.

\*where the emergency and contingency planning is the responsibility of another party it should be established that the supplier communicates and reviews applicable arrangements

### 4.3 Restoration of Service (Business Continuity)

Suppliers shall have arrangements for the preparation and implementation of a business continuity management process, which ensures that an effective, coordinated programme can be put into place

- Suppliers shall show that Business Continuity been addressed within the business using a formal plan or corporate process.
- Business Continuity arrangements shall include a phased recovery plan with key recovery stages identified.
- Suppliers shall allocate responsibility to a senior person within the business for business continuity
- Suppliers shall ensure that command and control structure identified in all key areas of the business to ensure that the programme is implemented quickly to ensure minimal disruption to production / service.
- Suppliers shall a communications person (For Business Continuity issues) to deal with media, internal communication and other interested parties including customer base where applicable.

## 5. Supply Chain Management

### 5.1 Supplier and Subcontractor Management

Suppliers shall ensure effective supplier and subcontractor management:

Suppliers shall control its supply chain approval process using the

- Suppliers shall assess the historical competence of its supply chain and their ability to meet designated functions under UK Legislation
- Suppliers shall identify the relevant licences and trade associations that the supply chain are members of dependent upon the scope of service offered and records kept.
- Suppliers shall have a process in place for ensuring information is provided to potential suppliers and understood by them.
- Suppliers, where applicable, have in place processes to manage sublet work/design packages with Organisations that are based overseas and that they are able to meet UK regulatory requirements.
- Supplier shall have a n approval process in place prior to placing a contract for works with an approved supply chain member.
- Suppliers shall identify the minimum levels of insurance applicable and required to be held by its supply chain.
- Suppliers shall undertake supply chain auditing or use third party systems or organisations to undertake this for them.
- Suppliers shall have a process for the recording and monitoring of any corrective actions raised at supply chain audits.
- Suppliers shall undertake post contract reviews of supply chain performance and the results of these reviews should be communicated through the business.
- Suppliers shall have a mechanism to verify and ensure that products and components procured are approved and fit for purpose.

## 6. Competence Management

### 6.1 Recruitment and Induction

Suppliers shall have a policy on and arrangements for the recruitment and induction of employees and others under its control including sub-contractors and self-employed personnel.

Suppliers shall have:

- Suitable process and evidence of implementation
- Records of induction and ongoing communication.
- Suitable induction process and evidence of implementation
- A process in place to assess / verify that workers carrying out protection activities can communicate in English (both written and oral)
- Arrangements for selecting personnel (e.g. advertising selection, interview) (TfL only)
- Processes for communicating the need for workers carrying out safety critical tasks to carry identification: (induction / toolbox talks / briefing records) (TfL)

### 6.2 On-going Competence Management

Suppliers shall be able to demonstrate the effectiveness of the competency management system, including:

- How the Organisation identifies competence requirements for particular activity.
- Evidence of identifying and meeting statutory competence requirements as distinct from client-specific competencies.
- Evidence that current personnel have experience with that work type (for multi-disciplinary organisations)
- How the Organisation records what training or levels of competency required for the position.
- The Organisation a process for certification expiry/re-training event dates.
- The capability to meet the professional qualification requirements and review and changes or updates for its activities. (if applicable)
- That the Organisation has a means of identifying certification expiry/re-training event dates and also where necessary competency assessment events due dates.
- How the Organisation identifies and meets industry/client-specific competence/ training requirements (e.g. Sentinel Sponsorship)
- That the relevant competency standards been documented; these may be drawn from external organisations.
- Where competency standards have been developed internally these must be signed off by competent personnel.
- How remote workers are advised of their need to be re-assessed (if applicable)
- If appraisals of personnel performance and personal training plans put in place.
- Whether the company has documented process in place for complying with the IRSE Licensing Scheme. (Signalling only)
- Where IRSE is used that the organisation has documented procedures for the management of IRSE licensing requirement and if not how does the company ensure the competence of signalling personnel
- Ensuring that the company has a process in place for the mentoring and development of personnel deemed “not yet competent”
- Demonstrating that competency management records support the management system presented.
- Demonstrating that nominated competent personnel have been appointed with responsibility for the relevant engineering streams (e.g. Professional Heads)
- Processes for the nomination of key staff for projects
- Having a process for the mentoring, development and re-training of personnel following an accident or who are unfamiliar with an area.

## 7. Plant & Equipment

### 7.1 Management, Maintenance and Servicing

Suppliers shall ensure that work equipment is fit for purpose.

Suppliers shall:

- Have a process to identify each item of plant or machinery
  - For suppliers providing On-track plant (OTP) the company must have an up to date inventory of all on-track plant that it operates.
- Arrangements to ensure that all plant, small hand tools and equipment are approved prior to use?
- Processes to ensure that calibration requirements are controlled (if applicable)
- Equipment from a third party fit for purpose.
- Have processes in place to identify and deliver statutory and other inspections/ service maintenance (e.g. Vehicle mounted fire extinguishers, Lifting Accessories, LEV).
- Ensure that maintenance and service procedures identify quarantine arrangements to ensure equipment that is not fit for purpose cannot be used
- Lifting equipment and its ancillary (chains/ slings/ strops) equipment are used, with processes to ensure they remain safe (if applicable)
- Detail the competence requirements for internal staff involved in maintenance, inspections and servicing of equipment.
- Ensure that maintenance work plans are signed by a competent person.
- Understand the requirements of Product and Engineering Acceptance, Where applicable. (supplying OTP)
- Ensure maintenance / service check sheets are in place for all machines, trailers and attachments, along with an annual maintenance programme indicating when next planned maintenance is due.
- Retain records of completed maintenance/service check sheets for all machines, trailers and attachments.
- Ensure that arrangements are in place for the implementation of 'Pre-Delivery Inspection' (Fitter) and 'Pre start' checks (Operator) and that these are formally recorded.
- Have, where applicable, a documented process for the reporting of high risk / safety related defects

## 8. Human Resources including Occupational Health Management

### 8.1 Occupational Health

Suppliers shall have processes to meet occupational health surveillance requirements

Suppliers shall:

- Have a process in place to ensure that long-term health issues are risk assessed.
- Document who has been involved in setting up the occupational health process (employees, specialist advice, Unions or representatives)
- Detail how the potential hazards are identified.
- Detail whether the company undertake Alcohol and Drugs screening for personnel engaged in Safety Critical works, and show evidence of this.
- Manage fatigue of its employees & contractors under its control, and keep records.
- Have processes in place to bring the risks down to as low as is reasonably practicable.
- A process for understanding the medical condition of all employees before they start working for the Organisation.
- Have a process in place for when personnel change roles for reviewing their occupational health requirements assessed prior to starting.
- Undertake a programme of routine health surveillance
- Have processes in place to ensure that control measures remain appropriate to individual's condition/ requirements
- Have access to occupational health surveillance/ advice, undertaken in-house or by a specialist provider.
- Detail how often is the occupational health process reviewed and record evidence of this review.
- Detail whether the Organisation manages their subcontractors in this area, if applicable.
- Securely store its occupational health information on employees
- Give employees have the opportunity to review the Records kept regarding them if requested.
- Retain records for the minimum period applicable to the type of record.