
Supplier Assurance Management System (SAMS)
2 – Scheme Governance
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Operation and Management

RISQS-SG-003

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1 Implementation and compliance date

1.1 This procedure shall be implemented from the date it is published

2 Introduction

2.1 This document sets out the methods by which the Supplier Assurance function of the RSSB, will direct and supervise the Operation and Management of the Railway Industry Supplier Qualification Scheme.

2.2 This document describes the operation and management of RISQS. It is separated into three sections, Operation, Management & Review, and provides information on all aspects of the scheme.

3 Purpose

3.1 The purpose of this document is to explain the operations and management of RISQS , including:

- Role of the RISQS Manager in supporting business operations and management
- Scheme Rules, Terms & Conditions
- Communications and publicly available information regarding RISQS
- Key operations including supplier registration, audit scheduling, audit reporting, issuing certificates
- Management procedures including, complaints and appeals, conflicts of interest and competency management.

4 Scope

4.1 This procedure applies to the following:

- RSSB Supplier Assurance Function
- Lot 1 IT & Verification service provider
- Suppliers wishing to participate in the RISQS Scheme
- Members of RISQS Committee

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 organisation 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.
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(s)	Organisation appointed and accredited by the Supplier Assurance function to support delivery of the scheme in accordance with specification defined in RISQS/004 Contract and Commercial Management.
Service provider personnel	Any service provider staff and contracted personnel working on RISQS activities as defined in the list contained in RISQS/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, who report into the RSSB ExCo.
Technical expert	Person who provides specific knowledge to the assessment team. Note that the specific knowledge or expertise is that which relates to the organisation, the process or activity to be assessed, or language or culture and technical background. A technical expert does not normally act as an assessor in the assessment team unless competence consistent with the requirements of ISO 19011:2002 can be formally demonstrated.
User	A user of the RISQS IT application is 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
NR	Network Rail
QA	Quality Assurance
RISQS	Railway Industry Supplier Qualification Scheme
RSSB	Railway Safety & Standards Board
SMO	Scheme Management Office

6 References

6.1 Scheme Procedures

- RISQS-SG-001 Principles of the Railway Industry Supplier Qualification Scheme
- RISQS-SG-002 Governance Arrangements
- RISQS-SG-004 Contract and Commercial Management
- RISQS-SG-005 Document Control Procedure
- RISQS-SG-006 Management Review
- RISQS-SG-007 RISQS Assurance Plan
- RISQS-SG-008 Complaints & Appeals
- RISQS-SG-009 Scheme Decisions to Certify a Body
- RISQS-SG-010 Non-conformance Register Procedure

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 Conformity assessment - Requirements for bodies providing audit and certification of management systems

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 RSSB Board function is responsible for:

- Appointing the RISQS Manager through its delegated authority.

8.2 The RISQS Committee is responsible for:

- Approving the RISQS Scheme communication plan
- Ensuring its members declare any potential conflicts of interest which may jeopardise the impartiality of the scheme.

8.3 The RISQS Manager is responsible for:

- Operations and management of RISQS
- Developing a communications plan with all RISQS stakeholders
- Maintaining the master conflict of interest register for RISQS
- Undertaking assurance and monitoring of the service providers operations.

8.4 The Lot 1 service provider is responsible for:

- Verifying Suppliers organisational documentation as part of the registration process
- Declaring any potential conflicts of interest to RISQS Manager which may jeopardise the impartiality of the scheme.

8.5 The Scheme Management Office is responsible for:

- Scheduling RISQS audits in line with the Suppliers' requirements
- Undertaking RISQS audits on Suppliers' management systems against the audit module protocols
- Ensuring all audit reports are subjected to an internal quality assurance process
- Ensuring that auditor assigned to audit a Supplier have not provided management system consultancy within the last two years
- Providing details of any potential conflicts of interest to the RISQS Manger
- Ensuring all auditors undertaking RISQS audits meet the minimum competency requirements and have the appropriate technical knowledge
- Ensuring all auditors are licensed to undertake RISQS audits.

8.6 RISQS Auditors are responsible for:

- Undertaking RISQS audits in line with the Auditors Code of Conduct
- Signing the Personal Compliance Document.

9 Procedure

9.1 RISQS Manager

9.1.1 The RISQS Manager is responsible for operations and management of RISQS.

9.1.2 The RISQS Manager will be appointed by the RSSB Board. The full Job Description of the RISQS Manager is available within RSSB -SAM-002 Job Roles and Scheme Safety Responsibilities.

9.1.3 The RISQS Manager's responsibilities include:

- The promotion, growth and extension of the scheme, in accordance with the RISQS business plan priorities
- Updating the RISQS Committee as required, but at least at every RISQS Committee meeting where a report will be provided as to progress, against objectives set by the Committee including the business plan
- Acting as the main point of contact for suppliers and customers when there are significant issues either with the performance, or with the operation of the scheme. There are mechanisms to provide feedback on RISQS through the IT application and the help desk
- Developing and make recommendations to the RISQS Committee on any proposed changes to the product or service groups
- Managing the appeals process on behalf of the Supplier Assurance function of the RSSB
- Acting as custodian and maintain the risks register and keeping the Supplier Assurance function of the RSSB informed of any changes to it and will act on its behalf to mitigate the risks
- Maintaining the Railway Industry Commodity Classification List (RICCL).

9.2 Scheme Rules

9.2.1 The Railway Industry Supplier Qualification Scheme will be operated in accordance with the Scheme Rules (RISQS-SD-002).

9.2.2 The RISQS Rules set out the following:

- Scheme membership types (Suppliers, Patrons, Buyers and Phone Book Users)
- Organisation rules for suppliers
- Uses of scheme branding
- Audit rules

9.3 Terms & Conditions

9.3.1 All Suppliers shall comply with the requirements set out in the relevant terms and conditions relevant to their membership status, these are set out in the following documents:

Suppliers Terms & Conditions – RISQS-SD-003

Audit Terms & Conditions – RISQS-SD-004

Buyers Terms & Conditions – RISQS-SD-005.

9.4 Publicly Available Information

9.4.1 The publicly accessible RISQS website will be kept up to date with the relevant scheme information which can be downloaded in PDF format. These documents include:

- RISQS Rules
- Auditors Code of Conduct
- Terms & Conditions
- Scheme Protocols
- Scheme Governance Documents.

9.4.2 Upon any external requests, RSSB will provide the following information:

- The geographical areas in which its Suppliers operate
- The status of a given certification
- The name, related normative document, scope and geographical location of specific certified organisation.

9.5 Communication

9.5.1 A communications plan shall be developed that identifies the stakeholders to be communicated with and the channels that will be used to allow for effective communication.

9.5.2 The RISQS Manager will obtain approval for the plan from the RISQS Committee. Delivery of the communications strategy will be one of the objectives for the RISQS Manager.

9.6 Supplier Registration

9.6.1 A Supplier seeking qualification as a new RISQS supplier should register on the IT application and select the RICCL codes it wishes to supply. A relevant questionnaire will then be created by RISQS IT application. The questionnaire shall be used to identify the following to determine the scope of the certification:

- Company name
- Company address and site(s)
- Operations, services and outsourced services
- Technical resources / functions
- Protocols certification required

- Whether any management systems consultancy has been provided and by whom.

9.6.2 The Supplier will be required to upload their company documentation which will then be verified by the Lot 1 IT & Verification service provider. The procedures detailing the stage 1 verification are set out in RISQS-SD-010.

9.6.3 Once the questionnaire has been completed, this will be assessed to determine whether the Supplier has sufficient arrangements in place to progress. The Supplier will be informed whether they have been successful at this stage.

9.6.4 If a Supplier is unsuccessful during the registration process, the reason will be documented and communicated back to the Supplier.

9.6.5 If the Supplier selects auditable RICCL codes during the registration process a stage 2 audit will be required. The objective of the audit is to ensure that the Suppliers' Health & Safety management system meets the requirements of the relevant scheme protocols. RISQS will notify the Supplier where an audit is required.

9.6.6 Suppliers which have already qualified under RISQS must ensure the IT application is updated with the company's latest documentation.

9.6.7 The Supplier can also review the product codes to extend/reduce the scope of their service via the IT application.

9.6.8 If the Supplier fails to keep their documentation up to date on the IT application, the Supplier will not be visible to another organisation on the IT application.

9.7 Audit Scheduling

9.7.1 Where the Supplier is new to RISQS an initial empty system audit is required. An empty system audit aims to assess Health & Safety Management Systems which have not been used and do not yet have evidence to demonstrate compliance with the protocols.

9.7.2 Following the registration process, the Suppliers details will be communicated to the SMO. The SMO will then contact the Supplier to schedule an audit. The procedure for scheduling RISQS audits is set out in RISQS-PR-003.

9.7.3 A Supplier which is already qualified under RISQS must undertake annual renewal audits to continue providing their services. Annual renewal audits must be undertaken no earlier than 12 weeks prior to the expiry date which is the last day of the first audit undertaken. For further information refer RISQS Scheme Rules (RISQS-SD-002).

9.7.4 Renewal audits will be scheduled by the SMO. The SMO will contact the Supplier to schedule annual renewal audits. The procedure for scheduling renewal audits is set out in RISQS-PR-003.

9.7.5 Since RISQS recertification is undertaken every 12 months, surveillance visits are not required when the Supplier passes recertifications audits.

9.7.6 Surveillance visits are only undertaken as part of the 12-week re-audit when the Supplier closes out major non-conformances following a recertification audit. The arrangements for a 12-week re-audit are detailed in the Scheme Decisions to Certify a Body RISQS-SG-009.

9.8 Audit Scope & Duration

- 9.8.1 The scope of audit will be determined using the information provided by the Supplier on the questionnaire and RICCL codes selected.
- 9.8.2 The minimum duration of each audit will be calculated using the requirements detailed in the RISQS Rules (RISQS-SD-002).
- 9.8.3 The length of the audit will be dependent on the following:
- Audit modules required (Core, CDM, Sentinel, Safe Work Planning, On-track Plant Operations Scheme)
 - Number of RICCL code discipline areas required
- 9.8.4 Where multiple audit modules are required at the same time, these will be integrated into the scope of single audit.
- 9.8.5 The audit modules are arranged in hierarchical manner where a Supplier can only be certified against a module if the previous modules have been passed. These arrangements are set out in the Scheme Decisions to Certify a Body RISQS-SG-009.
- 9.8.6 The duration of the audit shall be recorded formally in the final audit report prepared by the Auditor.
- 9.8.7 The SMO will ensure the auditor assigned to the Supplier has the necessary competency and technical knowledge to audit the entire scope (i.e. RICCL codes and audit modules). This is set out in the Scheduling Procedure RISQS-PR-003.
- 9.8.8 Team audits are not undertaken as part of the RISQS scheme. The SMO will only assign one auditor for each new/recertification audit.
- 9.8.9 Observers and witnesses may be required to be present during an audit as part of the Audit Licensing Procedure (RISQS-PR-002) and Scheme Assurance Plan (RISQS-SG-007). Where observers or witnesses need to attend an audit, the Supplier shall be consulted, and justification will be provided. Witnesses or Observers can only attend the audit once the Supplier agrees.
- 9.8.10 Technical experts which support the auditor as part of the quality assurance process will not be required to attend the audit.

9.9 Audit Procedure

- 9.9.1 The SMO will arrange for a Licenced RISQS Auditor to undertake the audit. The Auditor will assess the Suppliers Health & Safety Management System against the RISQS Scheme Protocols (audit modules).
- Core Requirements – RISQS-AP-017
 - Construction Design Management Regulations – RISQS-AP-019
 - Sentinel – RISQS-AP-002
 - Safe Work Planning – RISQS-AP-003
 - Plant Operation Scheme – RISQS-AP-004
 - On-track Plant Operations Scheme – RISQS-AP-018
 - Sentinel Non-Track Side – RISQS-AP-027
 - Medical Screening – RISQS – AP -006
 - Alcohol & Drug Testing and Analysis– RISQS – AP -007

9.9.2 The SMO will undertake RISQS audits in line with requirements set out in the Audit Procedure RISQS-PR-004. The auditor will conduct themselves in line with the scheme's Auditor Code of Conduct RISQS-SD-001 and the Scheme Rules RISQS-SD-002.

9.9.3 The auditor will undertake the following key tasks during the audit process:

- Examine and verify the structure, policies, processes, procedures, records and related documents.
- Determine that the documents meet all the requirements of the relevant audit modules.
- Determine that the processes and procedures are established, implemented and maintained effectively
- Communicate any inconsistencies within the procedures to the Supplier

9.9.4 The auditor will identify areas where the Supplier does not meet the requirements of the protocols and raise non-compliances. These will include:

- Major non-compliance - a failing of either a whole requirement or that carries significant risk to personnel, the environment or Suppliers.
- Minor non-compliance - a failing of part of a requirement that does not carry significant risk to personnel, the environment or Suppliers
- Observation - where the Auditor believes there may be better or more efficient methods to meet a requirement.

9.9.5 The Auditor may also provide information on aspects where the Supplier has exceeded the minimum requirement, this will be recorded as a positive element.

9.9.6 The Supplier shall ensure suitable resource on the day of the audit to act as a guide throughout the auditor process. If the Supplier does not provide suitable resource during the audit, then this will be deemed as an obstruction which may result in the audit being cancelled.

9.10 Audit Reporting

9.10.1 The results of the audit (i.e. pass/failure) will be determined in accordance with the principles detailed in the RISQS Scheme Rules (RISQS-SD-002).

9.10.2 Any decisions to certify the Supplier will be made in accordance with the procedures set out in Scheme Decision to Approve a Body as Certified (RISQS-SG-009). This procedure also details the risk control process where the Supplier fails an audit.

9.10.3 All audits undertaken will be subjected to the SMO internal quality assurance process before the audit formally issued. The procedures detailing the QA process are set out in the RISQS Quality Assurance Process (RISQS-PR-005).

9.10.4 Following the QA process, the final audit report will be published to the IT application where the Supplier can download the report from their account. The final report will include the following information:

- An executive summary
- Identification of the certification body
- Name and address of the Supplier's representative

- Type of audit, including, empty system, recertification or 12-week re-audit
- Audit criteria i.e. protocols and RICCL codes
- Audit objectives
- Audit scope, functional units or processes audited and the time of the audit
- Any deviation from the audit plan
- Any significant issues impacting the duration of the audit
- Identification of the auditor and any witnesses, observers or accompanying personnel present during the audit
- Dates and places where the audit activities (on-site or offsite) were conducted
- Audit findings, evidence and, consistent with the requirements of the type of audit
- Findings Summary Table, containing, Major Non-Compliance, Minor Non-Compliance, Positive Elements and discrepancies where the audit findings do not align with responses to the online questionnaire completed during the registration process
- Conclusions i.e. Pass or Fail
- Significant changes affecting the management system of the Supplier since the last audit
- Any unresolved issues, if identified
- Where applicable, whether the audit scope covered multiple audit modules
- Disclaimer statement indicating that auditing is based on a sampling process of the available information
- Recommendation from the auditor
- Verification that previously identified non-conformances have been addressed
- Audited Supplier effectively controlling the use of certification documents and marks
- Statement that the Suppliers management systems conformity to the RISQS protocols and the effectiveness of the arrangements.
- Confirmation that the audit objectives have been fulfilled

9.11 Complaints & Appeals

- 9.11.1 The Supplier can make a complaint and/or appeal any decisions made by the SMO during the audit. The procedures for managing complaints and appeals are set out in the Complaints and Appeals Procedure (RISQS-SG-008).

9.12 Conflicts of Interest

- 9.12.1 RSSB will not provide any RISQS management system consultancy services to any Supplier or certified Supplier. RSSB will not offer RISQS certification where an existing relationship has the potential to threaten impartiality.
- 9.12.2 All auditors working on behalf of the SMO must comply with the conflict of interest requirements detailed in RISQS-SD-001 (Auditor Code of Conduct).
- 9.12.3 All auditors will sign RISQS – SG – 003 Personal Compliance Document as acknowledgement of the Schemes rules and procedures.
- 9.12.4 The SMO has set out their arrangements for recording Auditor conflicts of interest in the Scheduling Procedure RISQS-PR-003.
- 9.12.5 The SMO shall ensure auditors are not scheduled to audit Suppliers where they have provided RISQS management system consultancy for a minimum of two years following the end of consultancy/employment.
- 9.12.6 The RISQS Manager will undertake routine monitoring checks as part of the Scheme Assurance Plan (RISQS-SG-007) to ensure the two-year rule has not been breached.
- 9.12.7 In addition to RISQS auditors, all members of the Supplier Assurance function, Lot 1 IT & Verification service provider employees and RISQS Committee Members shall declare any potential conflicts of interest which could jeopardise the impartiality of the RISQS Scheme.
- 9.12.8 The SMO shall provide the RISQS Manager with details of any conflicts of interest.
- 9.12.9 The RISQS Manager will maintain a master conflict of interest register which will detail any potential conflicts of interest in relation to RISQS . The register will be reviewed regularly as part of the Management Review (RISQS-SG-006) to assess risks to impartiality and develop actions to mitigate the threats identified. Following the Management Review any actions relating to mitigating risks associated with conflicts of interest will be incorporated in the business plan and endorsed by the SRG.
- 9.12.10 Information related to any conflicts of interest will be made available to the RISQS Committee. The RISQS Committee will review and advise on any matters affecting the impartiality of RISQS .

9.13 Competence Management

- 9.13.1 All personnel recruited to support the delivery of RISQS will have the necessary skills, knowledge and experience related to the UK rail industry. The procedures detailing the arrangements for recruiting auditors are set out in RISQS-PR-001.
- 9.13.2 The minimum competency requirements for a RISQS lead auditor includes:
- NEBOSH General Certificate in Occupational Health and Safety (or equivalent)
 - Lead Auditor (IRCA Accredited / recognized course) in either: ISO9001, ISO14001 or ISO45001
 - 2 years relevant experience.
- 9.13.3 The SMO shall ensure all auditors that undertake the delivery of RISQS audits on behalf of RSSB shall be licensed and approved. The procedures which detail these arrangements are set out in RISQS-PR-002. These include:
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- Issuing auditors with the approved audit protocols
 - Minimum competency requirements
 - RISQS Auditor Training
 - Scheduling Tool Training
 - Audit Tool Training
 - Audit Shadowing
 - Initial Licensing Audit
 - Re-licensing, Coaching & Mentoring
 - Failed Licencing
 - Appeals process
 - Communications, including briefings, technical updates, changes to legislation and standards
- 9.13.4 The procedure detailing the arrangements for appointing technical experts to assist with the quality assurance process is set out in RISQS-PR-005.
- 9.13.5 RSSB will be granted access to all competency and licencing records for each RISQS auditor, including the following:
- Relevant qualifications
 - Training
 - Experience
 - Affiliations
 - Professional status
 - Competence
- 9.13.6 RSSB will undertake periodic monitoring to ensure all auditors are licensed accordingly and the appropriate level of competency can be demonstrated.
- 9.13.7 The monitoring and assurance activities undertaken by RSSB are set out in the Scheme Assurance Plan (RISQS-SG-007).
- 9.13.8 RSSB will ensure a sufficient number of competent auditors are available to manage the demand for RISQS certification.
- 9.13.9 The level of resource will be reviewed as part of the monthly operations meeting with the SMO. The procedure detailing the management of service providers is detailed in Contract & Commercial Management (RISQS-SG-004).

10 Record keeping

- 10.1 All records shall be retained in for a minimum of six years, these include the following:
- Supplier questionnaires
 - Supplier organisational documentation uploaded to IT application
 - Information regarding conflicts of interest provided by scheme stakeholders
 - Evidence of auditor competencies provided by the SMO
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10.2 This procedure will be subjected to an internal audit every three years (as a minimum) or following any significant changes to the RISQS scheme.

11 Related Documents

11.1 The following documents are related to this procedure:

- RISQS-SD-001 Auditor Code of Conduct
- RISQS-SD-002 Scheme Rules
- RISQS-SD-003 Supplier Terms & Conditions
- RISQS-SD-004 Audit Terms & Conditions
- RISQS-SD-005 Buyers Terms & Conditions
- RISQS-SD-010 Operational Manual (Lot 1 service provider)
- RISQS -SG-003a Personal Compliance Document
- RISQS-PR-001 RISQS Recruitment Procedure
- RISQS-PR-002 RISQS Audit Licensing
- RISQS-PR-003 RISQS Scheduling Procedure
- RISQS-PR-004 Audit Procedure
- RISQS-PR-005 RISQS Quality Assurance Procedure
- RISQS-AP-017 Core Requirements
- RISQS-AP-019 Construction Design Management Regulations
- RISQS-AP-002 Sentinel
- RISQS-AP-003 Safe Work Planning
- RISQS – AP-004 Plant Operation Scheme
- RISQS-AP-018 On-track Plant Operations Scheme
- RISQS-AP-027 Core Non-Track Side
- RISQS-AP-006 Medical Screening
- RISQS-AP-007 Alcohol & Drug Testing