Industry Supplier Assurance Scheme Transformation

Service Provider Requirements Document

Revision 08

1. Contents

2. Definitions & Abbreviations

2.1. Definitions

Definition	Description
Audit	Systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which the specified criteria are fulfilled
Audit Provider	Organisation(s) contracted to operate elements of RISQS provision of auditors and auditing.
Auditor	Competent person participating in the planning, execution and reporting of RISQS Audits
BAU Development	Is business as usual development. This is development required to keeping the system/modules/applications/websites doing whatever it takes to maintain the existing level of service e.g. changes to the questionnaire and product codes. There will be some BAU projects, like upgrades to browsers (e.g. Internet Explorer, Chrome, Edge) that are changes to the existing IT infrastructure as the business or IT situations mandate.
Buyer	Organisation that has signed a standard agreement to subscribe to RISQS as a buyer member.
Functionality Failure	A failure in functionality that effects any part of the IT platform.
Management Systems	The framework of polices, processes and procedures used by an organisation to ensure that it can fulfil its objectives including but not limited to conformance with requirements defined in OHSAS18001, ISO14001, ISO9001, SA8000 or equivalent management systems following ANEXSL.
Non-BAU Development	These are specific requests for additional services/hardware and include time to deploy an application, a new web site etc. These projects are charged separately.
Portal	The system through which suppliers provide and update their organisations profile and buyers perform searches for suitable suppliers.
RISQS Council	Elected and appointed representatives of the rail industry who govern RISQS.
RISQS Ltd.	The Scheme Management Organisation that operates RISQS and its contracted service providers
RISQS Ltd. Board	A board appointed to oversee the proper fiduciary duties of the scheme management organisation.
RISQS Website	The public internet site of RISQS containing scheme documentation, information and access to the Portal.
RSSB Board	Custodians of RISQS (Supplier Assurance Arrangements) for the Rail Industry
Service Provider	Organisation(s) contracted to operate elements of the scheme including IT System(s) and verification of information.
Supplier	Organisation that has signed a standard agreement to subscribe to RISQS and is a provider of services and/or products to the rail industry.
System	The IT used to support the service and processes.

Working Day	For the purpose of SLA's and KPI's a working day is any day other than Saturday, Sunday and English Bank Holidays
Working Groups	Groups appointed by the RISQS Board to develop a specific deliverable

2.2. Abbreviations

Abbreviation	Description
API	Application Program Interface
BAU	Business As Usual
HSE	The Health & Safety Executive
IMR	Industry Minimum Requirements
IRCA	International Register of Certified Auditors
ISO	International Standards Organisation
KPI	Key Performance Indicator
NEBOSH	National Examination Board in Occupational Safety & Health
OHSAS	Occupational Health Safety Assessment Series
OTP	On-Track Plant
POS	Plant Operators Scheme
QMS	Quality Management System
RICCL	Rail Industry Commodity Classification List
RISAB	Rail Industry Supplier Approval Body
RISAS	Rail Industry Supplier Approval Scheme
RISQS	Railway Industry Suppler Qualification Scheme
RIPS	Railway Interface Planning Scheme
SA	Social Accountability
SHEQ	Safety, Health, Environment & Quality
SLA	Service Level Agreement
SMO	Scheme Management Organisation
UTC	Universal Time Coordinated

3. Introduction

3.1. Purpose

This document details the business needs of the Rail Industry Supplier Qualification Scheme (RISQS). The purpose of the Functional Requirements Document (FRD) can be summarized as follows:

- It identifies and documents RSSB's requirements on behalf of the Rail Industry
- It forms the basis of the system configuration
- It forms the basis of user acceptance tests.

The requirements in this document are prioritised using the MoSCoW method;

Must have

Requirements labelled as MUST are critical to the delivery of RISQS and need to be delivered on day one of the contract.

Should have

Requirements labelled as SHOULD are important but not critical for delivery on day one of the contract. Delivery of these can be agreed for a later phase.

Could have

Requirements labelled as COULD are desirable but not necessary,

Would like

Requirements labelled as WOULD like have been agreed by stakeholders as the nice to haves.

3.2. RISQS Overview

RISQS was developed to assist buyers search for suppliers working or wishing to work within Great Britain's (GB) Rail Industry by providing a fair, open and transparent third party qualification process.

Suppliers enter their pre-qualification information into the platform and this is then verified to agreed levels. The information is then published to the RISQS portal and searchable by the buying community. The scheme also includes system assessment audits for suppliers that have indicated they provide services that require audit due to the increased risk the service imports to the infrastructure.

RISQS provides assurance regarding management systems and corporate legitimacy and also acts a tool to help organisations improve system performance.

The Railway Industry Supplier Qualification Scheme (RISQS) helps to reduce the duplication of effort that organisations experience from capability checks (e.g. Supplier Questionnaires and systems assessments) carried out by multiple buyers. It gives suppliers of all sizes an equal opportunity to demonstrate their capabilities and market their products and services whilst ensuring compliance to cross industry standards.

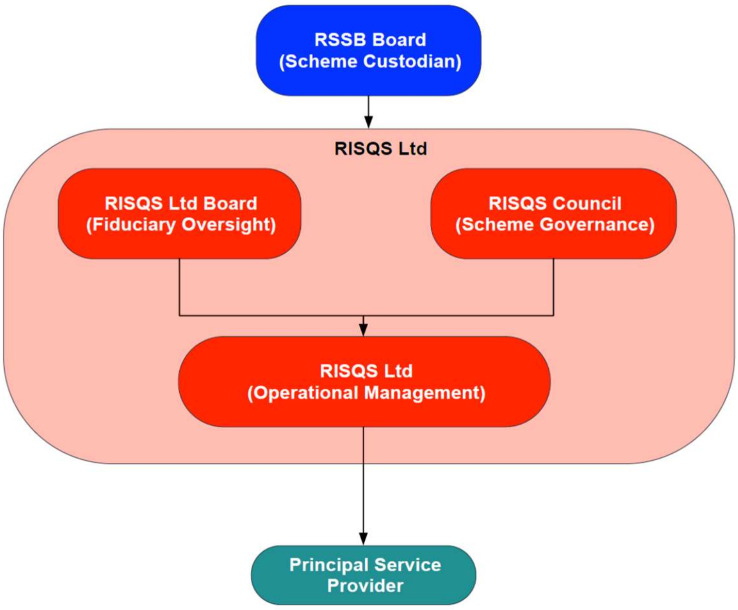
This procurement exercise will be the culmination of an industry led improvement project to deliver:

- Adoption of the new Rail Industry Commodity Classification List (RICCL)
- Rationalisation of supplier qualification information requirements
- Streamlining of the audit activity in terms of scope and depth

- Enhancement of qualification arrangements to embrace sustainable development
- New IT platform to support the more effective operations of the scheme.

3.3. RISQS Organisation

The main bodies taking part in the running of the RISQS process are:



3.4. How Buyers Use RISQS Services

RISQS buyer members use RISQS services to search for suitable companies by product or service relevant to their requirement(s). They can then apply further search criteria to refine the tender list and may then use a feature that allows buyers to ask tender-specific questions to the suppliers on the shortlist.

Rail companies such as Network Rail and Transport for London, who are required to comply with European Union (EU) procurement Directives, Contracts Regulations announce their intentions to source through RISQS in the Official Journal of the European Union (OJEU) on a periodic basis.

3.5. How Suppliers Use RISQS Services

There are three stages that a supplier may have to complete to become fully visible within the RISQS community;

- Registration with RISQS – allows the supplier to start the process by providing basic organisation details which allows all registered companies contact information to be searchable in a rail industry register of suppliers.
- Qualification Questionnaire – builds on the initial registration information. The supplier identifies what products/services are being offered and answers additional questions about the companies' organisation, systems and resources.

The data provided is then verified and subsequently published in the form of an in-depth supplier's profile that buyers can view on-line.

- RISQS Audit (if applicable) – the requirement for an audit is driven by the risk categorisation of product/service codes that a supplier has selected in the qualification questionnaire.
    - The qualification questionnaire and risk categorisation are developed and maintained by RISQS Council in conjunction with representatives from across the Rail Industry.

3.6. Scope of Solution

The solution will focus on a Service provision with supporting IT system(s).

3.7. Assumptions & Constraints

It is expected that in the initial year of the contract the delivery of the Service will continue on a like for like basis to enable a smooth transition.

The aspiration is to grow RISQS to cover the whole of the Rail Industry and its supply chain. To provide efficiency and value for money RISQS also wants to explore all opportunities to form links with other schemes and organisation to provide a more complete assurance service and reduce data entry by its member organisations. Further to this where feasible and where it adds value RISQS will explore merging other assurance schemes into RISQS e.g. RISAS.

All fees relating to RISQS shall be set by the RISQS Board E.g. Membership fees, Audit fees etc. This may result in a difference between the cost of the audit paid by RISQS to the Audit Provider and the fee being paid by the customer to RISQS.

RISQS SMO is responsible for the provision of any data from the current system and its providers.

Member organisation data is always owned by the member organisation and is only to be used by RISQS and the providers of RISQS services for the intentions publicised and agreed.

4. Non-Functional Requirements

The following requirements are applicable to the entire solution.

4.1. Contract Management

The successful delivery of the RISQS services to the rail industry depends on the critical link between outcomes and the means of delivery. The implementation of our collaborative approach with the new providers is designed to introduce greater levels of innovation and deliver value for money.

Working together from the early stages will enable us to overcome challenges and deliver a world class Supplier Assurance service.

BS11000 provides us and our providers with a strategic framework to develop the culture and behaviours required to establish a successful collaborative relationship. The team behind RISQS is committed to the principles of the standard.

Maintaining and building on this relationship will lead to greater benefits for all parties. Knowledge and experience are essential but it is through collaborative work that a successful cost efficient service will be delivered for the whole rail industry.

- Requirement Statement: The Service Provider **must** be responsible for the effective delivery of RISQS including managing the other providers, collaboration and conflict resolution with any other contracted providers.
- Requirement Statement: Where conflict resolution between providers is not possible the Service Provider **must** escalate the issue to the RISQS SMO.
- Requirement Statement: The Service Provider **must** provide a dedicated contract manager who has oversight of the entire service provision and understands the whole process including interfaces with other contracted providers and the RISQS SMO.
- Requirement Statement: The Audit Provider **should** provide a dedicated main point of contact, for the RISQS SMO, the Service Provider and any other providers, who has oversight of the entire audit service provision and understands the interfaces with the Service Provider, the RISQS SMO and any other providers.
- Requirement Statement: The Service Provider **must** work in a collaborative way with the RISQS SMO, the Audit Provider and any other contracted providers to ensure that the service provision is efficient and effective.
- Requirement Statement: The Audit Provider **must** work in a collaborative way with the RISQS SMO, the Service Provider and any other providers to ensure that the service provision is efficient and effective.
- Requirement Statement: The Service Provider and Audit Provider **should** work in an open and transparent manner with RISQS SMO.
- Requirement Statement: The Service Provider and Audit Provider **should** work together to improve the quality of the assurance and increase the number of member organisations.

4.2. Management Information & Meetings

- Requirement Statement: The Service Provider **must** provide a management information pack each month to the RISQS SMO (emailed) at least 2 working days prior to the monthly meetings (below). As a minimum this will include:
  - The SLA's in the contract.
  - The information in the current management information pack. See Appendix 9 Management Report
- Requirement Statement: The Audit Provider **must** support the Service Provider in the production of the management information pack by providing the relevant information in a suitable format and in a timely manner.
- Requirement Statement: The reports in the information pack **must** show trends over a relevant time period, agreed with the RISQS SMO.
- Explanation: The information pack will form the basis of the monthly meetings for the management of operations and the contract.
- Requirement Statement: The Service Provider **should** facilitate (provision of room, organise and document) the following meetings
  - Monthly Operations meeting
    - RISQS SMO representative(Chair), Service Providers Contract Manager, Audit Providers Operations Manager and sufficient support to meet the needs of the meeting
  - Monthly Audit meeting
    - RISQS SMO representative(Chair), Service Providers Contract Manager, Audit Providers Operations Manager and sufficient support to meet the needs of the meeting
  - Quarterly contract meeting
    - RSSB Procurement Manager (Chair), RISQS SMO representative, Contracted entities main point of contact and sufficient support to meet the needs of the meeting
- Requirement Statement: The Service Provider and Audit Provider **must** provide representation at the quarterly RISQS Council meetings when requested.
- Requirement Statement: The Service Provider **must** provide a standard report engine against the system database to enable RISQS SMO to generate reports.

4.3. Intellectual Property Rights

- Requirement Statement: All protocols, procedures, processes materials and the RISQS Website (excluding the IT system) produced to support provision of the RISQS service and supporting system **must** be owned by the RISQS SMO.
- Explanation: The scheme needs to be able to continue to function at the end of the contract period with the chosen supplier thus all supporting material intellectual property rights must be owned by the RISQS SMO to enable it to be transferrable.

4.4. Protocols, Procedures and Processes

- Requirement Statement: The Service Provider and Audit Provider **must** ensure that all protocols, procedures and processes are documented.
- Requirement Statement: The Service Provider and Audit Provider **must** ensure all protocols, procedures and processes where required by the RISQS SMO are published and accessible either on or via the RISQS Website.
- Requirement Statement: The Service Provider and Audit Provider must have all protocols, procedures and processors concerned with the operation of the RISQS Scheme approved by the RISQS SMO before they are implemented.

4.5. Branding & Marketing

- Requirement Statement: The solution and all supporting external materials **must** use only the RISQS Branding.
- Requirement Statement: The Service Provider and Audit Provider **must** ensure all supporting information on scheme, service, system and training material for RISQS is appropriately branded before publishing.
- Explanation: Any published documentation needs to clearly show that it is for RISQS.
- Requirement Statement: The Service Provider and Audit Provider **must** obtain approval from the RISQS SMO for each item of marketing and communication prior to it being released/published.
- Requirement Statement: The Service Provider and the Audit Provider **must** gain written permission/consent of the RISQS SMO to market its involvement with RISQS.
- Requirement Statement: The Service Provider and Audit Provider **must** gain permission/consent of the RISQS SMO to market complementary services/products using information obtained through provision of RISQS Service.
- Requirement Statement: The Service Provider and the Audit Provider **must** not develop/create undertake or market services and/or products which conflict or are in competition with RISQS.

4.6. Communications

- Requirement Statement: The Service Provider **must** publish the intention of relevant buyers to source through RISQS in the Official Journal of the European Union (OJEU) for organisations who are required to comply with European Union (EU) procurement Directives, Contracts Regulations.
- Requirement Statement: The Service Provider **must** have/develop/create, implement, use and maintain processes for communicating relevant information to Industry Partners and Members.
- Requirement Statement: The Service Provider **must** have the communication processes approved by the RISQS SMO before it is implemented.
- Requirement Statement: The System solution **should** have the ability to send communications to users that must be acknowledged.
- Explanation: Should there be a legislative change then the Scheme Management may wish to have each user acknowledge that they have been informed about the changes before continuing to use the system.
- Requirement Statement: The System solution **should** have an audit trail of communication acknowledgements.

- Requirement Statement: The Service Provider and Audit Provider must keep abreast of changes to legislation, national, international and industry standards and associated rules and guidance pertinent to execution of the contract and advise the RISQS SMO.
- Requirement Statement: The Service Provider **should** provide the RISQS SMO with options on how the system could be changed to meet legislative changes.
- Requirement Statement: The Service Provider **must** notify suppliers of OJEU notices issued that contain product codes they have identified as supplying.

4.7. Data

- Requirement Statement: All RISQS data **must** be stored within the jurisdiction of England and Wales.
- Requirement Statement: The Service Provider and Audit Provider **must** ensure that the services and systems they provide to RISQS comply with the latest Data Protection regulations and legislation.
- Requirement Statement: The Service Provider and Audit Provider **must** ensure that no data they obtain through RISQS, its operation and/or on its behalf is transferred outside the jurisdiction of the European Union.
- Requirement Statement: The Service Provider and Audit Provider **must** have a Data Asset Register for all data held in regards of RISQS, its operation and/or on its behalf.
- Requirement Statement: The Service Provider and Audit Provider **must** have/develop/create, implement, use and maintain a Data Privacy Policy covering the services and system provided for the operation of RISQS.
- Requirement Statement: The Service Provider and Audit Provider **must** have the Data Privacy Policy approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Service Provider and Audit Provider **must** have/develop/create, implement, use and maintain processes for handling data which covers as a minimum:
  - The right to be informed
  - The right of access
  - The right to rectification
  - The right to erasure
  - The right to restrict processing
  - The right to data portability
  - The right to object
  - Rights in relation to automated decision making and profiling.
- Requirement Statement: The Service Provider and Audit Provider **must** have the Data handling processes approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Service Provider and Audit Provider **must** have/develop/create, implement, use and maintain a process for dealing with a data breach including notification of the breach to the relevant regulatory body and the RISQS SMO.
- Requirement Statement: The Service Provider and Audit Provider **must** have the process for dealing with a data breach approved by the RISQS SMO before it is implemented.
- Requirement Statement: The System **should** provide configurable validation checks for imported and inputted data.
- Requirement Statement: The System **must** hold and display all current data.
- Requirement Statement: The System **must** hold all historic data for a minimum of five years and have a simple process for reporting on and retrieving historic data.

- Explanation: Data is considered historic when it has passed its expiry/end date except for audit reports which are always considered current unless the organisations membership expires.
- Requirement Statement: The System **must** hold all current and historic audit reports and allow relevant users to access and download.
- Requirement Statement: All dates **must** be stored in UTC with time zone offset.
- Requirement Statement: All currency fields **should** store both the amount and the currency type.
- Requirement Statement: The System **should** be flexible in its support of Multi-currency. Currencies and exchange rates must be user configurable (where permissions allow).
- Requirement Statement: The System **should** support the integration to online web services to provide the finance system with current currency exchange rates.
- Requirement Statement: All measurement fields **should** store both the value and the unit used (imperial and metric).
- Requirement Statement: The System **should** have the ability to run and export reports.
- Requirement Statement: All data **must** be transferred at termination of the contract to the new provider of RISQS.
- Requirement Statement: All RISQS data **must** be purged (erased) from the providers' systems upon confirmation that the transfer of data to a new provider has been successful from the RISQS SMO at the termination of the contract.
- Requirement Statement: The Service Provider **must** electronically exchange relevant member data between the RISQS system and RSSB's Microsoft Dynamics CRM system.

4.8. Traceability

- Requirement Statement: The System **must** be able to record (user id and date/time stamp) the last user who entered, edited or deleted a piece of data.
- Explanation: Due to the nature of the data held on the system we require an auditable trail of who manipulated which data.
- Requirement Statement: The Service Provider **should** produce a report on a data change within 1 working day of any request from the RISQS SMO.
- Explanation: When a data alteration is queried the Scheme needs to be able to provide factual answers.

4.9. Training

- Requirement Statement: Training solutions and materials **must** be provided free for;
  - Users on the use of the system.
  - Buyer users on the search and reporting functionality of the system.
  - Completion of Supplier Questionnaires.
  - Audit process.
- Requirement Statement: Training **must** be delivered in a suitable format to enable users at different times and in different geographical locations to be able to receive suitable training.
- Requirement Statement: Training materials **must** be kept up to date and relevant.
- Requirement Statement: All training and briefing material **must** be approved by the RISQS SMO before publication.
- Requirement Statement: The System solution **must** be supported by an initial training package for users who are Suppliers, Buyers and both.

- Explanation: Users should be able to undertake the initial training package and from the knowledge gained be competent to use the system.
- Requirement Statement: The System solution **should** have the ability to only allow a user to access the system beyond registration upon completion of the initial training package.
- Explanation: To ensure that all user have a basic understanding of how to use the system before progressing further than registration they must successfully complete the relevant training first.
- Requirement Statement: The System solution **should** have the ability to force a user to re-do training if indicated by Customer Support Team.
- Explanation: Should the use of the system by a user become a support issue then the support team should have the capability to force the user to re-take the relevant training package before allowing the user access past registration on the system.

4.10. Member Support Service

- Requirement Statement: The Service Provider **must** provide customer support covering as a minimum the following elements:
    - Registration
    - Billing
    - Process Questions
    - Supplier Questionnaire
    - System Issues
    - Scheme Information
    - Complaints & Appeal
- Requirement Statement: All customer facing staff **must** be sufficiently fluent in English to provide effective performance of their role. Using the Common European Framework of References for Languages we require the customer facing general employees to be level B2 or higher and the team leaders/managers/escalation points to be level C1 or higher.
- Explanation: The customer support team members should have an ability to fulfil all spoken and written aspects of the role with confidence through the medium of English.
- Requirement Statement: The member support service **should** be available Monday to Thursday 08:00 – 18:00 and Friday 08:00 – 17:00.
- Explanation: This is to provide support cover to the core office hours of the GB Rail Industry.
- Requirement Statement: The member support service **must** be contactable by phone and e-mail as a minimum.
- Explanation: User must have the option of contacting the customer support team by phone and/or email.
- Requirement Statement: The Service Provider **must** develop, implement, use and maintain a set of helpdesk scripts to enable consistent and efficient handling of customer service calls.
- Requirement Statement: The Audit Provider **must** support the Service Provider in the development, implementation, use and maintenance of a set of helpdesk scripts to enable consistent and efficient handling of member service calls.
- Requirement Statement: The Service Provider **must** have the helpdesk scripts approved by the RISQS SMO prior to being taken into use.
- Requirement Statement: The member support service **must** have a phone queueing and recording system.
- Explanation: This provides a more user friendly service than just a ring tone. Users need to be informed where they are in the queue.

- Requirement Statement: The member support service **should** record all calls to provide information for training purposes and protection for the customer support staff.
- Requirement Statement: The member support service **must** be supported by an out of hours calls process.
- Explanation: This will inform anyone dialling the customer support team out of hours of the customer support teams working hours, that they can send an email or leave a message.
- Requirement Statement: The member support service **must** have a support ticketing system for all issues.
- Explanation: To enable the recording, tracking and closing of all calls that can't be answered immediately
- Requirement Statement: Member support calls (tickets) **should** only be closed when resolved and with the customers' agreement.
- Requirement Statement: The Service Provider **must** send Member Satisfaction Surveys to relevant members following trigger points set by the RISQS SMO e.g. upon completion of Supplier Questionnaire, following audit.

4.11. Billing

- Requirement Statement: The Service Provider **must** provide invoicing services with records provided to the RISQS SMO Some examples of these fees are:
    - Registration fees to RISQS
    - RISQS Scheme Audits fees
    - Cancellation Fees
    - Non trackside declaration fees
    - Fees in relation to new elements of the scheme developed within the timeframe of the contract
- Requirement Statement: All financial services and systems related to RISQS **must** comply with relevant standards and legislation and will be subject to audit by the RISQS SMO at any time.
- Requirement Statement: The Billing Service **must** be able to invoice for a tier of fees based on breadth of access to the system.
    - Buyer Organisation has access to one sector (e.g. Traction & Rolling Stock) of supplier organisations
    - Buyer Organisation has access to all sector of supplier organisations
- Requirement Statement: The System **must** support manual invoice generation.
- Requirement Statement: The System **should** provide a flexible billing platform to provide consolidated billing when one customer has purchased multiple levies/services and wishes to receive a consolidated invoice.
- Requirement Statement: The System **should** support different charge type on same invoice (registration levies, service charge, cost recovery, etc.).
- Requirement Statement: The System **should** allow attachments/schedules prior to invoice being issued.
- Requirement Statement: Credit notes can be issued for a number of reasons and **must** be handled by the system.
- Requirement Statement: The System **must** have functionality to issue credit notes for part, whole or multiple invoice refunds/amendments.
- Requirement Statement: The System **must** have functionality to link credit notes to original invoice with flexibility to issue credit notes without linking.
- Requirement Statement: The System **should** have a process for credit and re-bills with user defined reason codes.

- Requirement Statement: The System **should** ensure that the Cash Receipt and Payment process can be carried out in an efficient and intuitive way.
- Requirement Statement: The System **must** have functionality to provide full access to all or specific customer and invoicing information, subject to security and access levels.
- Requirement Statement: The System **should** support multiple debt chasing methods.
- Requirement Statement: The System **should** have functionality for customer statements on a particular date and available on an account basis.
- Requirement Statement: The System **should** have functionality to be able to review statements prior to issuing.
- Requirement Statement: The System **should** provide stop feature for invoice / account in query, flag invoice / account and stop future orders.
- Requirement Statement: The System **should** have functionality to assign invoice to external debt collection agents.
- Requirement Statement: The System **should** support part / whole invoice or account write-off, subject to authorisation by the RISQS SMO.
- Requirement Statement: The System **should** have functionality to support user defined reason codes and descriptive field for write-off notes.
- Requirement Statement: The System **should** include standard enquiries and reports e.g. showing number and age of outstanding billing queries.
- Requirement Statement: The System **could** allow customer payments via the internet.
- Requirement Statement: When a payment is processed, the solution **should** automatically close fully paid invoices.
- Requirement Statement: The System **should** support billing to VAT exempt entities.
- Requirement Statement: The System **should** support the ability to reallocate, or move a payment from one bank account to another.
- Requirement Statement: The Audit Provider **could** charge a fee to cover incurred costs and loss of revenue where either a supplier chooses to cancel/postpone an audit or an audit has to be cancelled due to non-payment by the supplier, this must be agreed with the RISQS SMO and clearly documented in the RISQS Terms and Conditions of the audit.
- Requirement Statement: The Service Provider **must** electronically exchange relevant financial data between their billing system and RSSB's Microsoft Navision ERP system.
- Requirement Statement: The Audit Provider **must** electronically exchange relevant financial data between their systems and RSSB's Microsoft Navision ERP system.

4.12. Complaint Process

- Requirement Statement: The Service Provider **must** provide an auditable system and process for the handling of complaints made about RISQS (service, system and audits).
- Explanation: For transparency, all complaints made regarding RISQS must be recorded and tracked through to close out.
- Requirement Statement: The Service Provider **must** be ISO10002 Customer Satisfaction and Complaints Handling accredited.
- Requirement Statement: The Audit Provider **should** follow the principles laid out in ISO10002 Customer Satisfaction and Complaints Handling.

- Requirement Statement: The process for complaint handling **must** be approved by the RISQS SMO prior to being taken into use, and contain as a minimum the following elements;
    - Logging of complaints made
    - Review of complaint
    - Updating of complaints records with progress, responses, action etc.
    - Escalation of complaint where required to the RISQS SMO
- Requirement Statement: The Service Provider **should** formally acknowledge any complaint received about RISQS (service, system and audits) within 1 working day.

4.13. Audit Provider Requirements

- Requirement Statement: The Audit Provider **must** follow the principles laid out in ISO/IEC 17021 Conformity Assessment – Requirements for bodies providing audit and certification of management systems
- Requirement Statement: The Audit Provider **must** ensure the competence of the auditors it appoints to undertake the RISQS audits.

Auditor Minimum Qualifications/Competences

Auditors delivering RISQS audits must be in receipt of the following qualification and experience as a minimum;

- Meet the requirements and guidance including behavioural for auditor competence as detailed in ISO/IEC 17021
- Pass an IRCA Accredited Lead Auditor ISO9001 course or equivalent
- Hold NEBOSH General Certificate or equivalent
- Have relevant industrial/sector experience, min 2 years for an Auditor and min 4 years for a lead Auditor

- Requirement Statement: The Audit Provider **must** have, develop, implement, use and maintain a process for the licencing and approval of RISQS Auditors which contains as a minimum;
    - Training
    - Mentoring
    - Continuous assessment
- Requirement Statement: The Audit Provider **must** have the licencing process approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Audit Provider **must** implement a process to ensure the quality and consistency of the audits and the audit reports delivered by the auditors meet the agreed targets.
- Requirement Statement: The Audit Provider **must** have, develop, implement, use and maintain a code of conduct for RISQS Auditors.
- Requirement Statement: The Audit Provider **must** have the Auditor Code of Conduct approved by the RISQS SMO before it is implemented.

4.14. Protocol Management

- Requirement Statement: The audit process **must** follow the principles of the standard ISO 19011, current version.
- Requirement Statement: The Service Provider **must** have/create/develop, implement, use and maintain audit protocols based on the standards and requirements and include guidance on what an auditor will assess to ensure compliance.
- Requirement Statement: The Audit Protocols **must** be developed to allow deduplication of assessment of requirements where the audit covers multiple modules (current modules are IMR, Sentinel, POS and RIPS).

4.15. Verification

- Requirement Statement: The Service Provider **should** where possible verify information provided by suppliers automatically using links with trusted and approved sources.
- Requirement Statement: Where automated verification is not done or possible the Service Provider **must** provide sufficient resources to ensure manual verification of suppliers' information.
- Requirement Statement: When a verified user profile is published the Service Provider **must** ensure that any required audits are identified and added to the Audit Scheduling queue.

4.16. Audit Scheduling

- Requirement Statement: The Audit Provider **must** provide resources sufficient to ensure the scheduling of all required audits (including Non-Compliance Re-Audits) with an appropriate auditor.
- Requirement Statement: The Service Provider **should** provide a system for audit scheduling that is accessible by the Service Provider, the Auditor Provider and RISQS SMO.
- Requirement Statement: If the Service Providers has an Audit Scheduling System/Module/Element they **must** provide read/write access to the Audit Provider free of charge for scheduling RISQS Audits.
- Requirement Statement: The Audit Provider **must** use the audit scheduling System/Module/Element provided by the Service Provider where one is provided.
- Requirement Statement: The Audit Provider **must** provide an audit scheduling System/Module/Element if the Service Provider does not provide one.
- Requirement Statement: If the Audit Provider provides an audit scheduling System/Module/Element then they **must** provide relevant read/write access to the Service Provider and RISQS SMO.
- Requirement Statement: The Audit Provider **must** ensure that the audit schedule on the Audit Scheduling System/Module/Element is maintained and up to date at all times.
- Requirement Statement: The Audit Provider must have/create/develop, implement, use and maintain an audit scheduling process.
- Requirement Statement: The Audit scheduling process **must** be developed to allow for the audit to be completed a minimum of 10 working days before the expiry date of the current audit.
- Requirement Statement: The Audit Provider **must** have the audit scheduling process approved by the RISQS SMO before it is implemented.

4.17. Audit Report

- Requirement Statement: The Service Provider **should** provide a System/Module/Element for audit report writing that is accessible by the Service Provider, the Auditor Provider and RISQS SMO.
- Requirement Statement: If the Service Providers system for RISQS has an Audit report writing System/Module/Element they **must** provide access to it free of charge to the Audit Provider for scheduling RISQS Audits.
- Requirement Statement: The Audit Provider **must** use the audit report writing System/Module/Element provided by the Service Provider where one is provided.
- Requirement Statement: The Audit Provider **must** provide an audit report writing System/Module/Element if the Service Provider does not provide one.
- Requirement Statement: The audit report writing System/Module/Element **must** be able to be used in remote locations without connecting to the providers' network or internet.
- Requirement Statement: The audit report writing System/Module/Element **must** include functionality for the downloading of templates and uploading of completed templates (audit reports).
- Requirement Statement: The auditor report **must** as a minimum consist of the following sections:

    - **Executive summary**
        - Star Rating
        - Passed / Failed Status
        - Number of Non-Compliances
    - **Findings Summary Table;**
        - **Major Non-Compliance**
            - A finding that identifies a failing against a whole requirement or a part of a requirement that carries significant risk to personnel, the environment or clients
        - **Minor Non-Compliance**
            - A finding that identifies a failing against part of a requirement that does not carry significant risk to personnel, the environment or clients
        - **Observation**
            - A finding that, whilst compliance to requirement is demonstrated, the auditor believes there are further process efficiencies possible
        - **Positive Element**
            - A finding where the organisation being audited significantly exceeds requirements
        - **Questionnaire Discrepancies**
            - Feedback to the Service Supplier for corrections to be made.
    - Main Audit Report (all applicable protocols)

- Explanation: Audits must accurately and fairly assess and report on all the relevant Suppliers management systems.

- Requirement Statement: The Audit Provider **must** develop, implement, use and maintain an audit report template which is suitable for use on the audit report writing System/Module/Element.
- Requirement Statement: The Audit Provider **must** have any Audit Report template approved by the RISQS SMO before it is implemented.

4.18. Supplier Maturity Level

- Requirement Statement: The System **must** record the maturity level attained by a supplier at audit. See Appendix 13 Supplier Maturity Level.
- Requirement Statement: The Service Provider, system and Audit Provider **must** understand the impact of Supplier Maturity on Audit duration and cost.

4.19. Non-Compliance Procedure

- Requirement Statement: The Audit Provider **must** have/develop/create, implement, use and maintain a procedure that complies with the process detailed in Appendix 7 RISQS Scheme non-compliance process.
- Requirement Statement: The Audit Provider **must** have the Non-Compliance Procedure approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Audit Provider **must** ensure that required re-audits are undertaken within 12 weeks of the original audit.

4.20. Audit Appeal

- Requirement Statement: The Service Provider **must** provide and implement an auditable system and process for the handling of appeals against audits and their reported findings.
- Requirement Statement: For transparency, all audit appeals made **must** be recorded and tracked through too close out.
- Requirement Statement: The Service Provider **must** have the Audit appeal process approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Appeals process **must** cover the following elements as a minimum:
    - Acknowledgement of audit appeal
    - Review of appeal
    - Updating of audit appeals records with progress, responses, action etc.
    - Undertaking of actions
    - Reporting and/or escalation to the RISQS SMO.

4.21. RISQS Website

- Requirement Statement: The Service Provider **must** host and maintain the RISQS Website as part of the IT system.
- Explanation: To enable consistency and simplify introduction of new processes, procedures, material etc.
- Requirement Statement: The Service Provider and the Audit Provider **must** publish all supporting information and documentation they provide to support members/users/customer for the scheme, service, system and training on the RISQS Website.

4.22. System Location

- Requirement Statement: The solution **must** be based and operated within the jurisdiction of England and Wales.
- Explanation: All data must be stored exclusively within the jurisdiction of England and Wales. The data protection laws of other countries are different to that of the jurisdiction of England and Wales and we need to be sure of the data protection legislation and how it applies to the scheme and services being offered.
- Requirement Statement: All technology asserts that support the solution **must** be hosted externally to RSSB premises.
- Requirement Statement: Any system infrastructure **must** be fully hosted and all technical support (server maintenance, patching, upgrades) **must** be handled by the supplier.
- Requirement Statement: All technology (systems) **must** be wholly owned or licenced by the Service Provider and/or the Audit Provider.
- Explanation: All system and infrastructure **must** be managed by the providers in terms of licencing, relationship management etc. This is to include third party provided technology.
- Requirement Statement: The System **must** be hosted in a data environment that has accreditation for the following standards
    - ISO27001 certification
    - ISO9001 certification
    - ISO14001 certification
    - ISO 22301 (BCP) Certified
    - Data Centre Tier Rating of 3 or greater
    - Payment Ecosystem must be latest version PCI-DSS compliant
    - Payment platform must be latest Version PCI-PA-DSS compliant
    - Cyber Essentials certification.
- Requirement Statement: The System infrastructure **must** provide full point in time data backup facilities with a recovery window of 4 hours.
- Requirement Statement: The System infrastructure **must** reside within a platform that provides robust high availability features on failure of primary storage and application hosting
- Requirement Statement: The System infrastructure **must** have easily scalable data storage facilities

4.23. System Access and Security

- Requirement Statement: The Service Provider **must** create/develop, implement, use and maintain a set of terms and conditions which cover
    - the use of their system
    - the terms and conditions for membership of RISQS
    - the Data Policy.
- Requirement Statement: The Service Provider **must** have any terms and conditions approved by the RISQS SMO before they are implemented.
- Requirement Statement: The System **must** have functionality to enable System Administrators to reset the Terms and Conditions acceptance thus requiring users when they next login to the system to be presented with the terms and conditions, require and record acceptance of the terms and conditions for using the system before allowing the user access to any further part of the system.
- Requirement Statement: The Service Provider, Audit Provider and all systems used for the operation of RISQS **must** comply with ISO27001 for information and security management.

- Requirement Statement: All systems **must** prevent access by unauthorised users.
- Requirement Statement: All systems **must** prevent access by unauthorised automated processes.
- Requirement Statement: All systems **must** support Active Directory two-factor authentication.
- Requirement Statement: The System **should** lock out a user after 3 unsuccessful attempts to login.
- Requirements Statement: The System **must** have a reset password functionality using the users email address for verification.
- Requirement Statement: The System **should** lock a user account after 12 months of inactivity.
- Requirement Statement: The System must prevent users from having consecutive logins.
- Explanation: A users account should only be able to be logged into a single instance of the system.
- Requirement Statement: The System **must** have the ability for a system administrator to unlock user accounts and reset user passwords.
- Requirement Statement: The System **must** have the ability for a system administrator to modify the permissions for a user at an individual or group/role or organisation level.
- Requirement Statement: The System **must** have the ability for a system administrator to modify the data for a user at an individual or group/role or organisation level.
- Requirement Statement: The System **must** have the ability to restrict access at user level (e.g. roles associated to individual user ID can be restricted to what that user has access to, based on organisation, user type, activity etc.).
- Requirement Statement: The System **must** enable users to be restricted at a combination of read, write and authorise levels.
- Requirement Statement: The System **must** allow appropriate security so that certain records can be restricted to certain Organisation, business units, user groups and/or users.
- Explanation: The nature of some of the work inside the scheme is of a very sensitive nature (e.g. contact details, tendering information).
- Requirement Statement: The System **must** support data encryption at rest.
- Requirement Statement: The member access to the system **must** be exclusively via the RISQS Website on a secure https connection.
- Requirement Statement: The System **must** have an auto save feature, from which to resume data entry from.
- Requirement Statement: The System **should** be able to undo auto saves.
- Requirement Statement: The System **must** record all data changes to facilitate undo during editing.
- Requirement Statement: The System must maintain an audit history for all changes in the system and stored without limit.
- Requirement Statement: The Systems audit functionality must have an administrator function to purge this log or set a retention date (or number of records etc.).

- Requirement Statement: The Service Provider must allow web browser access through the following browsers compatibility with the latest 3 major versions of these browsers must be maintained at all times for the duration of the contract unless specifically noted or agreed:
    - Internet Explorer (limited to versions 10 & 11)
    - Safari
    - Chrome
    - Firefox
    - Edge
- Requirement Statement: The System **must** support use on mobile devices. compatibility with the latest 3 major versions of these browsers must be maintained at all times for the duration of the contract unless specifically noted or agreed:
    - Windows
    - IOS
    - Android
- Requirement Statement: The System **should** support interfaces with multiple other systems including:
    - UK Banking Platforms
    - Postcode/address look-up conformation systems
    - Companies House platform
- Requirement Statement: The System **must** be able to share member organisation information with external trusted and authorised systems upon approval from the RISQS SMO.
- Requirement Statement: The System **must** be able to receive member organisation information with external trusted and authorised systems upon approval from the RISQS SMO.
- Explanation: Information supplied by member organisations may need to be shared with other systems e.g. Buyer Organisations, CIRAS, RISAS and Sentinel. Where possible this should be done automatically via the use of links (APIs) for efficiency.
- Requirement Statement: The System **must** have functionality to attach documents in the following format extensions .doc, .docx, .xls, .xlsx, .csv, .pdf and .jpg to organisation data in the system (for example insurance document to supplier questionnaire).
- Requirement Statement: The System **must** have the ability to export data and reports in the same format extensions as detailed in the previous requirement.
- Requirement Statement: All document uploading to the system **must** be subject to appropriate industry standard virus scanning techniques and be subject to quarantine or rejection on positives.

4.24. RISQS SMO Access

- Requirement Statement: The Service Provider and Audit Provider **must** provide read only access to any system or element/part/functionality of a system used in the provision of RISQS to the RISQS SMO.
- Requirement Statement: The RISQS SMO access **must** enable the user to see information on any organisation, user, group, membership type etc.
- Requirement Statement: The Service Provider and Audit Provider **should** provide read/write access to the RISQS SMO where such access would make provision of the service more efficient.

4.25. Auditor Access

- Requirement Statement: The Service Provider **must** provide relevant access (read/write) to any system or element/part/functionality of a system used in the provision of RISQS to the Audit Provider and auditors.
- Requirement Statement: The Auditor access **must** enable the user to:
  - Search for an organisation
  - View (read only) Supplier Profiles
- Requirement Statement: The Service Provider **should** limit auditor access to only organisations they are scheduled to audit and for a timeframe of 1 month prior to and 1 month after the planned audit date.

4.26. System Availability

- Requirement Statement: The System **must** provide a minimum of 99.7% uptime per week excluding planned maintenance.
- Requirement Statement: The Data Centre used to host the system **must** have:
  - An SLA: 99.99% Enterprise-Class Service Level Agreement
  - Support: 24x7 online / phone / email customer support network with full remote hands and management options.
- Requirement Statement: The Service Provider **must** only carry out planned maintenance of the system to take place between 19:00 and 05:00 Monday to Friday and 06.00 Saturday to 05.00 Monday.
- Requirement Statement: The Service Provider **must** have resources in place to identify and rectify any failure in functionality of the IT system within timescales detailed in Appendix 12 IT System Failure Severity and Resolution Table.

4.27. System Performance

- Requirement Statement: The System **should** respond in a way which is consistent with a modern internet based application. This shall be typically based on the following performance criteria:
  - Login: maximum of 5 seconds
  - Navigation between pages: maximum of 1 second
  - Saving data: maximum of 2 seconds
  - Access to reference data from within an event should be maximum of 1 second
  - Running a typical Business Intelligent report for 30 days' data containing up to 500 records should return within 30 seconds.
- Requirement Statement: The System **must** be able to work to the above response times on a low band width a minimum of 1Mbps.
- Requirement Statement: The System **must** allow reports to be run against the database without degradation to user performance.

4.28. System Development

- Requirement Statement: An Escrow Agreement **must** be drawn up and signed for any bespoke software in the context of the RISQS solution (either direct (between Provider and RISQS) or via the main vendor (Service Provider and/or Audit Provider and a third party))
- Requirement Statement: The System **must** be able to evolve with the scheme to support RISQS BAU development e.g. allowing regulatory and legislative changes to supplier assurance.
- Explanation: Due to the external environment, there may be regular changes to the way the scheme operates. (e.g. introduction of the Modern Slavery Act)
- Requirement Statement: The Service Provider **must** develop and implement BAU changes to the system in line with the severity level assigned to the change when assessed.
- Explanation: The System needs to be updated in a timely manner to ensure that the platform continues to meet industry and regulatory requirements.
- Requirement Statement: The System **must** be able to evolve with the scheme to support RISQS additional development outside of BAU.
- Requirement Statement: The Service Provider **must** provide additional development work to support scheme improvements required by RISQS SMO
- Explanation: There may be development which is not BAU which may need to be separately priced.

4.29. Graphical User Interface

- Requirement Statement: All user interfaces **must** be presented in a clear and uncluttered way and make interaction between the system and the user as simple, intuitive and efficient as possible throughout all stages of the process. E.G. large numbers being comma separated.
- Requirement Statement: All user interfaces **should** have a consistent appearance and terminology across all interfaces (date and time format, headers, descriptions, etc.).
- Requirement Statement: Any web applications **should** employ a responsive design where screen layouts dynamically adjust to the size of the browser viewport.

4.30. Transition from Existing System

- Requirement Statement: The Service Provider **must** be responsible for the effective delivery of the transition from the current system to the new system including collaboration and conflict resolution with any of the contracted providers of the new services.
- Requirement Statement: The Service Provider and Audit Provider **must** support the transition from the old system to their system.
- Explanation: All providers need to provide relevant resource and expertise to enable the successful transition from the old system to their system.
- Requirement Statement: The Service Provider **must** create and maintain a combined project plan (showing all parties and their tasks) showing current status and any slippage for the transition from the existing system to the new system, including implementation of the new system.
- Requirement Statement: All systems **must** have the ability to upload the data from the current system to enable a timely transition. Supplier Information will be in Microsoft Excel and Audit Reports in PDF format.

5. Functional Requirements

5.1. Registration and Verification

The following describe the functional requirements for the registration and verification. See process flow Appendix 1 Registration Process, Appendix 2 Buyer Registration & Appendix 3 Supplier Registration.

- Requirement Statement: The Service Provider **must** have/develop/create, implement, use and maintain processes and a supporting web based portal for organisations to register for membership with RISQS.

[redacted] Create Principal User Login

When entering RISQS application for the first time a user must create a User Account.

- Requirement Statement: The System **must** provide a unique reference number for each user account.
- Requirement Statement: The System **must** create a secure user account for each user.
- Requirement Statement: The System **must** as part of the create user account process present, require and record acceptance of the terms and conditions for using the system and registering with RISQS before allowing the user account to be created and access to any further part of the system.
- Requirement Statement: The System **must** collect the following information about a Principal user:
  - Mandatory:
    - Name (option to be withheld from publication in systems company directory)
    - Organisation Name
    - Role
    - Contact Telephone Number (option to be withheld from publication in systems company directory)
    - Email Address (option to be withheld from publication in systems company directory)
- Requirement Statement: The initial user registering the organisation **must** be designated as the Principal User and be granted all administration rights for that organisations account.
- Requirement Statement: The System **should** not allow a user account to exist if it is not associated with an organisation.

[redacted] Registration & On Boarding

- Requirement Statement: The System **must** only allow an organisation to register once only.
- Requirement Statement: The System **must** provide a unique reference number for each registering organisation.
- Requirement Statement: The System **must** collect the following company information for a registration:
  - Mandatory
    - Organisation Name
    - Organisation Address (Registered Address if applicable)
    - Companies House Number or equivalent
    - Company Telephone Number
- Requirement Statement: The Service Provider **must** verify UK organisations details against the Companies House Register.
- Requirement Statement: The Service Provider **must** verify non-UK organisation details against a relevant source.
- Requirement Statement: The System **should** verify UK organisations details against the Companies House Register.
- Requirement Statement: The System **should** verify non-UK organisation details against a relevant source.
- Requirement Statement: The registration process and system **must** allow the following memberships types;
  - Registration Only – No fees, added to searchable company directory and able to search company directory
  - Supplier – Supplier verification fee, completion of Supplier Questionnaire, audit (if applicable & on payment of fee) and publication of supplier profile also added to searchable company directory and able to search company directory.
  - Supplier Patron – Patron fee, Access as a supplier with ability to search via name and/or product codes and a facility to view limited areas of the supplier profile (as specified by the RISQS SMO). **N.B.** The supplier patron has no facility to produce reports.
  - Buyer – Buyers fee, access to searching supplier profiles and ability to ask pre-tender questions also added to searchable company directory and able to search company directory.
  - RISAB – Access to Supplier Questionnaire information for suppliers with Traction and & Rolling Stock product codes selected.
- Explanation: An organisation can be Registration only or a combination of all the others.
- Requirement Statement: The registration process and system **must** enable the user to select the types of membership they require.
- Requirement Statement: The Principal User **must** be able to change the organisations membership type at any time.
- Requirement Statement: Only an organisations' Principal User and the System Administration Users **should** be able to change an organisations membership.
- Requirement Statement: The process for Changing Membership Type **must** be approved by the RISQS SMO prior to being implemented.
- Requirement Statement: If the Principal User changes an organisations membership type any increase in access or functionality **must** only be granted upon receipt of relevant payment.

- Requirement Statement: The registration process and system **must** be able to be expanded to cater for other membership types.
- Requirement Statement: The registration process and system **must** be able to handle configurable tiers of fees based on breadth of access to the system; for example
    - Buyer Organisation has access to one sector (e.g. Traction & Rolling Stock) of supplier organisations
    - Buyer Organisation has access to all sector of supplier organisations
- Explanation: As part of growing the service other membership types may be developed and these may have a different fee.
- Requirement Statement: The System **must** ensure that the organisation has paid the appropriate fees for scheme membership type before allowing any further access to the system including the creation of additional user accounts.
- Explanation: The Principal user should be given enough information to understand the types of membership and be guided through the registration process.
- Requirement Statement: The System **must** enable the Principal user to pay the registration fee either online and/or offline (manual service).
- Requirement Statement: Upon receipt of the membership fees the system **must** record the start of membership date.
- Requirement Statement: The System **must** allow the Principal user to transfer the Principal user status to another user account for that organisation.
- Requirement Statement: The System **must** allow only one Principal user per organisation at any time.
- Requirement Statement: The Service Provider **should** provide an account manager for each buyer organisation to support their use of RISQS.
    - The account management function is to provide:
        - Support for Registration & Supplier Questionnaire issues
        - Support for billing issues
        - Support for Audit issues
        - Support on the use of the system and training available

[redacted]Organisation Notes Page

- Requirement Statement: The System **must** have a notes page for the recording of general information (e.g. actions, progress notes, hand over notes etc.) by the Service Provider, Audit Provider and RISQS SMO for each Organisation.
- Requirement Statement: The Service Provider **must** provide free of charge read/write access to the Organisation Note Page to the Audit Provider and RISQS SMO.
- Requirement Statement: Access to notes pages **must** be restricted to the Service Provider, Audit Provider (within the relevant timeframe) and RISQS SMO

[redacted] Company Directory

This is the base level of entry to RISQS and system. There is no fee for this level of entry.

- Requirement Statement: The System **must** publish the organisations details in the company directory upon completion of registration.
- Requirement Statement: The company directory **must** display the following organisation information:
    - Organisation Name
    - Organisation Address
    - Companies House Number or equivalent
    - Organisation Telephone Number
- Requirement Statement: The company directory **must** display the Principal Users information indicated from their user account.
- Requirement Statement: The company directory interface **should** be presented in a clear and uncluttered way and make interaction with the user as simple, intuitive and efficient as possible.
- Requirement Statement: The company directory **must** display the contacts information from the supplier profile or the Principal Users information if no other contact information exists.
- Requirement Statement: The user **should** be able to scroll through the company directory.
- Requirement Statement: The company directory **should** have a user friendly search solution e.g. Incremental search.

[redacted] Creating Other User Logins

When entering RISQS application for the first time a user must have a User Account created by their Organisations Principal User or another user with admin capabilities.

- Requirement Statement: The System **should** only allow Principal User and Users with Admin capabilities to create/amend/remove user accounts for their organisation
- Requirement Statement: For any membership type other than Registration Only The System **must** allow the Principal User to create additional user accounts for that organisation and configure user account levels (once the appropriate fees have been paid);
    - Principal – Only one per organisation and an organisation must always have one principal user. Has read and write access for all user accounts and organisational information.
    - The following account levels can be combined:
        - Admin – Able to create/amend/remove user accounts
        - Supplier – Able to view/amend organisations profile information
        - Buyer – Able to **only** run searches for suppliers and create and send requests for information to a group of suppliers found via search

- Requirement Statement: The System **must** collect the following information about a user:
    - Mandatory:
        - Name
        - Role
        - Email Address
    - Optional
        - Telephone Number
- Requirement Statement: The System **must** at first login present, require and record acceptance of the terms and conditions for using the system before allowing the user access to any further part of the system.
- Requirement Statement: The System **should** allow a user to be able to configure their account within the limitations of the access of their account levels.

[redacted] Buyer Searches

- Requirement Statement: The System **must** provide buyer members with a standard search query which includes all the current criteria:
    - Organisation Name
    - Financial Turnover
    - Contract Size
    - Sub- Contracting
    - EU SME Organisation Size
    - Trackside/Non-Trackside
    - Activities
    - Supplier Status
    - Supplier Maturity Level
    - Certified to:
        - Quality Management System – ISO9001 or equivalent
        - Health and Safety Management System – OHSAS18001 or equivalent
        - Environmental Management System – ISO14001 or equivalent
        - Fabrication of Structural Steel (CE Marking)
        - NR Principal Contractor Licence
        - NR Non-Trackside Principal Licence Holder
        - NR RIPS
        - NT OTP
        - NR Plant Technical Audit
        - Welding– ISO3834
            - Arc Welding
            - Thermit Welding
            - Flash Butt
        - Sentinel
            - Trackside
            - Non-Trackside
        - RISAS
        - IRIS
    - Types of Audits Held
    - Types of Insurance Held

    - Use of Sub Contracting
    - Geographic Region of Supply
- Requirement Statement: The System **should** provide buyer members with intuitive search functionality which enables a user to build a search query from any field or multiple fields on the supplier profile.
- Requirement Statement: The System **should** enable the buyer members to building a configurable report, based on the results of their search, which is restricted to a list of data fields specified by the RISQS SMO
- Requirement Statement: The System **should** have functionality to enable the RISQS SMO to select the data fields which can be used for building reports by buyer members.
- Requirement Statement: The System **should** guide a buyer to build EU compliant tender searches and non-EU compliant tender searches.
- Requirement Statement: The System **must** produce an EU compliant report for buyer members when they select an EU compliant search, showing suppliers selected and where suppliers are subsequently deselected through the use of selected search criteria.
- Requirement Statement: The System **could** inform suppliers directly when they are deselected via an EU compliant search.
- Requirement Statement: The System **must** allow the user to save (including save as functionality) searches and recall them for use later. When recalled the searches must show the original results and allow user to update them using current system information.
    - User
    - Date & time
    - Search Criteria
    - Results
- Requirement Statement: The System **must** allow the user to export and/or print the results on any searches including the following information:
    - User Name
    - Date and Time
    - Search Criteria used
- Requirement Statement: The System **must** enable a Buyer to track one or more suppliers for changes to their profile. The Buyer **must** be able to specify for each tracked supplier the information criteria they want to track. See Appendix 14 Supplier Alert Criteria.
- Requirement Statement: The System **should** enable the Buyer to receive an email with the details of what information has changed for each supplier that the user is tracking. This may be for each supplier or as a digest on a selectable timeframe from daily to weekly.
- Requirement Statement: The System **must** allow a buyer to view a supplier's profile including the complete questionnaire and audit reports both current and historic.
- Requirement Statement: The System **should** have functionality to enable a RISQS SMO user to configure (select) the areas of the supplier profile that a Supplier Patron member can view.
- Requirement Statement: The System **must** allow buyers to send to suppliers shortlisted from a search, a set of additional questions including a date by which response must be made.
- Requirement Statement: The System **must** enable buyers to set the format of the additional questions as Yes/No, Free Text, attached document or any combination of these.
- Requirement Statement: The System **must** enable a buyer user to store sets of additional questions which they can recall, amend and re-use.
- Requirement Statement: The System **should** enable a buyer to select questions from addition questions sets used by other buyers within their organisation.

- Requirement Statement: The System **must** allow suppliers to answer these additional questions and upload documents to support their answers where required.
- Requirement Statement: The System **should** enable the buyer to have the additional question set closed (suppliers unable to access) on reaching a set response date and where necessary to extend the response date.
- Requirement Statement: The System **must** provide the buyer with the replies to the additional questions from all relevant suppliers and should enable the buyer to export the answers in .csv format.

[redacted] Product Codes

Supplier selects product codes which determines which questions they are required to complete in the Supplier Questionnaire. See Appendix 10 Current Supplier Questionnaire with Verification Levels.

- Requirement Statement: The System **must** record the verification type against each product code e.g. Verified, Auditable.
- Requirement Statement: Upon submission of the Supplier Questionnaire the system **must** calculate the relevant Audit Fee based on the product codes selected, infrastructure specific modules (e.g. Sentinel, RIPS, POS), the suppliers' maturity level and the number of audit days required.
- Requirement Statement: Upon publication of the verified Supplier Questionnaire the system **must** display all auditable product codes as NOT YET QUALIFIED AWAITING AUDIT until the organisation has been audited and the relevant part of the audit passed.
- Requirement Statement: Product codes that are NOT YET QUALIFIED AWAITING AUDIT **should** be clearly displayed as not yet qualified and in a separate section from product codes that the supplier is verified for and where required qualified to deliver.
- Explanation: The System **must** ensure that the differentiation of product codes qualified for and not yet qualified for is clearly visible to users.
- Requirement Statement: The Audit Provider **must** inform the Service Provider if an audit has not been performed within the required timeframes.
- Requirement Statement: The Service Provider must remove any product code(s) from a Supplier's Profile when informed by the Audit Provider that an audit has not been performed that covers that product code and not allow the product code to be displayed for that supplier until the relevant audit has been completed.

[redacted] Supplier Questionnaire

See Appendix 10 Current Supplier Questionnaire with Verification Levels applicable against the questionnaire.

- Requirement Statement: The Service Provider **must** host the Supplier Questionnaire provided by the RISQS SMO as part of their system for the collection of Supplier Information.
- Requirement Statement: The System **must** enable the completion of the Supplier Online Questionnaire by users with the appropriate account level.
- Requirement Statement: The System **must** present the Supplier Questionnaire in a dynamic way only requiring the user to answer relevant questions depending upon the product codes selected and answers provided.

- Requirement Statement: The System **should** have functionality to monitor progress through completing the questionnaire.
- Requirement Statement: The System **must** support the user in the completion of Questionnaire by providing information, guidance, help and/or tips.
- Requirement Statement: The System **must** not allow the supplier to submit the Questionnaire for verification until they have completed all fields relevant for their profile and products selected.
- Requirement Statement: The System **must** prompt for suppliers to submit the Questionnaire for verification upon completion
- Requirement Statement: The System **must** allow suppliers to edit a copy of their questionnaire and store this until verified, to enable the published questionnaire to remain visible on the portal.
- Requirement Statement: The System **must** enable a supplier to print a copy of their questionnaire and supplied data in a clear understandable format (easy to read).
- Requirement Statement: The System **must** enable a supplier to link a project to a product code(s) to demonstrate (as a case study) when, with whom and how they have delivered the product code.

[redacted] RISAB Membership

- Requirement Statement: The System **must** enable a System Administration User to amend an existing member organisation to also be a RISAB member.
- Requirement Statement: The Service Provider **must** have/create/develop, implement, use and maintain a process to gain authorisation from the RISQS SMO prior to granting organisations specialised membership types. (Currently there is only one specialised membership type but more may be required in the future).
- Requirement Statement: The process for RISAB Membership **must** be approved by the RISQS SMO prior to being implemented.
- Requirement Statement: The System **should** provide RISAB members with a search function restricted to suppliers in relevant product code or multiple product codes.
- Requirement Statement: The System **should** have functionality to enable a RISQS SMO user to configure (select) the product codes a RISAB User is able to search.

[redacted] Verification

See process flow Appendix 3 Verification Process.

- Requirement Statement: The Service Provider **must** verify the organisations submitted information to the verification requirements detailed in Appendix 10 Current Supplier Questionnaire with Verification Levels.
- Requirement Statement: The Service Provider **should** identify to the RISQS SMO where the system could link to other data sources to enable more automatic verification.
- Requirement Statement: The Service Provider **should** ensure that elements of the Supplier Questionnaire identified as Safety Areas are verified by suitably qualified individuals e.g. NEBOSH General Certificate.
- Requirement Statement: The verifying resources provided by the Service Provider **must** meet the competence requirements, which **must** be agreed with the RISQS SMO, for the elements that they are verifying
- Requirement Statement: The Service Provider **must** undertake verification and publication of the suppliers submitted questionnaire within 3 working days.
- Requirement Statement: Once a suppliers' questionnaire is published 'On-Line' The System **must** identify where an audit is required and add it to the audit scheduling process.

5.2. Audit

The scope of the audit is to cover both the RISQS industry minimum requirements and specific requirements as set out by the Infrastructure Management Organisations, any changes to the scope of the audit must be agreed with the RISQS Board.

All supplier organisations and franchises with a different company registration number (including none UK registrations) undertake their own RISQS subscription and where necessary an audit.

Audits may be completed at one or multiple UK office locations of the registered company.

Suppliers to the Rail Industry vary in organisational size and product/service offerings therefore it is necessary that the audit programme cater for these differences.

The Service Provider must have//develop/create a suite of audit protocols to align the correct depth of audit depending on a number of relevant factors.

The following are the functional requirements for auditing.

[redacted] Audit Scheduling

See process flow in Appendix 5 Audit Booking Process.

A Suppliers expiry date is a fixed point in time determined by the last day of the first audit completed.

- Requirement Statement: The Audit Provider **must** perform the relevant audit in the following scenarios:
  - Published Supplier with auditable codes or wishes to work in an area requiring Trackside Sentinel Sponsorship that does not have an in-date audit covering the element chosen
  - Suppliers with a current audit that expires within 4 months
- Requirement Statement: The Audit Scheduling system **should** have a workflow to support the audit process.
- Requirement Statement: The Audit Scheduling system **must** identify and continue to report all suppliers that require an audit until the suppliers' audit is scheduled.
- Requirement Statement: The Audit Scheduling system **must** allow the Audit Provider to schedule an identified audit.
- Requirement Statement: The Audit Scheduling system **must** allow the Audit Provider to amend the auditor assigned to a scheduled audit.
- Requirement Statement: The Audit Scheduling system **must** allow the Audit Provider to amend the date of a scheduled audit, as long as it is within the scheme audit timeframes.
- Requirement Statement: The Audit Provider **must** request authorisation in writing from the RISQS SMO where the supplier's expiry date needs to be extended, due to the inability to perform an Audit within the scheme timeframes.
- Requirement Statement: Where permission to extend a supplier's expiry date has been granted the Service Provider **must** develop a process with the Audit Provider to ensure the correct updating of all systems. The process must include the recording of the RISQS SMOs authorisation.

- Requirement Statement: The Audit Scheduling system **must** allow the Audit Provider and RISQS SMO to amend the date of a scheduled audit, outside the scheme audit timeframes.
- Requirement Statement: A Date of Audit **must** be agreed with the supplier in the relevant timeframe.
- Requirement Statement: An Audit **must** only be considered as scheduled when it has a date of audit and an auditor assigned to undertake the audit.
- Requirement Statement: The Audit Scheduling system **must** allow the Audit Provider to schedule an identified audit by entering the date of audit and the auditor that has been assigned to undertake the audit.
- Requirement Statement: The Audit Scheduling system **must** keep the audit date and assigned auditor information linked to the supplier profile in the system, including history of changes.
- Requirement Statement: The Audit Scheduling system **must** create reports for audit schedule over a nominated period detailing the audit date, supplier, location, auditor assigned, length of audit.
- Requirement Statement: The Audit Scheduling system **must** have a diary management system to identify auditor availability.
- Requirement Statement: The Audit Scheduling system **should** auto populate audits into an auditors' diary upon assignment.
- Requirement Statement: The Audit Scheduling system **should** automatically email the relevant auditor with the audit details (including audit date, supplier, location, length of audit) when an audit is assigned to them.
- Requirement Statement: The Audit Provider **should** ensure that consecutive supplier audits are performed by different auditors.

[redacted] Audit Delivery

See process flow in Appendix 5 On-Site Audit Process

- Requirement Statement: The Audit Provide **must** provide resources sufficient to ensure undertaking of all required audits (including Non-Compliance Re-Audits) with an appropriate auditor.
- Requirement Statement: The Audit Provider **must** ensure that Auditors contact the Auditee between 15 and 10 working days prior to the audit date to confirm details, agree timings and discuss the audit process etc.
- Requirement Statement: The Audit Provider **should** ensure that Auditors prepare for an audit properly and have sufficient time and materials do so.
- Requirement Statement: The Audit Provider **should** only deliver an audit if the supplier has paid the audit fee.
- Requirement Statement: The Auditor **must** conduct the audit in a professional and consultative manner in line with IRCA or equivalent good practice.
- Explanation: Best practice has shown that the best way of achieving an accurate and fair assessment of the suppliers' management system is where the auditor adopted a consultative manner.

[redacted] Audit Reports

- Requirement Statement: The Audit Provider **must** have/develop/create, implement, use and maintain a process to ensure all audit reports are quality checked by a suitably qualified resource (experienced auditor) prior to the publication.
- Requirement Statement: The Audit Provider **must** have the Audit report quality check process approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Audit Provider **must** provide the Service Provider with the fully checked Audit report within 9 working days of the completion of the audit.
- Requirement Statement: The Service Provider **must** ensure that Audit reports are published on the system against the supplier profile within 1 working day of receiving the audit report.
- Requirement Statement: The Service Provider **must** display all current and historic audit reports for a supplier on the system against the suppliers' profile.
- Requirement Statement: The Service Provider and Audit Provider **must** ensure that the system reflects the outcome of the latest audit report and the status of product codes are displayed accordingly.

[redacted] Auditor Quality Check

- Requirement Statement: The Audit Provider **must** witness a minimum of 2 audits per annum for all auditors.
- Requirement Statement: The Audit Provider **must** ensure that any person witnessing audits are suitably qualified and experienced, they must as a minimum hold a IRCA Accredited Lead Auditor ISO9001 course or equivalent and NEBOSH).
- Requirement Statement: The Audit Provider **must** facilitate any request to witness audits undertaken for RISQS by the RISQS SMO.

5.3. Renewal of Membership

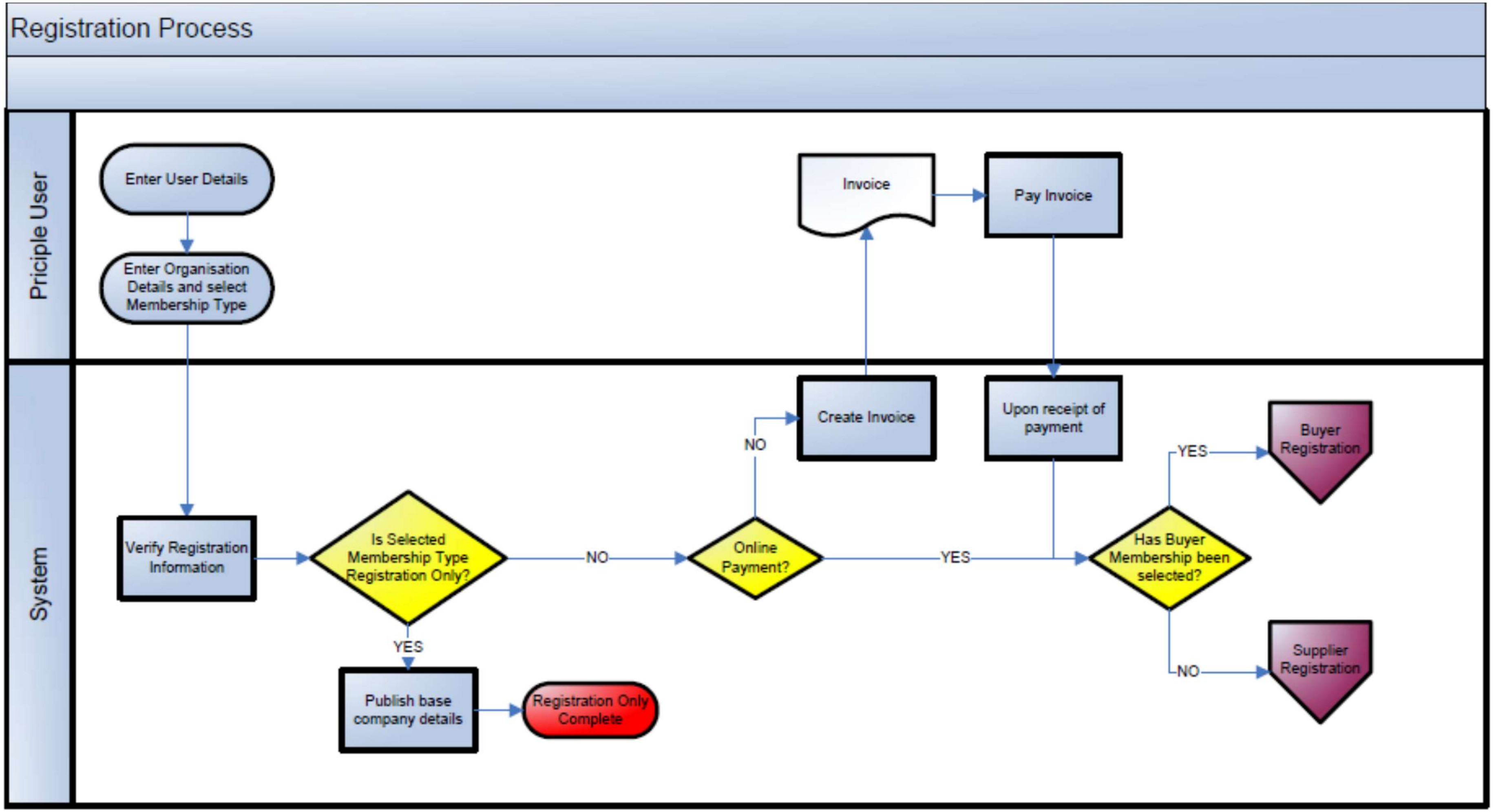
- Requirement Statement: The Service Provider **must** contact the customer organisation 4 months prior to the end of its annual membership to start the renewal process.
- Requirement Statement: The Service Provider **must** have a process in place to enable renewal of membership and collection of any relevant fees.
- Requirement Statement: The Service Provider **must** have the renewal of membership process approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Service Providers renewal of membership process **must** include obtaining a declaration from the customer organisation that the information on the system is up to date and true a maximum of 12 weeks prior to the suppliers' membership anniversary date.

5.4. Archiving Member Profiles

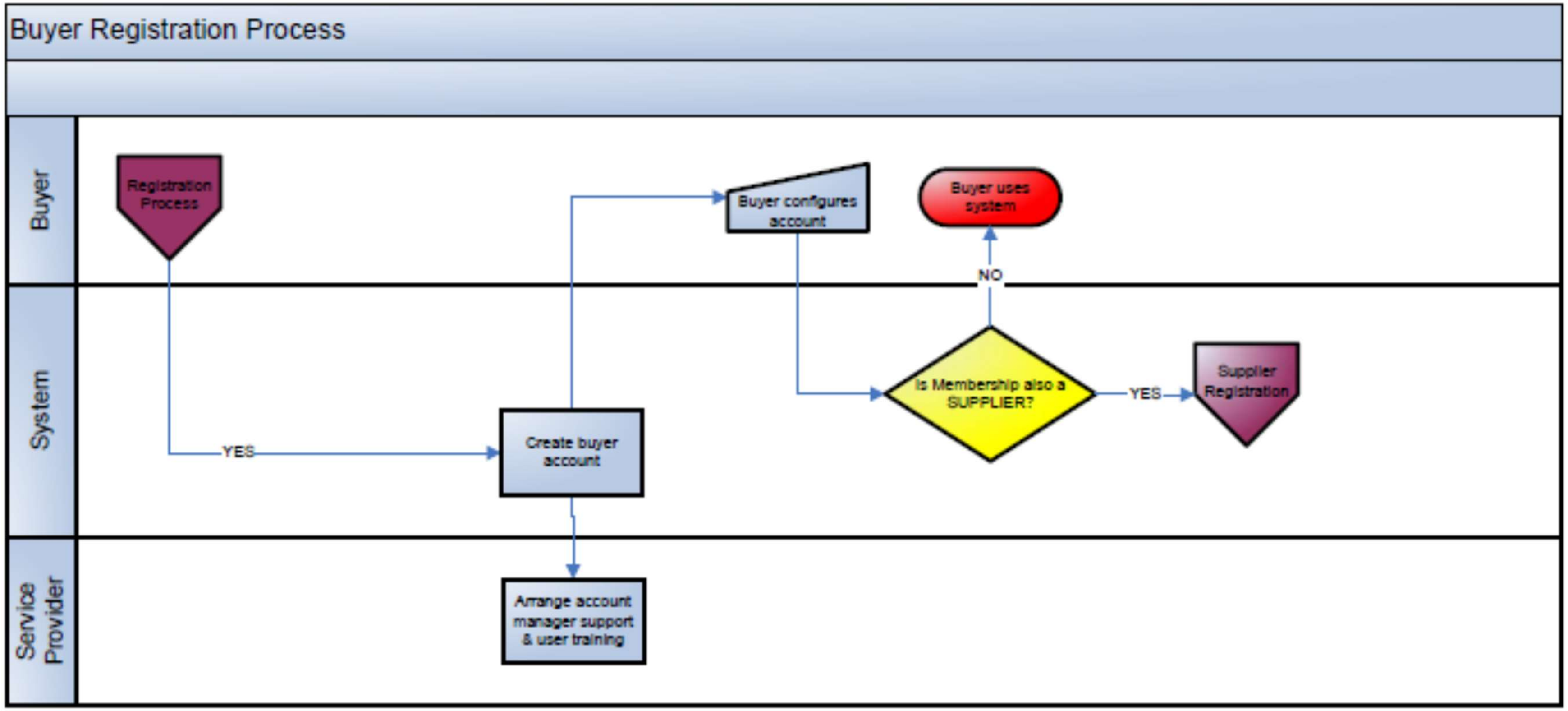
- Requirement Statement: The Service Provider **must** have a process in place to archive and restore an organisations profile.
- Requirement Statement: The Service Provider **must** have the archiving and restore an organisations profile process approved by the RISQS SMO before it is implemented.
- Requirement Statement: The Service Provider must archive an organisations profile under the following circumstances:
  - Failure to pay membership fees
  - Failure to declare their profile as current and true within the relevant timeframe
  - Found to be in breach of scheme rules by the RISQS SMO
  - Organisation goes into bankruptcy

Appendices

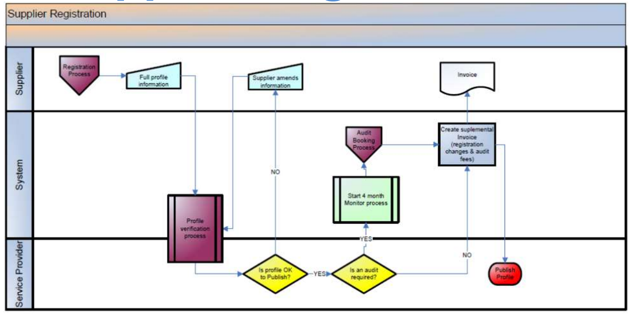
1. Registration Process



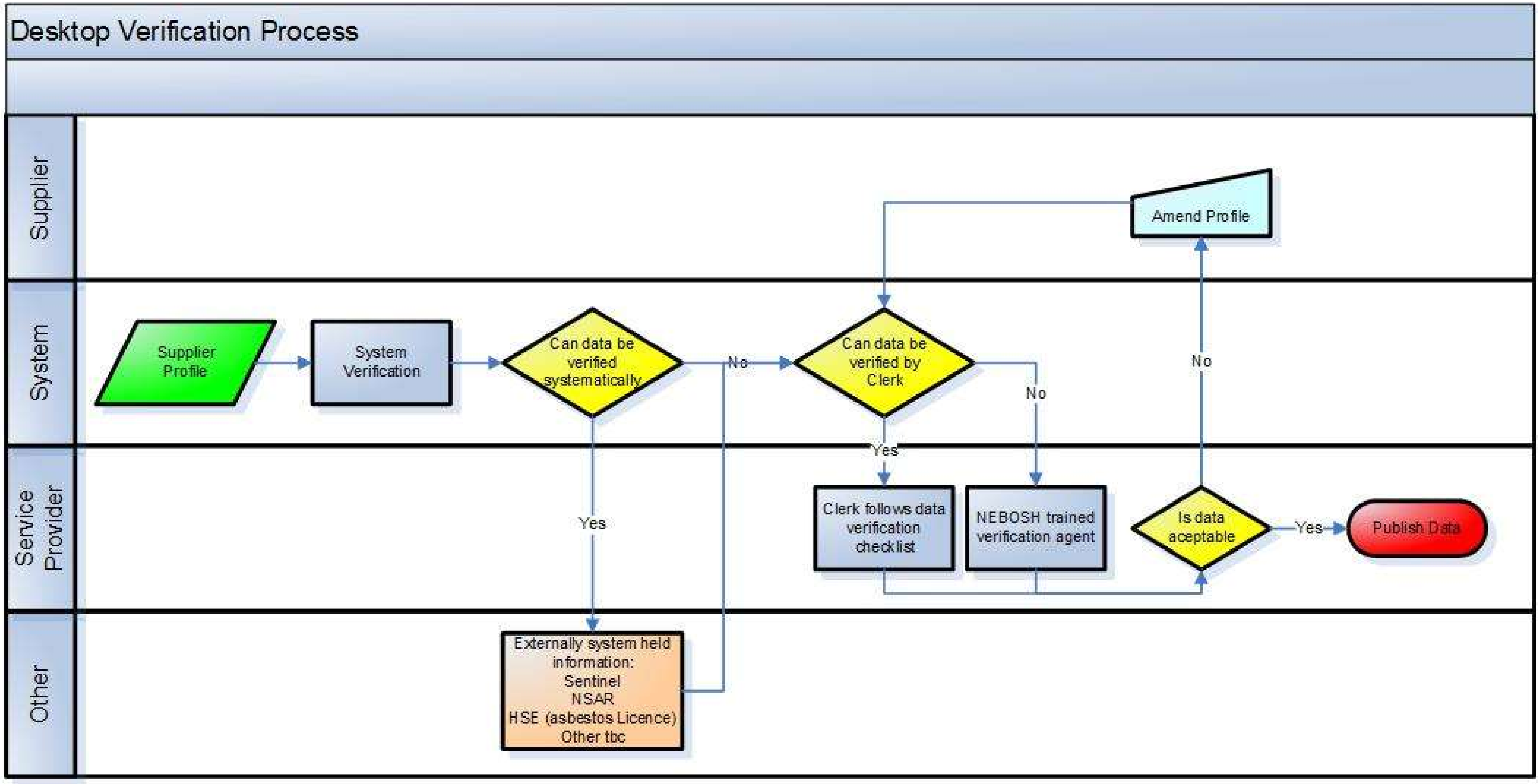
2. Buyer Registration Process



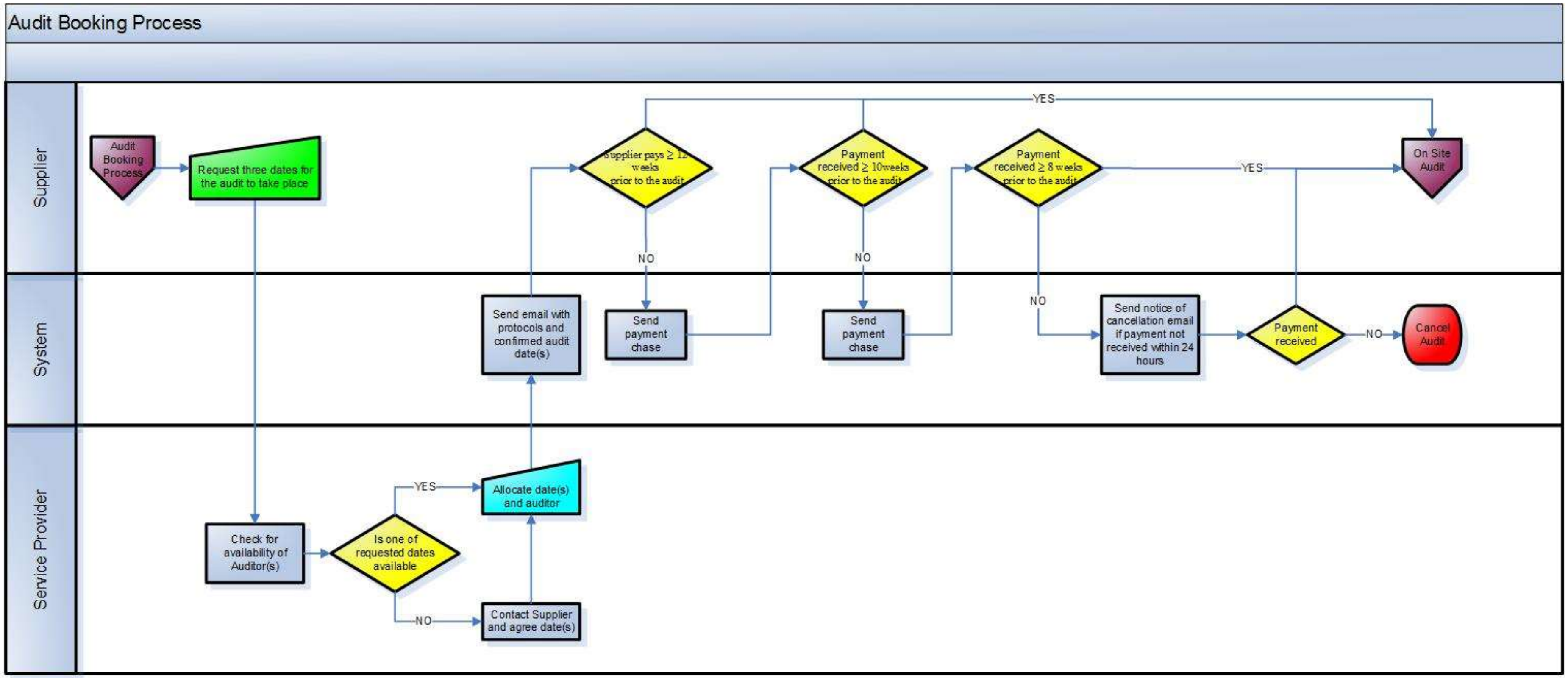
3. Supplier Registration Process



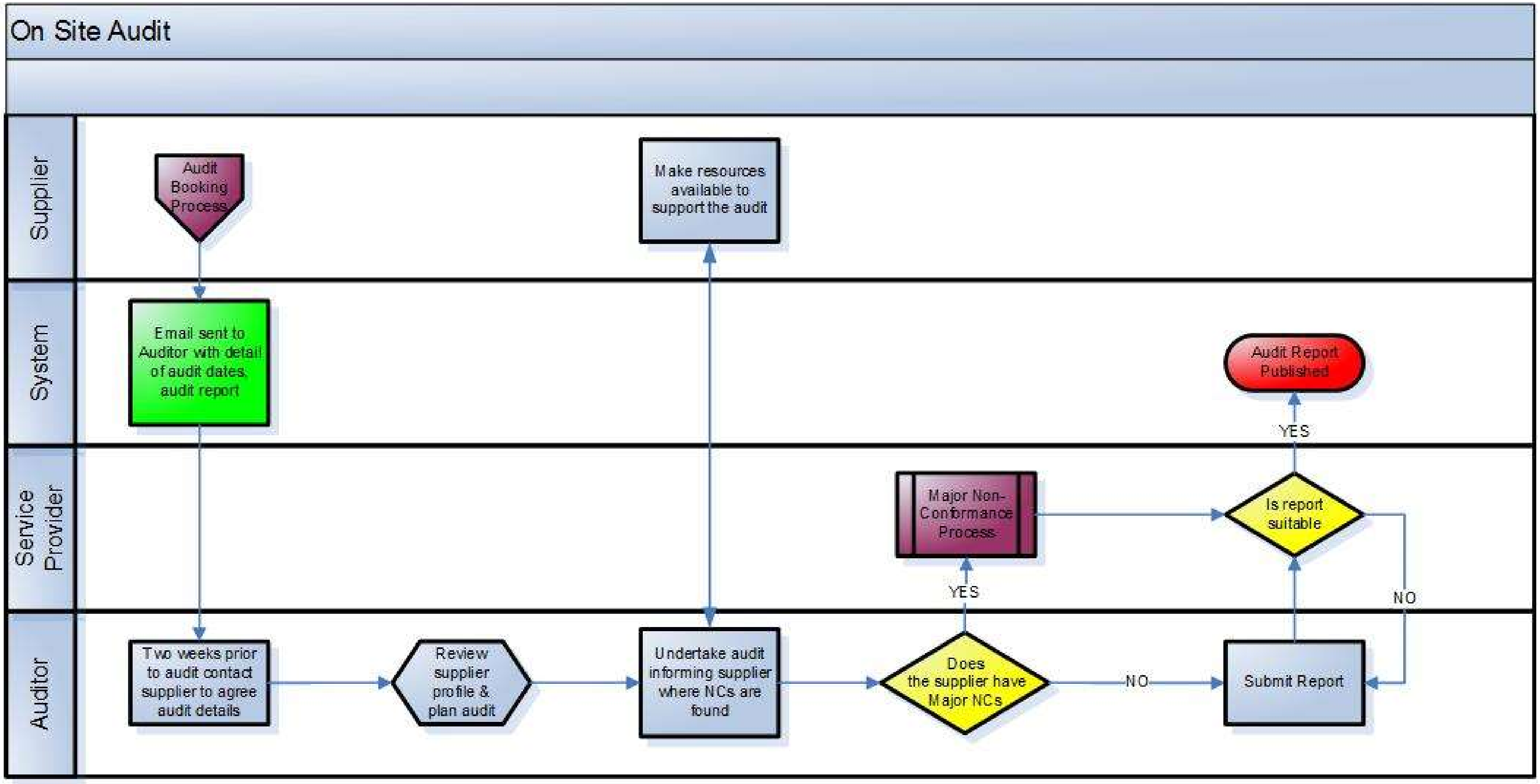
4. Verification Process



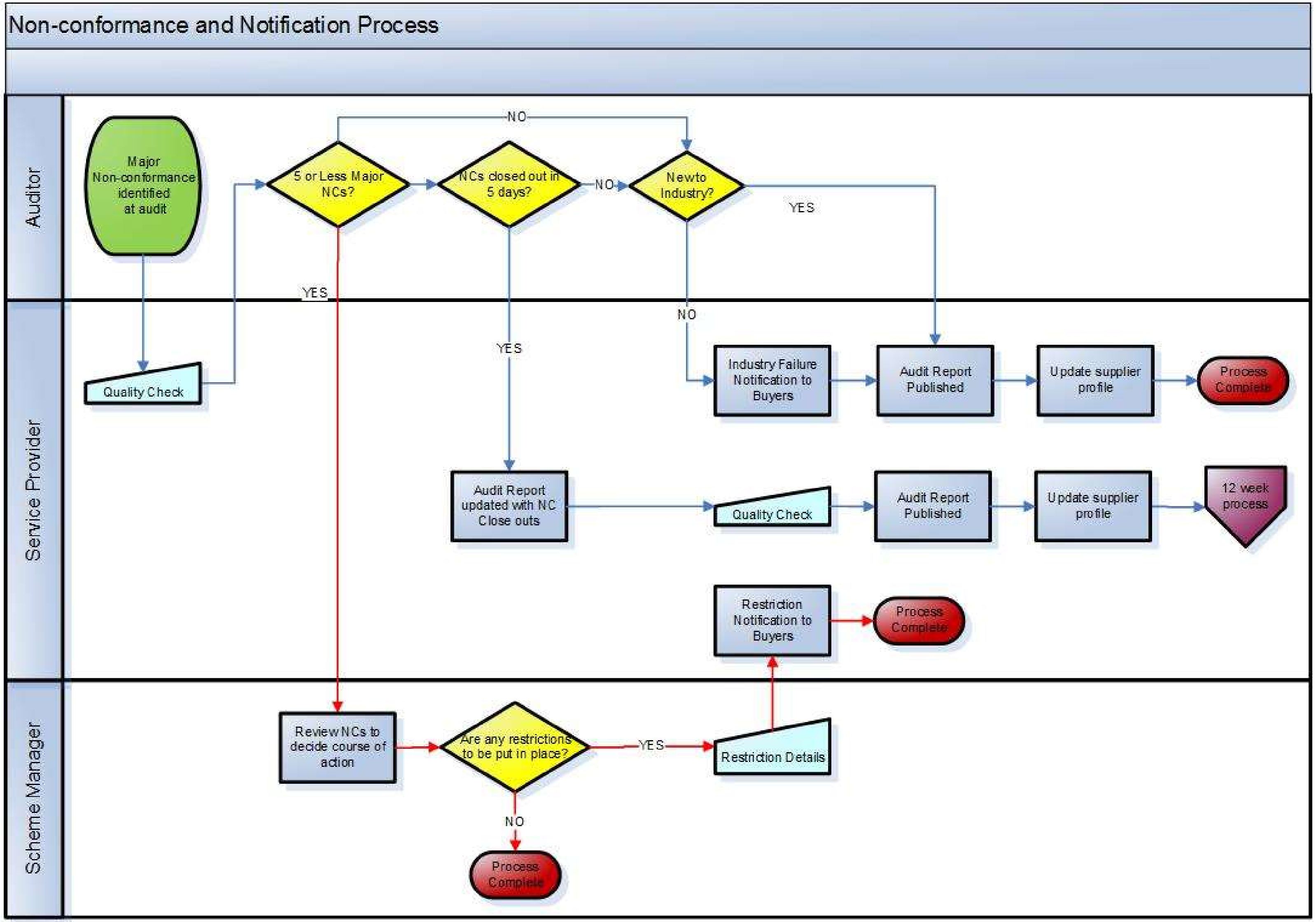
5. Audit Booking Process



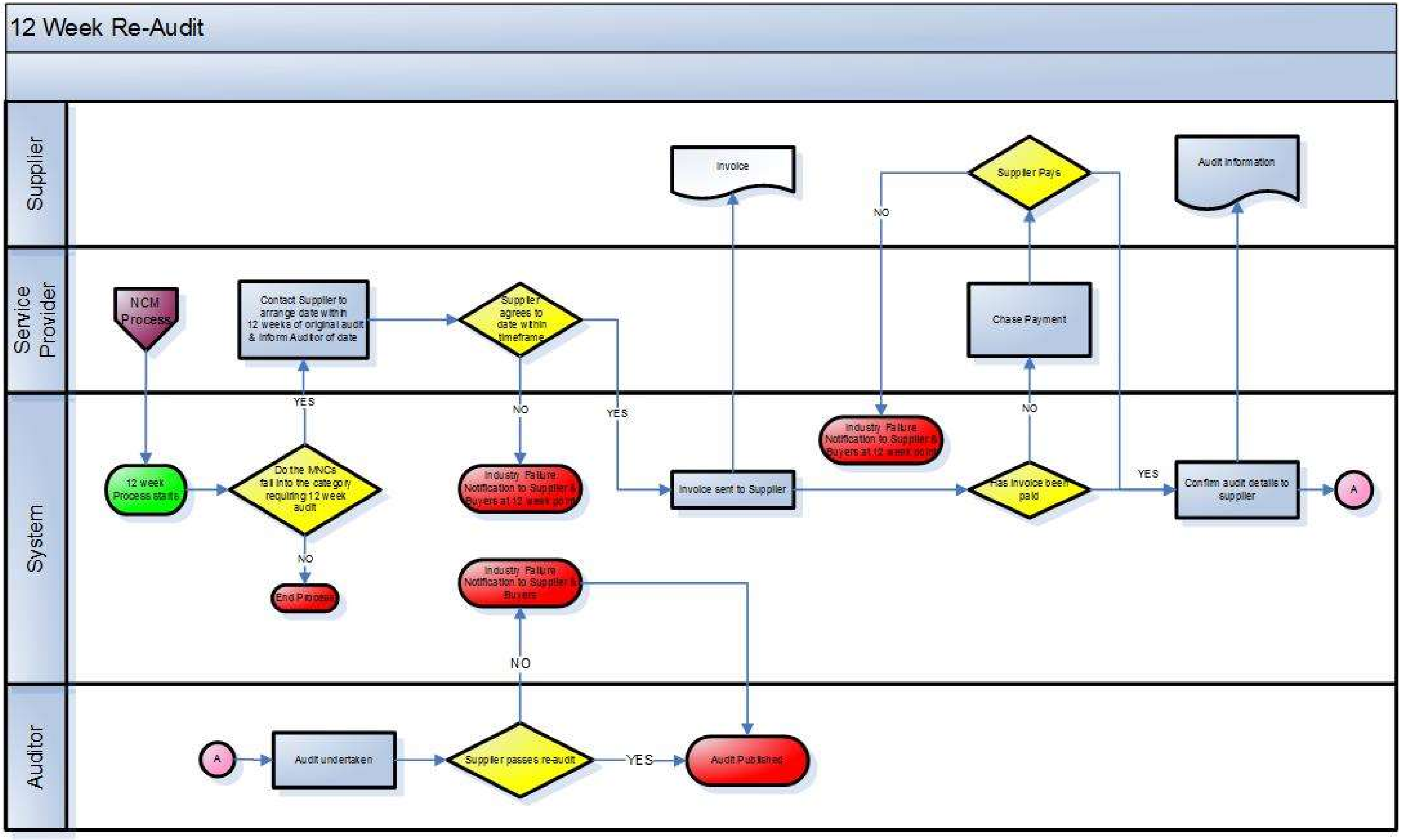
6. On Site Audit Process



7. Non-Conformance Process



8. Twelve Week Re-Audit



9. Management Report

See data room documents

10. Current Supplier Questionnaire with Verification Levels

The following validation process currently applies to the RISQS questions.

Key	
Basic Check	Check that the entry makes sense or is logical, including English grammar check in all free text boxes.
Cross Check	Check against other answers provided in questionnaire.
Verify Document	Check against the uploaded document in the section.
Externally Validate (EV)	Validate against external source e.g., D&B, Companies House (see remarks for suggested source)

See data room for Questionnaire

NOTE: The questionnaire is a dynamic document as it is required to change to meet current legislation, standards and Industry requirements.

11. Service Provider Performance Indicators

See contract

12. IT System Failure Severity and Resolution Table

Priority / Severity	Definition	Response Target	Resolution Target
1	System down situation severely impacting customer production and/or productivity. Or a high-impact problem where production is proceeding, but in a significantly impaired fashion.	30 Minutes then hourly updates	4 hours (working hours)
2	Time sensitive issue important to long-term productivity that is not causing an immediate stoppage.	01 hourly updates	10 hours (working hours)
3	Issue which does not have significant current productivity impact for the customer. These incidents will be grouped and resolved at mutually convenient times.	04 Hours then updates mutually agreed at time of call.	3 days
4	Query, general advice	Next Business Day.	7 days

13. Supplier Maturity Level

To recognise a suppliers' performance against the requirements of the protocol, a Star Rating structure is in place;

Minor Non-Conformances	Definition
10+ Minor or any Major Non-Conformances	0 Star Rating
6 to 9 Minor Non-Conformances	1 Star Rating
3 to 5 Minor Non-Conformances	2 Star Rating
1 to 2 Minor Non-Conformances	3 Star Rating
0 Minor Non-Conformances	4 Star Rating
0 Minor non-compliances for 2 consecutive audits showing evidence of use in the last 12 months for all modules audited	5 Star Rating

In Year 1 a supplier will only be able to reach a maximum of 4-stars with no minor non-conformances. In Year 2 a 4-star supplier can reach 5-stars.

Companies achieving Level 5 will have demonstrated consistent strong control and management against the documented requirements (no non-compliances for 2 years). This consistent performance should be reflected in the cost/duration of the audit surveillance. If in Year 3, no significant changes happened in either the organisational structure or the service scope of the organisation the supplier can have a reduced scope Industry Minimum Requirements Module.

The infrastructure specific elective modules e.g. Railway planning will continue on an annual assessment process, irrespective of the star rating as they are critical to the infrastructure, e.g. Sentinel Sponsorship.

If reduced in year 3, the supplier will be fully audited again in year 4 and with no non-compliances can again achieve a 5-star rating repeating on a biannual basis for as long as the organisation maintain a 5-star rating.

The opportunity to close out minor non-compliances, irrespective of star rating, should be agreed between the supplier and the auditor at the closing meeting. The closing out of Non-compliance will not affect the star rating given at the time of audit.

Companies that fail the audit (receiving 1 or more major non-compliances) will not receive a star rating.

Companies who elect to undergo a re-audit to close out major non-compliances must do so within 12 weeks after the audit and will only be able to achieve a "Pass" rating. A full re-audit is required against the module that the major non-compliance was identified in. Thus, if an element of the Industry Minimum Module was failed, a re-audit of the Industry Minimum

Requirements module will be required and if a sentinel requirement was failed, a re-audit of the sentinel module is required.

Companies may elect to undergo another audit to improve their rating. This audit will then be of the full scope and RISQS will assign a different auditor. The maximum allowed improvement will be one level higher than that achieved at their previous audit. E.g. 1-star improved to a maximum of 2-star. Suppliers will not be allowed to improve a 4-star rating to 5-stars through this new audit. As it is a full audit its validity is for 12 months.

Should a supplier wish to appeal their star rating and their minor non-compliances raised, the auditor shall provide details of the approved route and mechanisms for an appeal at the audit closing meeting. In the case of an appeal, RISQS will not publish a Star Rating until a formal response has been given within a further 5 working days. All appeals must be received within 5 working days of the close of the audit.

Reduced Industry Minimum Requirements Audit

The reduction in the Industry Minimum Requirements Audit needs to result in a reduction in audit charges as follows:

Audit Days	Reduction in Charges
1 to 2 days	½ a day
Above 2 days	1 day

14. Supplier Alert Criteria

Select what types of Changes you want to track

Product code criteria

- [ ] Added product code
- [ ] Removed product code

Supplier Questionnaire

- [ ] Company Information
- [ ] Contact Details
- [ ] Company Profile
- [ ] Products and Services
- [x] Financial Information
- [ ] Management Team
- [ ] Group Information
- [ ] Locations
- [ ] Contract Reference
- [x] Insurance
- [ ] Supply Chain Management
- [ ] Quality Management System
- [ ] Health & Safety Management System
- [ ] Environmental Management
- [ ] Corporate Social Responsibility
- [ ] Carbon Management
- [ ] Business Relations
- [ ] Declaration
- [ ] Information Security and Data Protection
- [ ] Competency Management
- [ ] Human Resource Management
- [ ] Customer Specific Questions
- [x] Questionnaire status

Supplier Audit

- [ ] New audit uploaded
- [ ] Audit expired

Note:Some supplier subscription levels may not include all questionnaire sections

Save