

Principles of the Railway Industry Supplier Approval Scheme

Copyright is owned by Rail Safety and Standards Board Limited. All rights are hereby reserved. This document (in whole or in part) may be reproduced, stored in a retrieval system, or transmitted, in any form or means, without the prior written permission of Rail Safety and Standards Board Limited, or as expressly permitted by law.

RSSB Members are granted copyright license in accordance with the Constitution Agreement relating to Rail Safety and Standards Board Limited.

In circumstances where Rail Safety and Standards Board Limited has granted a particular person or organisation permission to copy extracts from Railway Group Standards, Rail Safety and Standards Board Limited accepts no responsibility for, nor any liability in connection with, the use of such extracts, or any claims arising therefrom. This disclaimer applies to all forms of media in which extracts from Railway Group Standards may be reproduced.

Published by:

**RSSB
The Helicon
1 South Place
London
EC2M 2RB**

© Copyright 2017

Rail Safety and Standards Board Limited

Principles of the Railway Industry Supplier Approval Scheme

Part A

Issue record

This document will be updated when necessary by distribution of a complete replacement.

Issue	Date	Comments
One	7 April 2006	
Two	12 May 2006	
Three	13 January 2011	
Four	14 August 2014	To correct the chronology of introduction of scheme Document RISAS/005 in September 2012

Technical content

This document has been approved by the RSSB Board on 14 August 2014.

Suggestions to improve the contents of this document should be directed to the Scheme Manager at: risas.admin@rssb.co.uk

Compliance

This is not a Railway Group Standard and is therefore not mandatory. However, for participants in the RISAS Scheme, the relevant requirements set out in this document shall be regarded as mandatory and will be identified as obligations within the relevant contracts.

Supply

Copies of this document may be obtained from:

www.risas.org.uk

Definitions

Definitions of the terms used throughout the RISAS documents are set out in Appendix A

References / Related Documents

References / Related documents are set out in Appendix B.

Principles of the Railway Industry Supplier Approval Scheme

Part B

1 Introduction

- 1.1 This document describes the main Principles of the Railway Industry Supplier Approval Scheme (RISAS).
- 1.2 RISAS has been designed by the industry for the industry, to ensure that duty holders and other major customers, such as ROSCOs, are able to rely upon common third party assessments by Accredited Railway Industry Supplier Approval Bodies (RISABs). This was instituted following recommendations contained in the Cullen report, particularly Cullen 24. RISAS is consistent with International Accreditation and Conformance Certification requirements, with additional features designed to assist the industry to:
- Enhance the industry's safety performance including product quality.
 - Comply with legislation.
 - Remove duplication and waste.
 - Improve the supply chain's performance.
 - Improve the industry's reputation.
 - Reduce cost.
 - Improve the effectiveness, efficiency and image of industry assurance arrangements.
- The RISABs assess the adequacy of key suppliers' procedures, practices and competence to manage risks which arise from the specialist nature of railway industry applications.
- 1.3 A duty holder may state in its Safety Management System where it chooses to use RISAS (for example, where it is economically efficient, depending on its supply chain for particular goods and services). Once a RISAS approved Supplier is selected, a duty holder or other customer will enter into a specific contract for a particular material or service (for example, a specific wheelset overhaul). It is expected that such a contract would include an appropriate monitoring regime, (for example, regular supply of data, contract review meetings and the right to call a joint investigation should a specific problem arise). It is intended that the assurance provided by RISAS, along with such a regime, should replace the need for a duty holder, or other customers, to conduct general audits of suppliers.
- 1.4 The aim of RISAS is to provide economies of scale to the railway industry by reducing duplication in the auditing and assessment of suppliers of critical goods and services for the overhaul of assets and components. It sets out to ensure that suppliers of critical products to the railway industry have the appropriate systems, processes, competence, resources, facilities and procedures.
- 1.5 The scope of the scheme, which is currently focussed on rolling stock systems, sub-systems and components, is defined in the RISAS product group and services groups list published on the RISAS website. RISAS product and services groups have initially been developed where it is believed that economic efficiencies will be delivered (for example, bogie, wheelset, brake equipment overhaul). The list of product and services groups is subject to on-going review and recommendations for change are made to the RISAS Board. Suppliers are invited to seek RISAS Approval for these product and services groups.
- 1.6 The main documentation that should be consulted on the operation of RISAS is:
- RISAS/002 Arrangements for the Board of the Railway Industry Supplier Approval Scheme.
 - RISAS/003 The Supplier Assessment Module.
 - RISAS/004 Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme.
 - RISAS/005 Operation and Management of the Railway Industry Supplier Approval Scheme.
 - RISAS website Help pages and guidance on the use of the RISAS IT Application.

This documentation is available on the RISAS website www.risas.org.uk.

Principles of the Railway Industry Supplier Approval Scheme

2. Background

2.1 RISAS was developed by GB mainline rail companies in response to recommendations made in the Public Inquiry Report into the accident at Ladbroke Grove, colloquially referred to as 'Cullen 2'. RISAS was established by the Board of RSSB in May 2006 and RISAS was recognised in 2007 by the ORR as closing out Cullen 2 Recommendation 24.

Since its launch, the development and promotion of RISAS continues with the aim that it will be generally recognised as the GB rail sector's scheme for suppliers of critical products and services, which is fully integrated with clients' safety management systems. This Vision has been encapsulated as follows:

Universally recognised as the GB rail sector's most effective and efficient method of assuring our most critical supply chains

This is being delivered by controlled scheme development and expansion of scope on a risk prioritised basis, to meet clients' requirements, along with focussed communication.

Continued development of RISAS will enable greater benefits described in section 1.2 to be delivered to the whole rail sector, along with a mechanism to provide its own proposals and response to new legislation and obviate the need for new regulation.

2.2 RISAS is managed on behalf of the whole GB main line rail sector and provides assessment and certification for suppliers of critical products and services. RISAS supports Network Rail, the passenger and freight train operators and other rail sector organisations in the management of supply chain and asset maintenance risk. It provides an independent, rigorous assessment of a supplier's capability to consistently provide critical products in accordance with customer requirements.

RISAS 'adds value' to both the clients and the suppliers by offering:

- A single, universally recognised assessment and certificate which reduces/ eliminates the need for general audits by other third party schemes or individual client companies in GB.
- Clear and transparent supplier assessments by competent independent bodies which support the operation of a client's safety management system in controlling risk.
- Challenging assessments which support suppliers in meeting client requirements and demonstrating excellence.
- Formalised mechanism for controlled feedback and resolution of customer issues.
- A robust system for the assessment and certification of rolling stock maintenance recognised and supported by the Office of Rail Regulation (ORR).

2.3 RISAS uses a rigorous assessment process to verify that suppliers have the necessary capability to consistently meet customer requirements. The Railway Industry Supplier Approval Bodies (RISABs) who have been accredited by the accreditation agency plan and undertake an intensive assessment to test that the supplier has in place the appropriate systems, processes, procedures and competent resources. Following a successful assessment, the supplier will be awarded a RISAS certificate for a specified period of time which clearly identifies the range of products and services covered by their certification.

Beyond the initial and subsequent refresh of a suppliers' capability assessment, RISAS supports the practical safety management operation of the GB mainline railway by:

- Providing a practical and robust supplier and asset risk control tool which can be deployed with confidence by Safety Management System (SMS) holders.
- Linking to the GB rail system of National Incident Reporting (NIR) and other industry intelligence sources which enables clients to raise supplier and product concerns in a controlled way.

Principles of the Railway Industry Supplier Approval Scheme

- Providing a formally governed process for the investigation and close out of any identified supplier and product quality / safety issues through the RISABs and RSSB.
- Deployment of quality improvement feedback mechanisms to raise the standard of suppliers and their products.
- Providing the capability to assess and certificate the procurement and direct provision of rolling stock and infrastructure asset overhaul and maintenance.
- Providing a platform for the development of industry solutions to meet the requirements of emerging industry conformity assessment requirements.

3 Description of Scheme

RISAS provides one part of the industry's overall arrangements for supplier assurance. RISAS will work collaboratively with other industry assurance providers to enable the benefits described in section 1.2 to be delivered.

The relationship of RISAS with other Industry assurance providers is explained in the supplier assurance pages on the RSSB website. www.rssb.co.uk

An overview of RISAS is shown in Appendix C.

3.1 RSSB

RSSB acts as the custodian of the scheme and has delegated the responsibility for running RISAS to the RISAS Board, subject to certain constraints. These are that the RISAS Board shall seek approval from the RSSB Board for:

- Any expansion in the scope of RISAS and / or the RISAS Board's activities.
- Any decision proposed to be taken by RISAS Board that would or may have a material effect on RSSB's liabilities.
- Any changes to this document about the principles of the RISAS scheme.
- A change in Accreditation Agency.

RSSB shall provide the agreed resources to enable RISAS to work effectively. These include the following posts:

- Scheme manager.
- Accreditation agency manager.

The accreditation agency shall be independent and this shall initially, be provided by RSSB.

RSSB will agree the budget each year for the RISAS scheme, following development of a business plan by the RISAS Board, and will provide information on expenditure during the year.

3.2 RISAS Board

The main arrangements for the operation and governance of the RISAS Board are set out in RISAS/002.

The RISAS Board has been established with suitably qualified representatives elected by RSSB members. It includes a representative from RSSB and from each of the industry categories. Hence Board members include representatives of:

- Network Rail.
- Train operating companies.
- Freight operating companies.
- Suppliers.
- ROSCOs.
- Infrastructure companies.

Principles of the Railway Industry Supplier Approval Scheme

- Rail Safety and Standards Board.

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

The RISAS Board is responsible for appointing its chairman, who need not be an existing Board member. If appointed from within the Board, the industry category affected shall elect a new representative.

The RISAS Board oversees RISAS, including the Scheme Manager, the IT application and the work of the accreditation agency manager. It approves and monitors progress of the business plan for RISAS and agrees objectives, in line with budgetary constraints, for each financial year.

If the RISAS Board has evidence that the accreditation agency is not meeting the requirements of RISAS in either a satisfactory or an economical manner then the RISAS Board shall procure the services of an accreditation agency from an alternative source, subject to RSSB approval.

Arrangements for the RISAS Board are set out in RISAS/002.

3.3 Scheme manager

The scheme manager is responsible for the day to day operation and management of the Scheme. This is set out in more detail in RISAS/005.

The scheme manager shall have:

- 10 years relevant experience in the rail industry.
- Membership of an appropriate professional institution.
- Significant procurement experience at a senior level.
- Expertise in Railway Group Standards in general and familiarity of standards relevant to the Accreditation process.
- Detailed knowledge and understanding of the RISAS documents and procedures.
- Significant experience of applying supplier assurance procedures.

The responsibilities of the post include:

- Deliver the relevant objectives in accordance with the budget.
- Chair the RISAS User Group.
- Manage the business plan and present any update to the Board for approval.
- Develop the following year's budget.
- Undertake reviews of the RISAS Scheme, making recommendations for any proposed changes.
- Issue guidance notes, following discussion at the User Group.
- Manage the process for appeals.
- Review supplier issues notified, either by the Accreditation Agency, RISABs or customers, and make recommendations to the RISAS Board on any action required.
- Review Accreditation Agency issues raised by RISABs with the Accreditation Agency manager and make joint recommendations to the RISAS Board.

3.4 User Group

This is a group set up to share best practice and generate improvements to the Scheme based on experience. It focuses on more tactical matters, leaving the RISAS Board to concentrate on strategic issues. It will recommend changes to the product and service groups to the RISAS Board. The group is open to all interested parties, subject to it remaining an efficient unit.

3.5 Accreditation agency manager

The accreditation agency manager is responsible for managing the accreditation agency. The manager shall have:

Principles of the Railway Industry Supplier Approval Scheme

- 10 years relevant experience in the rail industry.
- Membership of an appropriate professional institution.
- Audit training and significant experience of leading audits.
- Expertise in Railway Group Standards in general and familiarity with standards relevant to the accreditation process.
- Detailed knowledge and understanding of the RISAS documents and procedures.
- Significant experience of a similar railway accreditation procedure.

The responsibilities of the post include:

- Deliver the relevant objectives in accordance with the budget.
- Manage the accreditation agency, ensuring it carries out its work in accordance with the Scheme documents and its management processes.
- Inform a RISAB immediately if it is considered that it is seriously failing to comply with RISAS and that this poses a significant risk to the industry.
- Review RISAB issues notified by suppliers and make recommendations to the RISAS Board on any action required.
- Develop the following year's budget for the Accreditation function Report on progress on objectives, budget and accreditation agency activity to the RISAS Board.
- Arrange an annual, or more frequent, meeting with RISABs.
- Issue guidance notes, following discussion at the User Group.
- Review accreditation agency issues raised by RISABs, in conjunction with the scheme manager, whether by appeal or feedback, and make joint recommendations to the RISAS Board on any action required.

Principles of the Railway Industry Supplier Approval Scheme

3.6 Accreditation agency

The accreditation agency is appointed by the RISAS Board and is responsible for the accreditation of RISABs. The accreditation agency shall have the competence and resources to manage, carry out and develop the agency's processes, criteria and specifications for accrediting RISABs. Details are set out in RISAS/004.

The accreditation agency manager shall provide feedback of any serious issues related to RISAS certificated supplier's which may have wider industry implications, and on any general aspect of RISAS to assist in the development and improvement of the scheme, via the RISAS IT Application, helpdesk or scheme manager.

3.7 RISABs

RISABs are independent bodies, probably within the rail industry, which carry out the assessments of suppliers. In order to be able to do this, they must be accredited by the accreditation agency. Details of the requirements for accreditation are set out in RISAS/004.

There is an appeals process available if a RISAB does not consider that the accreditation agency has acted in accordance with RISAS requirements. Details are set out in RISAS/005.

Once accredited, RISABs may carry out assessments of suppliers, providing they have the necessary competences for the product or service groups detailed in the scope of assessment.

RISABs shall provide feedback of any serious issues related to RISAS certificated supplier's which may have wider industry implications, and on any general aspect of RISAS to assist in the development and improvement of the scheme, via the RISAS IT Application, helpdesk or scheme manager.

The up to date list of product and service groups is available on the RISAS web site.

3.8 Suppliers

The core of the scheme is the assessment of suppliers to deliver critical goods and services in a safe and effective way. The assessment is carried out in accordance with RISAS/003. It is a feature of RISAS that there is continuing dialogue, on a suitable commercial basis, between a supplier and its RISAB during the validity of any certificate, to look at material changes and any material issues that have arisen.

Suppliers shall provide feedback of any serious issues related to RISAS certificated supplier's which may have wider industry implications, and on any general aspect of RISAS to assist in the development and improvement of the scheme, via the RISAS IT Application, helpdesk or scheme manager.

The scheme recognises two types of supplier. A 'standard' supplier does not have the competence to vary specifications or make engineering decisions about the product. An 'engineering change' supplier does have these competences and will be assessed, in addition, on its control of engineering change, including advice to customers.

There is an appeals process available if a supplier does not consider that the RISAB has acted in accordance with RISAS requirements. Details are set out in RISAS/005.

3.9 Customers

There must be a significant involvement by customers for RISAS is to become the industry standard for assessment of supply of critical products and services. It is by customers specifying that RISAS is the preferred supplier assessment mechanism in relevant contracts that growth in take up is encouraged. Specifically, customers should:

- Incorporate RISAS within their SMS as one of the principle means of assurance for the procurement of critical products and services.
- Specify RISAS certification within their contracts for the procurement of critical products and services.
- Provide feedback of any serious issues related to RISAS certificated supplier's which may have wider industry implications, and on any general aspect of RISAS to assist in the

Principles of the Railway Industry Supplier Approval Scheme

development and improvement of the scheme, via the RISAS IT Application, helpdesk or scheme manager.

Details are set out in RISAS/005.

4 RISAS IT Application

4.1 IT Application

The RISAS scheme manager manages and operates an IT Application which provides information on the scheme. The information includes the following:

- Product and service groups.
- Capability of accredited RISABs.
- Details of certified suppliers.

There are differing levels of access, depending on the organisation requesting access.

The IT Application also enables interested parties to provide feedback on anything to do with the scheme.

5 Further Information

Further information regarding RISAS may be obtained from:

risas.admin@rssb.co.uk

Or from the RISAS website www.risas.org.uk

Principles of the Railway Industry Supplier Approval Scheme

Appendix A Definitions

Definition of terms commonly used by the GB mainline rail industry, with respect to supplier management and assurance, have been published by RSSB as part of Securing Supplier Assurance, available at <http://www.rssb.co.uk/Library/improving-industry-performance/2013-guidance-securing-supplier-assurance.pdf>

For the purposes of RISAS, the following definitions apply.

Accreditation

The granting of the rights to act as a RISAB, or the alteration of existing rights, after the application of a suitable assessment by the Accreditation Agency

Accreditation agency

An organisation appointed by the RISAS Board, which carries out accreditation of RISABs.

Assessment

Systematic, independent and documented process for obtaining assessment evidence and evaluating it objectively to determine the extent to which RISAS assessment criteria defined in RISAS/003/01 are fulfilled.

Assessment team

One or more RISAS accredited assessors conducting a RISAS Assessment, supported by RISAS accredited technical experts with relevant experience.

Assessor

A RISAS accredited person with the competence to conduct a RISAS Assessment in support of the lead assessor.

Authorised signatory

RISAS accredited person authorised to sign the RISAS Certificate of Supplier Approval.

Certificate of supplier approval

The Certification awarded by the RISAB to the approved supplier that clearly describes, on the RISAS IT Application, the scope of the Product Groups covered by the certification.

Certification

The status awarded to a supplier, who has passed a RISAS assessment by a RISAB for the supply of one or more RISAS Product Groups.

Conformance

Fulfilment of a requirement.

Competence

- a) The state, or quality, of being adequately qualified and skilled to be able to perform a specific act or task.
- b) Demonstrated personal attributes and demonstrated ability to apply knowledge and skills.

Competence Management System

A formally documented system that ensures that those undertaking work have, and continue to have, the competence required to do it. Guidance on developing and maintaining staff competence is contained in the ORR Railway Safety Publication 1 - Developing and Maintaining Staff Competence available at <http://www.rail-reg.gov.uk/upload/pdf/sf-dev-staff>.

Principles of the Railway Industry Supplier Approval Scheme

Rail Safety and Standards Board

RISAS/001

Issue 5.0

Date: January 2017

Critical product

Product, included in the database of product groups, which has been identified as having the potential to introduce risks that can directly or indirectly threaten health and safety and / or a duty holder's business performance.

Customer

The generic term for any organisation that purchases, or seeks to purchase products. The term is used to cover all of the following: - end user, client, buyer, purchaser and procurer.

Duty holder

Network Rail Infrastructure Ltd or a train or freight operating company.

Engineering change

Implementation of new or revised standards, processes and procedures, suppliers and supply arrangements, or new or revised designs, that have the potential to impact on health and safety or the duty holder's business performance.

IT application

The RISAS database of accredited Approval Bodies, approved Suppliers and Product Groups Lead assessor

RISAS accredited person with the competence to lead a RISAS assessment.

Mandatory requirements

The requirements specified in the Railway Group Standards or other standards, common norms or regulations. RISAS also requires compliance with the RISAS Scheme documents and associated Briefing Notes.

Product

Products are materials or services which are the result of a process.

Product groups

A group of related critical products for which a supplier can achieve RISAS certification.

Quality plan

Document consistent with the requirements of ISO 10005:2005 that details the quality practices, processes and procedures, the control and acceptance criteria and the detailed monitoring, inspection and test requirements that will be applied to the critical product, from receipt of order through to delivery and completion.

Railway Group Standards

Those standards issued by the Rail Safety and Standards Board in accordance with the Railway Group Standards Code.

Railway Industry Supplier Approval Scheme

The scheme as described within this document.

Principles of the Railway Industry Supplier Approval Scheme

Required Actions

The actions to be taken to address a non-conformity with RISAS requirements. The RISAB must classify such actions by seriousness, for example major or minor which could range from systemic breakdown of a management system to a one off problem or in extreme circumstances where the issue could hazard the operational railway. The RISAB must also make clear whether the Required Action should be closed out before Approval can be granted or whether Approval may be granted while the action to be taken is monitored to close out.

This definition also applies to the Accreditation Agency's assessment of a RISAB.

RISAS Board

The organisation that manages RISAS on behalf of the GB Mainline Rail Industry.

RISAB

An organisation accredited by the RISAS accreditation agency, against the criteria contained in the RISAS accreditation document (RISAS/004/01) to undertake assessment, approval and certification of individual suppliers.

RISAB personnel

Any RISAB staff and contracted personnel working on RISAS activities as defined in the list contained in RISAS/004/01.

RISAB signatory

RISAS accredited person with the authority to approve the certification of a supplier by using an authorised electronic signature on the RISAS IT application.

Safety criticality

The rating of how much risk is attached to the failure of a critical product.

Sub-supplier

An organisation or person that provides a critical product to the supplier as defined below and/or sub-supplier in the context of a supply chain.

Supplier

Organisation or person that provides a critical product to the customer. For the purposes of this document two categories of supplier have been used that are further defined below.

Supplier - engineering change

A supplier of the relevant critical products with proven competence, product know-what, know-why and know-how and understanding of the use of a critical product, ultimately by the duty holder. A supplier that has the capability to work with performance specifications and has the competence to manage engineering change processes and know for which engineering changes it must seek authorisation from the duty holder(s).

Supplier - standard

A supplier that does not have appropriate design or development capability for the critical product(s) in question yet has the capability to work on established design and / or follow instructions set out in prescriptive specifications for example for the overhaul of a critical product. For standard suppliers engineering change is not normally allowed, except where it is particularly identified and appropriate authorisation is obtained from the relevant duty holder(s)

Technical expert

RISAS accredited person who provides specific knowledge to the assessment team. Note that the specific knowledge or expertise is that which relates to the organisation, the process or activity to be assessed, or

Principles of the Railway Industry Supplier Approval Scheme

Rail Safety and Standards Board
RISAS/001
Issue 5.0
Date: January 2017

language or culture and technical background. A technical expert does not normally act as an assessor in the assessment team unless competence consistent with the requirements of ISO 19011:2002 can be formally demonstrated.

User

A user of the RISAS IT application is someone who has been considered by the Scheme to be a member of a company which has a legitimate interest in the rail industry such as a supplier, customer, duty holder, member of an approval Body or the RISAS Board or its representatives.

Principles of the Railway Industry Supplier Approval Scheme

Appendix B References / Related Documents

RISAS Documents

RISAS/002	Arrangements for the Board of the Railway Industry Supplier Approval Scheme.
RISAS/003	Railway Industry Supplier Approval Scheme. Supplier Assessment Module
RISAS/004	Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme
RISAS/005	Operation and Management of the Railway Industry Supplier Approval Scheme

Railway Group Standards

GM/RT2450	Qualification of Suppliers of Safety Critical Engineering Products and Services
GE/GN8565	Guidance on the Retention of Design Information, Validation of Technical Change and Configuration Management

ATOC Codes of Practice

ATOC ACOP/EC/1003	National Railway Materials and Supply Accreditation Scheme
ATOC ACOP/EC/1006	Inter-Company Train Engineering Change Approval Process

International Standards

ISO 19011: 2011	Guidelines for Quality and/or Environmental Management Systems Auditing
ISO 9000: 2015	Quality Management Systems. Fundamentals and Vocabulary
ISO 9001: 2008	Quality Management Systems Requirements
ISO 10005: 2005 (2015)	Quality Management Systems. Guidelines for quality plans (Subject to transitional provisions defined by ISO/CASCO)
ISO 17000: 2004	Conformity Assessment. Vocabulary and general principles
ISO/IEC 17021: 2015	Conformity Assessment. Requirements for bodies providing audit and certification of management systems
ISO/IEC 17024: 2012	Conformity Assessment. General requirements for bodies operating certification of persons
ISO/IEC 17025: 2005	General requirements for the competence of testing and calibration laboratories
ISO/IEC 17050-1: 2004	Conformity Assessment. Supplier's declaration of conformity, general requirements
ISO/IEC 17050-2: 2004	Conformity Assessment. Supplier's declaration of conformity, supporting documentation

HSE Guidance and Documents

Railway Safety Publication 1 - Developing and Maintaining Staff Competence.

Industry Guidance and Documents

RSSB Securing Supplier Assurance – A Guide to Rail Industry Supplier Assurance Schemes

[ORR and RSSB guidance on management of change](#)

RSSB Best Practice Guide to Practical Development and Implementation of Competence Management Systems

Principles of the Railway Industry Supplier Approval Scheme

Appendix C RISAS Overview

