

Briefing note

Revised document

Document number	Document title	Issue
RISAS/003	Rail Industry Supplier Approval Scheme – Supplier Assessment Module	Four

Document to be withdrawn

Document number	Document title	Issue
RISAS/003	Rail Industry Supplier Approval Scheme – Supplier Assessment Module	Three
BN-004	M1A – Wheelsets and M1B – Wheelset Components	Two

Issue/withdrawal date: 01 June 2015

Documents come into force/cease to be in force: 15 June 2015

Background

RISAS/003 issue 4 consists of a number of detailed changes arising from the following:

1) Following the RISAS-led review into axle bearing failures, a recommendation was made to review the role / purpose of RISAS briefing note BN-004 'M1A – Wheelsets and M1B – Wheelset Components'.

The subsequent clause-by-clause review of BN-004 concluded that it had largely served its purpose in managing the transition from former Railway Group Standard GM/RT2470 in terms of approval of suppliers of wheelsets and wheelset components and that much of its content was duplicated in RISAS/003.

Having the same requirements in two different documents leads to potential for confusion and unintentional omission. Conversely, assessment of other product groups can potentially benefit from having residual good practice from BN-004 transferred into RISAS/003. BN-004 can therefore be withdrawn upon issue of RISAS/003 issue 4.

2) As directed by DfT, RSSB has been working with the UK Accreditation Service (UKAS) to develop an accreditation scheme to support certification of Entities in Charge of Maintenance (ECM). As part of this work, agreement has been reached that RISAS Service Product Codes S01 'Procurement of Vehicle System Maintenance, Overhaul & Modification' and S04 'Delivery of Vehicle System Maintenance, Overhaul & Modification' are a suitable basis for ECM certification to be delivered.

A detailed review of ECM requirements (as outlined in Commission Regulation 445/2011/EU and the ERA sectorial guides) has subsequently been undertaken, leading to the need for detailed revisions to RISAS/003 (along with an accompanying briefing note) to ensure full alignment with ECM requirements.

3) At the direction of the RISAS Board, the requirements under the competency area of RISAS have been reviewed to promote greater integration of the RISAS good practice guide 'Engineering Excellence into Competence'.

The RISAS User Group meeting and the RISAS Managers meeting have been used as forums to review and discuss the changes to RISAS/003. The new version of the document was formally approved and endorsed at the RISAS Board meeting of 18.3.15 prior to final formatting and

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preparation for publication. A subsequent briefing session was held at the RISAB Managers meeting on 20.5.15.

In general, the changes are regarded as detail only and in many cases the changes merely reflect what RISAB assessment teams are doing in practice. The intent of the assessment process is therefore largely unchanged.

Scope

The requirements of RISAS/003 principally affect Suppliers and RISABs when undertaking assessments leading to certification of Suppliers with a defined scope of supply.

Key changes

There are many detailed changes to the document as a result of the above factors. Amongst the more significant are:

- Requirement for supplier to have carried out a self-assessment against the checklist within the RISAS good practice guide 'Engineering Excellence into Competence' [Part B 7(1)]
- Reference to new RISAS briefing note BN-002* 'Methodology for addressing "Out-of-Course" Supplier Issues' [Part A 4.4.5, Part B 2.3(2) & 5.1(5)] (* this briefing note is also an output from the axle bearing investigation)
- Reference to new RISAS briefing note BN-006 'New Suppliers' (also relates to a previous requirement from BN-004) [Part A 2.3.5]
- Reference to new RISAS briefing note BN-007 'Procurement and Materials Management' and need for specialists in a RISAB assessment team (also relates to a previous requirement from BN-004) [Part A 2.4.2]
- Additional or clarified requirements and guidance arising from the ECM review, including
 - Out-of-course / surveillance work to be subject to signatory review [Part A 4.4.10]
 - Reference to Commission Regulation 402/2013/EU Common Safety Method for Risk Evaluation & Assessment (CSM-RA) when considering change management [Part B 2.3(2) and 5.3(1)]
 - Requirement that controlled documentation is 'known and duly used' [Part B 4.2(3)]
 - Specific reference to 'release for use' at the conclusion of the processing of critical product [Part B 5.1(3) & 8(2)]
 - Responding to in-service incidents, warranty claims [Part B 5.1(5) & 8(1)]
 - Reference to 'exchange of safety-related information' [Part B 6.3(1) & 8(3)]
 - Structured approach to continuous improvement [Part B 8(3)]
- Clarification of the 'presumption of conformity' principle if a sub-supplier is already RISAS approved [Part A 2.2.4 & Part B 5.2(1)]
- Use of limitation field to clarify scope of approval (also relates to a previous requirement from BN-004) [Part A 4.3.3]
- Additional detail in the 'evidence' column for the supplier profile (transferred across from BN-004) [Part B 1]



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There are many further small scale changes to the document. Where possible, the affected text has been indicated by a vertical black line alongside. A fully marked up version of the final draft version of the document has been retained for traceability purposes.

Compliance requirements (Application)

RISAS/003 is not a Railway Group standard and is therefore not mandatory. However, for participants in the RISAS Scheme, the relevant requirements detailed in this document shall be regarded as mandatory and will be identified as obligations within the relevant contracts. This document comes into force and is to be complied with from 15th June 2015 (with the exception of any existing RISAS assessment projects for which substantive work has already been undertaken by that date).