



## Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

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Block 2  
Angel Square  
1 Torrens Street  
London  
EC1V 1NY**

Submitted by

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Approved by

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# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

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RISAS/004  
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## Part A

### Issue record

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

Issue	Date	Comments
One	7 <sup>th</sup> April 2006	Final draft
Two	12 <sup>th</sup> May 2006	First issue
Three	29 <sup>th</sup> August 2013	Replaces issue two as part of revision to scheme documentation

Revisions have not been marked by a vertical black line in this issue because the document has been revised throughout

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### Technical Content

Approved by:

The RISAS Board on 9<sup>th</sup> July 2013.

Suggestions to improve the contents of this document should be directed to the Scheme Manager at the following address:

RISAS Scheme Manager  
Rail Safety and Standards Board,  
Block 2, Angel Square,  
1 Torrens Street,  
London EC1V 1NY.

E-mail: [risas.admin@rssb.co.uk](mailto:risas.admin@rssb.co.uk)

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**Application** This 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 2nd September 2013.

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**Supply** Copies of this document may be obtained from:

The RISAS Scheme Administrator,  
Rail Safety & Standards Board,  
Block 2, Angel Square,  
1 Torrens Street,  
London, EC1V 1NY.

E-mail: [risas.admin@rssb.co.uk](mailto:risas.admin@rssb.co.uk)

Or from the RISAS website [www.risas-online.org](http://www.risas-online.org)

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### Definitions / references / related documents

Definitions of the terms used throughout the RISAS documents are given in RISAS/001, Appendix A. A list of related documents is given in RISAS/001 Appendix B

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## Part B Requirements for Organisations Acting or seeking to Act as a RISAB

### 1 Introduction

#### B1.1

This specification defines the requirements that an organisation shall satisfy in order to obtain and retain accreditation as a Railway Industry Supplier Approval Scheme Approved Body (RISAB). All RISABs shall be required to demonstrate on-going compliance with the requirements of this specification.

#### B1.2

This section is to help prospective applicants understand what is involved in seeking to act as a RISAB and to give additional guidance.

#### B1.3

The RISAS working documents, the Supplier Approval Module (SAM) (RISAS/003) and this document, contain detailed requirements for prospective and existing approved suppliers and approval bodies. The assessment of these bodies against these requirements is reliant on both simple factual assessments but also, importantly, on a significant level of professional judgement. The effectiveness of the scheme is very dependent on the involvement of experienced people with the appropriate skills, background and attitude. Appendix A contains guidance on what is expected of the RISAB's Assessment Team.

### 2 Definitions

#### B2.1

The scheme definitions are listed in the Principles of the Railway Industry Supplier Approval Scheme, RISAS/001.

### 3 General Requirements

#### B3.1

In order to approve suppliers under the scheme a body shall be accredited by the RISAS Accreditation Agency, subject to the approved terms and conditions for accreditation.

#### B3.2

Access to the services of an accredited RISAB shall be available to all suppliers. The procedures under which the RISAB operates shall be applied and administered in a non-discriminatory manner with no undue financial or other conditions to restrict the application of the process for Supplier Approval.

#### B3.3

Where a supplier's documentation is not in English or key personnel do not speak English, a RISAB may require translators or interpreters.

### 4 Administration and Legal Structure

#### B4.1

The RISAB shall be impartial and independent in decision making from other commercial interests within any parent organisation. RISAS approval activity shall be independent of other activities of the organisation. This does not preclude those involved in RISAS undertaking other activities for the parent organisation, provided that these activities do not compromise the objectivity and impartiality when undertaking RISAB activity.

#### B4.2

The RISAB is not required to be a Notified Body but many of the requirements in this specification are in line with what is required of a Notified Body and in accordance with ISO 17065.

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## **B4.3**

The documented organisational structure of the RISAB shall define the responsibilities and authorities of individuals with respect to approval work and allow only those so authorised to participate in approval work.

## **B4.4**

The organisational structure of the RISAB shall ensure the necessary impartiality. This does not preclude a railway company or supplier having a RISAB within its organisation, but the documented organisational structure shall be capable of demonstrating the necessary independence underpinned by a recognised quality management system. This is explained further in section B6.2.5.

## **B4.5**

The RISAB shall describe its legal status in regard to the activities within its scope especially where the RISAB is part of a larger organisation or group providing other Products.

## **B4.6**

The RISAB shall have a working understanding of how it is empowered to carry out supplier approval work. This understanding is expected to encompass the legislative background as described in the 'Principles of RISAS' RISAS/001, the assessment process as described in 'RISAS Supplier Assessment Module', RISAS/003 and the scheme management as described in 'Operation and Management of the RISAS Scheme', RISAS/005.

## **5**

### **Rights of Access**

#### **B5.1**

The RISAB shall provide the Accreditation Agency with reasonable right of access to any area of the RISAB or Sub-contractor's premises, including but not limited to access to applicable documentation, to verify compliance with this specification and associated requirements. The RISAB's personnel shall be made available as required to assist with this process.

## **6**

### **Outline of Approval System Requirements**

#### **B6.1**

The RISAB shall have documented approval system procedures setting out the way in which they comply with this specification and the Supplier Assessment Module and other RISAS documentation. See Part D for more details.

#### **B6.2**

The RISAB may have some aspects of its approval system within other systems' documentation, such as its quality manual. All such documentation shall be clearly cross-referenced so that the total requirements of the system can easily be located.

The information supplied within the approval system shall include as a minimum:

##### **B6.2.1 Introduction**

Brief details regarding the company and its activities.

##### **B6.2.2 Amendments**

Page(s) detailing changes to the system and procedures and the method employed to identify them within the documents.

##### **B6.2.3 Policy Statement**

The management with executive responsibility shall define and document their RISAB policy, including objectives and commitment. The policy statement shall be relevant to the RISAB's organisational goals and the expectations and needs of its customers. The RISAB shall ensure that the policy is understood, implemented and maintained at all levels. The policy shall be reviewed and updated annually to ensure it continues to reflect the company's organisational goals and expectations. When any significant change is made to the policy statement the Accreditation Agency should be notified.

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## **B6.2.4 Confidentiality**

The RISAB shall ensure confidentiality of the information obtained in the course of its supplier approval at all levels of its organisation. Information received by the RISAB in support of approval shall not be disclosed to any party other than the submitter, the Accreditation Agency, the system administrator, the RISAS Board and any other RISAB contractually involved in the process, without the express written permission of the supplier.

## **B6.2.5 Independence and impartiality of RISAB personnel**

The RISAB shall be independent and impartial in its Approval activities and RISAB personnel must be able to operate in such a way as to be free from the control of personnel who have a direct commercial interest in the Products that are within the scope of the proposed approval. In order to satisfy these requirements on independence and impartiality a number of general principles should be followed:

- a) Any Signatory, Lead Assessor, Assessor and Technical Expert should have no direct commercial interest in the Products that are within the scope of the proposed approval
- b) Where any of these personnel is employed by an organisation which supplies Products to the railway industry, they should have no direct responsibility for these but should hold a position within the company where independence and impartiality can be demonstrated
- c) Any person involved in RISAB activities should not respond or report directly to a manager or head of department who is responsible for the generation of evidence in support of approval, and shall not have participated in the generation of that evidence.

## **7 RISAB Organisation and Responsibilities**

### **B7.1**

The RISAB shall have and maintain:

- a) An up to date organisation chart showing clearly the responsibility and reporting structure of the RISAB.
- b) Defined and documented details of the responsibilities, authority and interrelation of personnel who manage, perform and verify approval work.
- c) The means to identify resource requirements and provide adequate resources, including the assignment of trained personnel for management, performance of work and approval activities.
- d) Details of the appointment by the management of a dedicated member of its own management team with executive responsibility who, irrespective of other responsibilities, shall have defined authority for ensuring the approval system is established, implemented and maintained in accordance with this specification and the requirements of RISAS. This member shall report on the performance of the approval system at the management review meetings.
- e) A registered user designated to be the RISAB's principal interface with the RISAS website.

### **B7.2**

The RISAB shall have or make available the necessary expertise to conduct the approval assessment process.

### **B7.3**

The Assessors, Technical Experts and other personnel of the RISAB shall be competent for the functions they undertake.

### **B7.4**

Personnel undertaking RISAB activities shall have available to them, and be able to demonstrate their knowledge and understanding of, clear documented instructions pertaining to their duties and responsibilities. These instructions shall be maintained up-to-date.

## 8 The RISAB's Management Systems

### B8.1 Management Systems

The Accreditation Agency shall examine the management systems that are relevant to the application of RISAS. These follow in sub-sections 8.2 to 8.16. Sub-sections 8.2 – 8.6 relate to different aspects of competence and training.

### B8.2 Competence Management System and RISAS

The potential or existing RISAB shall demonstrate that it has competent staff possessing the appropriate knowledge, skills and experience in respect of the process for supplier approval in general and in the specific technical disciplines and product groups for which accreditation is being sought as follows:

#### B8.2.1

Personnel involved in RISAB activities shall be subject to a Competence Management System (CMS) and this shall be examined during the Accreditation process. The RISAS Good Practice Guide 'Engineering Excellence into Competence' is available as a reference in this regard.

The RISAB, personnel shall be able to demonstrate appropriate knowledge and understanding of:

- a) The process for Supplier Approval, its limits of applicability and its interface with other rail industry processes.
- b) The company's procedures by which the process for Supplier Approval is operated, and of the responsibilities which this imposes on the RISAB and its role as Assessor and Approver.
- c) The overall roles of the RISAB within the process for Supplier Approval.
- d) The application of risk management techniques in support of RISAS.
- e) The overall framework of railway safety legislation, the Safety Management System interfaces between ORR, Rail Safety & Standards Board, Network Rail, the Train Operating Companies and suppliers, and the role of the process for Supplier Approval within this framework.
- f) The identification and application of the relevant industry requirements including where appropriate Railway Group Standards, European Technical Specifications for Interoperability (TSIs) and Euronorms.
- g) The use of relevant assessment / audit techniques.

#### B8.2.2

In addition to the requirements of B8.2.1, lead assessors shall demonstrate their awareness of the technical requirements of the categories of product groups for which they intend to approve suppliers. Lead assessors should demonstrate that they are aware of their limitations with regards to technical expertise and can specify and arrange technical support as necessary.

#### B8.2.3

In addition to the requirements of B8.2.1, technical experts shall demonstrate their technical knowledge and experience of the categories of Product Groups for which they intend to support the Approval of Suppliers.

#### B8.2.4

The RISAB Signatory shall be a chartered engineer or equivalent.

#### B8.2.5

Throughout RISAS/004 references to the Assessment Team, their competencies and how these are verified, shall be in accordance with those in the following matrix (or equivalent). The RISAB shall demonstrate that personnel approved to undertake approval activities continue to satisfy the requirements. Each role shall be independent of others and the RISAB Signatory shall not be part of the Assessment Team.

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## Guidance on Qualifications and Experience:

Role	Activities undertaken	Required Competence (Qualifications/ Work experience/Training)	Method of verification	Comments
<b>RISAB Manager</b>	Manage RISAB internally and interface with the Accreditation Agency.	Senior Manager, may be a Chartered Engineer.	Discussion.	Likely to lead maintenance and development of RISAB's Management Systems.
<b>RISAB Signatory</b>	Set scope, agree assessment details, approve report and authorise approval to be registered on the RISAS website.	Chartered Engineer with significant (at least 10 years) rail industry and assurance / audit experience and understanding of Risk Management.	Review documentation and interview.	May be interviewed on RISAB's Management Systems.
<b>Lead Assessor</b>	Lead all aspects of supplier assessments and recommend Approval.	Minimum 10 years' experience in engineering, preferably railway, with minimum HNC (or equivalent) qualification. Have experience and demonstrable skill as a lead assessor (attendance at an IRCA registered or equivalent lead assessor course is desirable but not in itself sufficient). An understanding of railway standards and risks and general risk management. The appendices of ISO 17021:2011 provide guidance regarding the desirable attributes of a lead auditor (assessor).	Review documentation and interview, followed by monitoring of undertaking assessment work as determined by the RISAS Accreditation Agency.	Is required to lead a minimum two person assessment team with the appropriate experience for all products / services to be considered for Approval.
<b>Assessor</b>	Assess suppliers in support of Lead Assessor, working towards lead assessor with route agreed with RISAS Manager.	Minimum 5 years' experience in engineering (preferably railway). Understanding of railway standards and risks. Existing audit experience.	Check on CMS and a % sample interviews, determined by the Accreditation Agency (initially this would typically be 100%).	
<b>Technical Expert</b>	Giving technical support to Assessors.	Minimum 10 years railway engineering experience with understanding of railway standards and risks, Experience* of the product groups to be assessed is essential.	Review documentation and interview a % of Technical Experts determined by the Accreditation Agency (initially this would be expected to be 100%).	(*being a combination of the key technical (design / manufacturing) requirements, maintenance / overhaul processes and operational use)

### B8.2.6

All members of the RISAB assessment team are required to register with the RISAS website. Their relevant areas of competency shall be entered into the RISAB's role matrix on the website. Endorsement of these entries shall be undertaken by the Accreditation Agency as part of the accreditation activities (see section C2).

### B8.3 Competence Management System and Risk

RISAB Signatories and Lead Assessors should have a good understanding of risks in the railway industry and have experience in risk management techniques. They should also be able to demonstrate a good understanding of the principles behind section 5.1 of the Supplier Assessment Module in RISAS/003.

### **B8.3.1**

For those involved in assessments for engineering change, a good understanding of risk management and engineering change should be demonstrated. (see B8.14)

### **B8.3.2**

Assessors and Lead Assessors who are to carry out risk assessments as part of the approval process shall possess an appropriate qualification in safety (risk) management or be able to provide evidence of attendance at a risk assessment course together with evidence of practical application of such techniques.

## **B8.4 Appropriate Competencies**

It is not expected for all organisations applying for accreditation to have competencies covering the whole matrix of product groups. An organisation might, for example, limit its activities to the issue of '*Engineering Change Supplier of repaired or overhauled brake equipment, excluding software*'. There are no limits on the combinations of approval and product groups for which an organisation can be accredited, provided it can demonstrate that it has the appropriate systems, facilities and competencies to carry out the task in each case.

### **B8.4.1**

It is permissible for a technical expert to be associated with more than one RISAB (subject to agreement of the RISAB Managers concerned) to ensure the scheme has the best possible access to the industry's expertise.

### **B8.4.2**

It is permissible for a RISAB to contract in personnel from another RISAB (subject to agreement of the RISAB Managers concerned) in order to make up an assessment team. In such cases, the requirements of section B8.15 shall apply. This clause is not applicable for the role of RISAB Signatory or RISAB Manager.

## **B8.5 Ongoing monitoring of Competence of RISAB Personnel**

The RISAB CMS shall include on-going monitoring of its RISAB personnel and the RISAB shall demonstrate that its personnel continue to satisfy the requirements including:

### **B8.5.1**

The process for monitoring the competence of RISAB personnel may be linked to the RISAB's own internal audits which should be scheduled on a risk basis. The appendices of ISO 17021:2011 provide guidance for monitoring performance of personnel involved in audit activity, including monitoring in the field.

### **B8.5.2**

The RISAB shall maintain competence records of the personnel who work on RISAB activities. These shall be made available as required during the accreditation process.

### **B8.5.3**

The Accreditation Agency shall, from time to time, undertake monitoring activity of RISAB activities (for example: review of reports, field assessments). The RISAB shall use these inputs as part of its CMS including feedback to the individual RISAB personnel concerned.

## **B8.6 Continued Professional Development Log**

All members of assessment teams are required to maintain a Continued Professional Development (CPD) log to demonstrate their continuing competency. The CPD log shall include the following sections as a minimum:

- a) Professional Review Paper (an extended Curriculum Vitae updated annually or on change of responsibility or position within the company), including qualifications and information on experience of the technical disciplines relevant to RISAS and related levels of responsibilities.
- b) An assessment log and for Lead Assessors, an Index of Certificates recommended.
- c) Their work related to applicable industry standards, including reviewing and drafting.
- d) Knowledge and understanding of relevant industry issues and interfaces, and the ongoing development of these, for example noting seminars attended.
- e) Training appropriate to the process of Assessment of Suppliers completed.

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## **B8.6.1**

The CMS should cover all aspects of RISAS related training, including training needs analysis, training records and briefings. Progress with training should be included within management review. Details relating to training needs of a CMS are outlined in ORR Railway Safety Publication (RSP) 1, Principle 8.

## **B8.7 Management review**

A RISAB Manager, with executive responsibility, shall review the RISAB's arrangements for applying the approval system at defined intervals sufficient to ensure its continuing suitability and effectiveness in satisfying the requirements of this specification and the RISAB's Policy Statement and objectives. Records of such reviews shall be maintained as follows:

### **B8.7.1**

As a minimum the review shall cover the following topics:

- a) Internal audits and external assessments of the RISAB.
- b) Management System evaluation including assessment team performance monitoring and training needs (including review of CPD logs and assessment logs) and subcontractor performance.
- c) Any available appeals, complaints and accolades and other customer feedback.
- d) Consideration of previous supplier assessments.
- e) Progress on required actions and preventive actions.
- f) Efficacy of the interfaces with the RISAS Accreditation Manager and the RISAS website.
- g) Policy statement and objectives continued validity.

### **8.7.2**

Actions required as a result of the review shall be recorded and adequately addressed to specified timescales.

## **B8.8 Contract review**

The RISAB shall establish and maintain documented procedures for contract review and for the co-ordination of these activities, as follows:

### **B8.8.1**

Before acceptance of an order or contract with a supplier the order or contract shall be reviewed to ensure that the requirements are adequately defined and that the RISAB has the capability or resources to meet laid down criteria as defined by its scope of accreditation.

### **B8.8.2**

Any terms and conditions supporting the contract between the RISAB and a supplier should be consistent with the terms and conditions for accreditation (see B3.1).

### **B8.8.2**

The RISAB shall identify how an amendment to a contract is made and correctly transferred to the functions within its organisation.

### **B8.8.3**

Records of all contract reviews shall be maintained.

## **B8.9 Document and data control**

The RISAB shall establish and maintain documented procedures to control all documents and data that relate to the requirements of this specification for Supplier Approval under the RISAS process as follows:

### **B8.9.1**

All documents and data shall be reviewed and approved for adequacy by authorised personnel prior to issue. A master list or equivalent document control procedures identifying the current revision status of documents shall be established and be readily available to preclude the use of invalid and / or obsolete documents. Documents of external origin such as standards, drawings and technical literature shall also be controlled as required.

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## **B8.9.2**

Access to appropriate documents shall be available at all locations where operations essential to the effective functioning of the RISAB are performed.

## **B8.9.3**

All obsolete documents should be removed or deleted from all points of use or suitably identified to prevent unintended use.

## **B8.9.4**

When practical, the nature of any document or data change shall be identified either within the document or the appropriate attachments. All documents and data, where possible, shall be reviewed and approved at an appropriate frequency by the same function / organisation that performed the original review and approval.

## **B8.9.5**

A controlled copy of documented procedures in support of the supplier approval process shall be made available to the Accreditation Agency if requested when visiting the RISAB's premises and changes to the arrangements or documentation shall be notified to the Accreditation Agency for its review.

## **B8.10 Control of records**

The RISAB shall maintain a record system applicable to its particular requirements and to satisfy the requirements of the process for Supplier Approval as follows:

### **B8.10.1**

The records, including assessment reports, shall demonstrate the way in which each approval was undertaken including any result. Copies of the reports shall be forwarded to the RISAS database and these shall be subject to restricted access.

### **B8.10.2**

All records shall be securely stored for a period of time consistent with the scope of the assessment. Any notes produced by the assessment team justifying any decisions made during the assessment are to be maintained for at least three years.

### **B8.10.3**

All records shall be stored so as to provide security, ease of retrieval and, in the case of electronic data, to prevent corruption or loss.

### **B8.10.4**

The RISAB shall describe the method of identification, collection, indexing, maintenance and disposition of all pertinent records.

### **B8.10.5**

In the event of a RISAB ceasing to operate, all records associated with the process for supplier approval shall become the property of the Scheme Manager. In accordance with Clause B5.1 above, the RISAB shall grant reasonable right of access and provide assistance to return all associated records to the Scheme Manager.

## **B8.11 Appeals and Feedback**

The RISAS appeals process is described in detail in the Scheme Management document RISAS/005. The RISAB shall have processes to allow it to comply with these details as follows:

### **B8.11.1**

The RISAB shall establish and maintain documented procedures to define the actions taken on the receipt of an appeal against previous decisions or feedback (positive or negative). Such procedures shall be consistent with the requirements of RISAS/005 Appendix A.

### **B8.11.2**

The RISAB shall notify the Scheme Manager, in writing, of any formal complaints raised or appeals made against certification decisions. Where the RISAB is unable to resolve a complaint or appeal itself, it shall notify the Scheme Manager such that the resolution process outlined in RISAS/005 can be initiated.

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## **B8.11.3**

Where the Scheme Manager or Accreditation Agency become aware of any complaint raised against a RISAB, they shall provide the relevant details to the RISAB for consideration and resolution as appropriate. Confidentiality of the informant shall be maintained where requested.

## **B8.11.4**

A record of complaints and appeals shall be held for a minimum of three years and these shall detail any remedial action and subsequent corrective and preventive actions

## **B8.11.5**

The RISAB shall, on a regular basis, seek the views of its clients, for example via review meetings, or write to invite documented feedback to determine the effectiveness of the approval services it has provided. The RISAB should also regularly check for feedback on the RISAS website. Other possible sources of feedback include surveys and questionnaires on completion of any approvals undertaken. Results from review of feedback shall be an input to the management review process.

## **B8.12 Internal audits**

The RISAB shall demonstrate that it has an auditable system for ensuring compliance with industry requirements and its own RISAB processes, including keeping records of Approval work undertaken, to support its initial and ongoing accreditation status. This shall be in accordance with the following:

### **B8.12.1**

The RISAB shall establish and maintain procedures for planning and implementing internal audits to verify whether activities and related results associated with the supplier approval process satisfy its requirements and comply with planned arrangements.

### **B8.12.2**

Audits shall be scheduled on the basis that all RISAB activities (including the undertaking of RISAS Assessments) and all members of the Assessment Team, shall be audited at least once in any twelve-month period.

### **B8.12.3**

Audits shall be prioritised according to the criticality of the activity to be audited and recent performance of that area of the RISAB's processes, to determine the ongoing effectiveness of the approval system.

### **B8.12.4**

The results of audits shall be recorded and brought to the attention of the RISAB's management. Any follow up action shall verify and record the implementation and effectiveness of the corrective action and any preventive action taken.

### **B8.12.5**

Results of all audits and any actions taken shall be presented to the management review.

## **B8.13 Control of non-conformance**

Procedures shall be in place for the correction of non-conformance detected during audits (internal and external), accreditation meetings, peer review or other sources.

## **B8.14 Engineering Change**

Engineering change applies to specific sections of the Supplier Assessment Module (RISAS/003). These include:

- a) Overhaul / maintenance / repair specification.
- b) Materials specification.
- c) Manufacture/ repair techniques.
- d) Software.
- e) Manufacture/ repair sub-suppliers.
- f) Works / Manufacturing site.
- g) Introduction of a new part, design or procedure.

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- h) Personnel competence requirements.

The following requirements on Engineering Change apply:

#### **B8.14.1**

Approval of 'engineering change' suppliers requires an enhanced level of capabilities compared to a 'standard' supplier. This applies to the capabilities of the RISAB to assess and to the supplier to deliver engineering change. The supplier requires appropriate procedures, capabilities and competencies as set out in the Supplier Assessment Module (RISAS/003).

#### **B8.14.2**

The RISAB requires appropriate capabilities to assess engineering change suppliers as follows:

- a) Procedures that set out how to measure and approve all of the supplier capabilities in the supplier assessment module.
- b) Personnel who are competent to assess those aspects of the supplier's capabilities for which specific engineering change requirements exist within the Supplier Assessment Module (RISAS/003)
- c) Managers who are capable of ensuring that competent assessment teams assess all the supplier capabilities for the product groups requiring approval.

#### **B8.14.3**

RISAB staff involved in approval of suppliers for Engineering Change should be familiar with the requirements of current legislation and associated documentation relating to engineering change. (This is summarised on the 'management of engineering change' page of the RSSB website [www.rssb.co.uk/ManagementOfEngineeringChange](http://www.rssb.co.uk/ManagementOfEngineeringChange)).

#### **B8.15 Sub-contractor control**

The following requirements shall apply where the RISAB uses sub-contractors or self-employed personnel in the performance of activities associated with the approval process:

##### **B8.15.1**

The RISAB shall establish and maintain documented procedures to ensure that the scope and terms of any purchased sub-contract service is clearly understood.

##### **B8.15.2**

The RISAB shall evaluate and select sub-contractors or self-employed personnel on their ability to meet the requirements of this document and ensure that the sub-contractor has personnel who are competent to undertake the work allocated. The type and extent of control exercised is dependent on the requirements of the service.

##### **B8.15.3**

The RISAB shall establish and maintain an approved sub-contractor list along with suitable records relating to each contracted individual to determine their suitability.

##### **B8.15.4**

Contract documents (RISAB to sub-contractor) shall contain all data on assessments sufficient to define the scope and terms of the contract, including the details of the product groups to be approved

##### **B8.15.5**

Where work is sub-contracted, the RISAB shall ensure that relevant records of its sub-contractor's activities are retained by the RISAB as part of the record of the assessment concerned.

##### **B8.15.6**

Where considered appropriate, the RISAB shall undertake verification at its sub-contractors' premises. The RISAB should be afforded reasonable right to carry out verification of the sub-contracted activities and personnel.

#### **B8.16 Risk Management**

RISAS is a risk-based approval scheme. Consequently, the RISAB shall ensure that its approval processes are risk based and that staff are appropriately trained in risk management. Section 8.3 makes specific references to risk management and competence.

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

## 9 Relationship of RISAS/004 with ISO17065 and ISO:9001

### B9.1

Some requirements of this specification are similar to the requirements of ISO 17065 relating to the Requirements for Certification Bodies and to BS EN ISO:9001:2008, Quality Management Systems Requirements. These are:

Title	RISAS/004	ISO 17065	ISO 9001
Certification (Approval) System	Part D 3	7	4
Policy Statement	Part B: 6.2.3	8.2	5.3
Organisation / Responsibilities	7.1	5	5.5.1
Training	8.2-8.6	6.1.2	6.2.2
Management Review	8.7	8.5	5.6
Contract Review	8.8	7.3	7.2.2
Document and Data Control	8.9	8.3	4.2.3
Control of Records	8.10	8.4	4.2.4
Internal Audits	8.12	8.6	8.2.2
Control of Non-conforming Product / Service	8.13	8.7 and 8.8	8.3
Subcontractor Control	8.15	6.2.2	7.4.1

### B9.2

Where a RISAB (or its parent organisation) operates a recognised management system in accordance with ISO 9001 or ISO 17065 / ISO 17021, evidence of compliance with that standard shall be taken into account when planning and assessing compliance with the requirements of this specification. Alternative recognised systems, whose scope covers aspects of RISAS activity, may be taken into account if the Accreditation Agency considers it appropriate.

## 10 Related Documents

### B10.1

RISAS has a suite of documents for the different aspects of the scheme.

- The Principles of RISAS are detailed in RISAS/001.
- The RISAS Board arrangements are described in RISAS/002.
- The requirements for Supplier Approval are defined in the RISAS Supplier Assessment Module (SAM) RISAS/003.
- Scheme management arrangements are described in RISAS/005.

## 11 Appeals Process

### B11.1

Following a refusal to grant accreditation to a potential RISAB, the applicant has the right to appeal to the RISAS Board; details of the process are included in RISAS/005.

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

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## 12 Further Information

### B12.1

Guidance on RISAS is available on the RISAS web site ([www.risas-online.org](http://www.risas-online.org)).

### B12.2

Further enquiries regarding the process for the accreditation of RISABs and guidance on the interpretation of this standard can be obtained from:

#### **RISAS Accreditation Manager**

**RSSB**

**Block 2, Angel Square**

**1 Torrens Street**

**London**

**EC1V 1NY**

**Tel: 020 3142 5588**

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

## Part C Accreditation

### 1 Accreditation of the RISABs

#### C1.1 Gaining and Maintaining Accreditation to act as a RISAB

The Accreditation process is managed on behalf of the RISAS Board by the Accreditation Agency and is conducted in line with this specification and the requirements of the Supplier Assessment Module (SAM) given in RISAS/003

#### C1.2 Stages of accreditation

The stages in gaining accreditation are as follows:

##### C1.2.1

Discussions between the prospective RISAB and the Accreditation Agency on the scope of Accreditation which is sought.

##### C1.2.2

Preparation by the Accreditation Agency of a formal proposal setting out the commercial arrangements for the assessment and any agreed on-going surveillance of the organisation's activities as a RISAB.

##### C1.2.3

Submission of a formal application by the prospective RISAB to the Accreditation Agency for accreditation which signifies a commercial agreement; this shall be in accordance with the Terms and Conditions for Accreditation.

##### C1.2.4

Referral by the Accreditation Agency to the RISAS web site, which gives full details of the requirements for an organisation to be accredited as a RISAB.

##### C1.2.5

Start-up assessment by the Accreditation Agency, principally at the candidate company's premises, of the approval system to be employed. The assessment includes a review of all policy statements, documented procedures associated with the approval system (in particular the CMS) and an assessment to determine the level of compliance with this specification (especially Part B) and applicable industry requirements.

##### C1.2.6

Subject to agreement by the company to close out required actions within an agreed time scale, and provided that the CMS for the personnel involved in RISAB activities (including sample interviews of potential members of the Assessment Teams) is found to be acceptable, the company may be accredited to act as RISAB, from an agreed date, for a defined period of time of between six months and three years.

##### C1.2.7

Prior to the expiry of the time period for addressing required actions, the Accreditation Agency shall undertake further assessment to establish that the required control systems have now been established and that the organisational structure is such that the necessary assurance can be given. Dependent on the nature of the required actions, this may be conducted at the candidate company's premises. Subject to close out of required actions by the date of any follow up accreditation assessment, the company accreditation shall be confirmed for a period of between six months and three years.

##### C1.2.8

The accreditation period and the scope of the accreditation in terms of Product Groups levels 1 and 2, 'Engineering Change' or 'Standard' and any other relevant information, such as exclusions, is registered on the RISAS website, for prospective RISAS suppliers to see.

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

## **C1.2.9**

The decisions on the granting of accreditation and the period granted depends on the assessment of the RISAB. The reasons for the decision shall be recorded within an accreditation report which documents the results of all assessment activities. Factors for consideration may include confidence in the management systems (in particular competence management) and personnel, previous record of product group approval (for same product group and others), the risks involved and the norms for the industry. Endorsement of the decision to accredit shall be made by a Senior Engineer within the Accreditation Agency who has not otherwise been involved in the accreditation process.

## **C1.3 After Accreditation**

The RISAS website automatically notifies the RISAB prior to the expiry of the time period of accreditation that re-accreditation is due. It is then the responsibility of the RISAB to request re-accreditation, if desired:

### **C1.3.1**

A formal assessment shall be conducted by the Accreditation Agency at the company's premises in order to consider re-accreditation of the RISAB. This assessment includes a full review of supplier approval work undertaken by the RISAB. The decision on the granting of the re-accreditation and the period granted depends on the assessment of the RISAB. The reasons for the decision shall be recorded within a re-accreditation report which documents the results of all assessment activities. Endorsement of the decision to re-accredit shall be made by a Senior Engineer within the Accreditation Agency who has not otherwise been involved in the accreditation process.

### **C1.3.2**

Once accredited, a RISAB shall inform the RISAS Accreditation Agency if additional staff performing RISAB activities have been employed. The RISAB's management systems are assumed to give the necessary assurance on competence; however, the RISAS Accreditation Agency may determine whether or not to interview such staff and shall certainly interview new RISAB Signatories and Lead Assessors. Any additional / altered staff details shall be endorsed via the RISAS website role matrix.

### **C1.3.3**

The Accreditation Agency may undertake follow up visits and observe new RISABs on their first assessment or may apply other forms of monitoring as felt appropriate (for example reviewing assessment reports).

### **C1.3.4**

The Accreditation Agency shall undertake periodic monitoring of established RISABs via a combination of on-site observation, review of assessment reports and industry feedback. Such monitoring activity shall normally be undertaken as part of any re-accreditation activity but may occur out-of-course, in response to any concerns it has, for example after review of reports or issue of NIR which questions the efficacy of a supplier's RISAS approval. Feedback from all such monitoring activity shall be provided by the Accreditation Agency to the RISAB at the earliest possible opportunity to allow timely response to any issues raised.

## **C1.4 Changes to Scope of Accreditation**

The RISAB can at any time make a request to the Accreditation Agency for a change in the scope of their accreditation. Such a change in scope shall be regarded as an alteration to the commercial agreement with the Accreditation Agency and a further proposal and application will be necessary.

### **C1.4.1**

Should a RISAB wish to terminate their accreditation voluntarily, 90 days' notice in writing shall be given to the Accreditation Agency to allow alternative arrangements to be put in place for any affected parties (eg suppliers currently approved by the RISAB). A RISAB retains certain residual on-going liabilities after ceasing to operate as a RISAB, e.g. as outlined in the Terms and Conditions for accreditation.

## **C1.5 Suspension and Withdrawal of Accreditation**

When a significant or persistent non-conformity with accreditation requirements is substantiated, either as a result of surveillance / monitoring or otherwise, the Accreditation Agency shall act as follows:

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

## C1.5.1

The Accreditation Agency shall formally advise the RISAB in writing of the details of the non-conformity at the earliest possible opportunity. The reason why the non-conformity is considered significant should be explained (with reference to the area(s) of the scheme documentation affected), together with a statement to the effect that failure to respond satisfactorily could result in suspension of accreditation status.

## C1.5.2

Depending on the response from the RISAB, the Accreditation Agency shall consider the following options:

- a) Continuation of accreditation under conditions specified by the Accreditation Agency (for example increased surveillance).
- b) Reduction in the scope of accreditation to remove areas of risk.
- c) Suspension of the accreditation pending remedial action by the RISAB.
- d) Withdrawal of the accreditation.

The Accreditation Agency should use all reasonable endeavours to encourage a positive response from the RISAB and regard suspension / withdrawal as a last resort. Reasonable time should be afforded to the RISAB to implement agreed corrective actions.

## C1.5.3

Where the RISAB considers that the Accreditation Agency is acting unreasonably, then they can appeal to the RISAS Scheme Manager (that is prior to any suspension or withdrawal being enacted).

## C1.5.4

Where suspension or withdrawal of a RISAB's accreditation status is necessary, the Accreditation Agency shall modify the recorded details of the accreditation status of the RISAB on the RISAS website and advise the Scheme Manager so that any affected suppliers can be advised.

## C1.5.6

If accreditation is suspended, the Accreditation Agency shall confirm with the RISAB in writing the actions needed to end suspension and restore accreditation.

## C1.5.7

If certification is reinstated after suspension, the Accreditation Agency shall modify the recorded details of the accreditation status of the RISAB on the RISAS website and advise the RISAS Scheme Manager such that all affected suppliers are advised.

## C1.5.8

If accreditation is suspended or withdrawn then the RISAB has the right of appeal to the RISAS Board (in accordance with RISAS/005, Appendix A). The RISAS Board shall not otherwise be involved in the decision-making process regarding suspension or withdrawal.

## 2 Assessment of Personnel Undertaking RISAB Activities

### C2.1

Each RISAB has a defined scope of accreditation, which is defined by the combined range of competences registered on the RISAS website role matrix for each RISAB (see B8.2.6). Before this scope is granted the RISAB shall have demonstrated effective management systems, especially a CMS covering all personnel involved in RISAB activities. All of these personnel are not required to have knowledge and experience of all product groups covered by the scope; however, the RISAB is required to have access to competencies covering all of these groups to a satisfactory depth.

### C2.2

Technical experts are used to complement the expertise of the assessors where necessary. They are not required to be experts in the supplier approval process but shall have expertise in the fields in which they assist the assessors.

### C2.3

Further guidance on the qualifications and experience necessary for a person to be considered as a member of an assessment team is given in B8.2.

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

## C2.4

During the accreditation process members of assessment teams may be interviewed in order to verify the management systems, in particular the CMS. Interviews shall focus on competence issues and may include consideration of:

- a) The supplier approval and product groups to be considered and the individual's knowledge and understanding of the process for supplier approval.
- b) CPD logs, assessment logs, and other relevant documentation.
- c) The individual's career history to determine their knowledge and experience of the products under consideration and the techniques (for example risk assessment) required during the approval process.
- d) The individual's knowledge and understanding of the applicable legislation and regulations.
- e) Audit reports and RISAS assessments already undertaken or contributed to by the individual.

A summary of findings and feedback with any observations shall be provided by the interviewer to the interviewee.

## C2.5

It is intended that interviews of assessment team members are one-to-one sessions to confirm the competency of the individual. However it is permissible for a management representative of the RISAB to be present to witness part of the discussions in order to help establish if any further training or experience is required for the individual.

## C2.6

Subject to the Accreditation Agency being satisfied that the appropriate competences have been demonstrated (in accordance with B8.2.1 to B8.2.5), via whichever means are deemed appropriate, the competences indicated on the RISAS website role matrix shall be endorsed by the Accreditation Agency, thereby allowing the scope of the RISAB to be reflected on the website.

## C2.7

In addition to reviewing the RISAB's internal audit, CMS and training records relating to RISAB personnel, the Accreditation Agency may monitor individuals as part of re-accreditation activities. Specifically, the role of Lead Assessor is seen as critical to the delivery of the scheme as intended in an assessment scenario. Therefore, periodic monitoring of RISAB Lead Assessors at client locations shall be undertaken to confirm competence of this role; specifically this shall be undertaken at the first assessment led by a newly appointed RISAS Lead Assessor. Such monitoring should seek to establish that:

- a) The Lead Assessor is thoroughly familiar with the requirements of the SAM and actively using it during assessment.
- b) Issues raised are identified against SAM requirements and subject to clearly defined improvement actions.
- c) In the event of dispute or other resistance on the part of a supplier to an issue raised, the Lead Assessor is able to robustly defend the scheme requirements.

Due cognisance shall be taken of any monitoring in the field undertaken by the RISAB of its own personnel.

## C2.8

In the event that an individual's continued competence to be involved in approval activities is questioned, it may be necessary for the Accreditation Agency assessor to review the product group categories which may be accredited with the RISAB's scope and / or for the individual concerned to undergo a further interview to establish the current level of knowledge and experience.

## C2.9

Where an individual working on RISAB activities is unable to demonstrate the required levels of knowledge and overall competence, the RISAB shall be set an agreed timescale to take appropriate action.

## 3 Measuring the Effectiveness of the Approval Process

### C3.1

Whenever an accredited RISAB is undertaking RISAS certification work, they shall keep records to demonstrate the effectiveness of its services. The Accreditation Agency shall review the RISAB's performance during surveillance visits and when re-accrediting should see records such as the following:

- a) The RISABs speed of response to the initial enquiry by the customer.
- b) The speed with which the approval work was carried out.
- c) How quickly certification was awarded on completion of the approval work.
- d) The professionalism and competence of approval personnel during the process.
- e) If approval was refused, was the customer advised of the reason(s) for this?
- f) The professionalism in determining the scope of certification.
- g) Were the costs of approval considered by the customer to be reasonable?
- h) How easy was it for the customer to obtain guidance on the process for supplier approval from the RISAB and / or from the Accreditation Agency?
- i) Were the quoted time-scales adhered to and any declared deadlines met?

The list shown above is not exhaustive and Accreditation Agency shall review RISAB procedures to determine compliance with the requirements.

## 4 Product Groups

### C4.1 Product Groups

The list of product groups, showing levels 1, 2 and 3, is available as a self-standing document on the public area of the RISAS website.

## Part D The Approval Process

### 1 Approval Assessment Procedures

#### D1.1

The RISAB shall establish and maintain documented procedures that identify, plan and control its approval process in accordance with the requirements of RISAS/003.

#### D1.2

The documented procedures shall encompass all stages of the approval process from the receipt of supplier approval requests, tendering for (RISAB-supplier) contracts, acceptance of contracts, to the award of certification and subsequent monitoring.

#### D1.3

In particular, the documented procedures shall include the processes for:

- a) Receipt of requests for supplier approval.
- b) Identification, recording and reviewing new and emerging industry requirements to determine their effect on existing and future contracts.
- c) Review of contract and technical specifications and the determination of the scope of the assessment and the initial scope of the supplier approval after consideration of the requested product group(s) and the necessary competencies for the assessment team.
- d) Carrying out pre-assessment activities (including identification of supplier's current contracts, representative product groups, sub-supplier activity and general industry intelligence), leading to the production of the required detailed assessment arrangements, for example checklists and the assessment programme.
- e) Detailed consideration of the questions in the Supplier Assessment Module (SAM) and any relevant briefing notes to determine, via a risk based approach, the topic areas to be assessed.
- f) Obtaining the necessary evidence to demonstrate that all aspects of the SAM relating to the scope of the assessment have been met, clearly documenting the results which demonstrate conformance.
- g) Preparation and use of appropriate risk assessment techniques including the documenting of such assessments.
- h) Defining the required actions (Note definition in RISAS/001).
- i) Defining of the final scope for approval (which may have changed as a result of the assessment activity), including the period of its validity, product groups, timescales, limitations and required actions to be closed out.
- j) Peer review of the assessment team's output, completed by the RISAB Signatory prior to the authorisation of the Approval, to confirm the validity and scope of the assessment work and corresponding proposed approval.
- k) Writing a concise report (see D3) which describes the Assessment process applied and the assessment findings.
- l) Monitoring approvals, following up NIRs, progress with required actions, etc.
- m) Amendment, suspension or withdrawal of certification.

## 2 The Assessment Process

### D2.1

The RISAB is required to manage the supplier approval assessment set out in the 'Supplier Assessment Module' RISAS/003.

### D2.2

In planning and conducting the assessment and in the writing of the approval scope, careful consideration should be given to the site(s) that the approval covers.

## 3 Approval Assessment Reports

### D3.1

The RISAB's approval assessment reports shall cover the requirements of the SAM sections B1 to B9.2 and should preferably be structured on the same basis (as a minimum clearly referenced) so that reports can be easily viewed for good practice. Reports should be produced to the timescale requirements specified in RISAS/003 Section 4.1.1.

### D3.2

The report shall contain as a minimum:

- a) An executive summary.
- b) An introduction outlining the scope of assessment and approval sought.
- c) Summary of any pre-assessment activity.
- d) Description of the assessment activity against the SAM sections B1 to B9.2.
- e) Informative description of the overhaul process(es) from start to finish.
- f) Details of non-conformities and corresponding required actions identified.
- g) Conclusions and recommendations.
- h) Scope of the approval being recommended, including product groups covered, 'Engineering Change' or 'Standard' supplier and the period(s) of approval.

The following should be considered for inclusion to aid understanding and to provide a 'benchmark' for future assessments:

- a) Detailed organisation charts.
- b) Site layout plans and production engineering flow diagrams.
- c) Asset register for production equipment utilised for overhaul of critical products within the scope of approval.
- d) Quality management system (QMS) document / data control master list including identification of status.
- e) Details of related certification held (for example standard, issuing authority, expiry date).
- f) Illustrations where appropriate (for example diagrams, photographs, quality records sampled).
- g) Areas of good practice.

The report shall be written in a concise, narrative style, clearly documenting the results that demonstrate conformance. Where non-conformities exist, the report should provide sufficient detail to clearly explain the nature of the finding and the area of the SAM affected.

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

## D3.3

A copy of the full assessment report shall be uploaded to the RISAS website to support the relevant approval. The assessment report shall be treated confidentially and shall only be available (hard copy and electronically) to the RISAB, the assessed supplier, the Scheme Manager, and the Accreditation Agency.

## D3.4

The full assessment report shall clarify whether the approval being granted is dependent on the close out of any required actions or whether approval may be granted before closeout. In the latter case the monitoring and the closeout requirements and dates shall be made clear.

## D3.5

An executive summary shall be created for uploading on the website as per the template set out in Appendix B. The content of the executive summary should be agreed between the RISAB and supplier prior to submission for uploading. Failure to agree the content of the executive summary between the RISAB and supplier shall invoke the resolution process with the Scheme Manager (see RISAS/001).

The executive summary shall be updated following each assessment activity, whether that be a planned assessment or following RISAB review of a significant change affecting the approval (see RISAS/003 clause 4.4.6).

## D3.6

Subsidiary reports may be required to support the following scenarios:

### D3.6.1 An interim approval (as per RISAS/003 clause 3.9.5).

An interim summary report shall include an evaluation of risk to take into account the situation that led to an interim approval being required, together with the controls (limitation) that might be placed on the approval and the actions required to secure a full approval.

### D3.6.2 An interim surveillance (as per RISAS/003 clause 4.1.1)

An interim surveillance report shall include progress with required actions against the agreed monitoring programme, a description of any changes (not otherwise pre-declared to the RISAB) together with a sample of existing processes. Although a surveillance report is likely to be more concise than a full assessment report, the principles of clause D3.2 should be considered in its compilation.

### D3.6.3

For either an interim approval or interim surveillance, a copy of the report shall be added to the RISAS website to reflect the updated nature of the approval.

## 4

### Certification Control

#### D4.1 Award of Certification

The RISAB shall exercise proper control over the issue of supplier approval certificates on the RISAS website, which is the primary means for demonstrating a supplier's certificated status. A supplier is permitted to print out a hard copy list of its certificated product groups which for example could be used as a certificate for presentational purposes if desired.

#### D4.2

After the assessment team has undertaken the assessment, the Lead Assessor recommends the final scope of approval. This may be different from the proposed scope of the assessment initially requested by the supplier. The RISAB Signatory shall confirm the final scope of Certification, subject to a review of the assessment activities (in accordance with RISAS/003 clause 4.3.1), by authorising the updating of the RISAS website to certify the supplier for each of the product groups for which they have been successfully assessed.

The period of approval can be between 6 months and 3 years; however for the first assessment one year would normally be the maximum period. Longer term approvals shall be based on strong evidence of the supplier's stability, for example excellent performance and have appropriate controls in place (for example periodic provision of a supplier produced performance report or surveillance by the RISAB).

# Accreditation of Approval Bodies within the Railway Industry Supplier Approval Scheme

#### D4.3

The certification of a supplier by a RISAB confirms that a systematic and risk based assessment has been carried out in accordance with RISAS requirements (set out in RISAS/003) using selected product groups that are representative of the overall product group(s) approved in the final scope.

#### D4.4

The certification details on the RISAS website for each product group include:

- a) The number code for each product group as per the published product group list on the RISAS website.
- b) The name of the product group.
- c) The date of certification for the product group.
- d) Name of the RISAB that undertook the certification.
- e) The date that the certification for the product group expires.
- f) Whether the supplier has been approved as an 'Engineering Change' or a 'Standard Supplier' for that product.
- g) Any limitations or restrictions, for example locations.

#### D4.5

The RISAS website allows the details of the certification awarded to be viewed and interrogated.

#### D4.6

When the approval has been confirmed the executive summary shall be published on the RISAS website, concurrent with certification being issued. The executive summary shall be available to view by anyone with an approved RISAS logon.

#### D4.7

Following a certification being issued, the RISAB shall maintain on-going monitoring of the approval in accordance with the requirements outlined in RISAS/003 Part A4.4. In the event of suspension or withdrawal of certification, the supplier is entitled to appeal, as outlined in RISAS/005 Appendix A.

#### D4.8

The certification of a supplier without the necessary justification, or where the requirements of the supplier approval process have not been met, shall be sufficient grounds for immediate suspension or cancellation of the RISAB's accreditation.

## Appendix A Guidance on the Application of Professional Judgement

Assessors should be able to:

- a) Detect whether and how the statement of high level commitment is reflected in shop floor attitude and action.
- b) See how the 'big picture' is likely to impact on the shop floor.
- c) Understand the risks to the railway posed by the products included in the assessment.
- d) See what is of critical importance and what is less so.
- e) Know when to leave alone and when to dig deeper.
- f) Identify the root causes of problems and anticipate what else they might impact on.
- g) Understand the likely impacts of change including across interfaces.
- h) See beyond the systems and paper to actual practice.
- i) Have sufficient knowledge of the product and its key design / manufacturing aspects to be able to prioritise scrutiny of likely problem areas.
- j) Have an appropriate and commercial awareness of the operational railway.
- k) Identify where other expertise is needed to support the assessment.
- l) Recognise the relevance of existing certification to the range of RISAS requirements and assess accordingly.
- m) Be able to get interviewees 'on your side' as much as possible.
- n) Be able to suggest remedies and anticipate likely responses and outcomes.
- o) Be able to judge, after all the above (and noting the criteria in C1.2.9 and D4.2), how long the assessed company should be left before they are assessed again.

The above guidance applies equally to the RISAB Assessment Team and the Accreditation Agency but, in particular, to the Lead Assessor.

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## Appendix B Template for RISAS website Executive Summary

This approval is for [RISAS Supplier] based on an assessment undertaken at their [location] facility for supply of selected products from [Product/Service Group(s) Level 1] against the assessment requirements detailed in RISAS/003/001 Issue 2 Supplier Assessment Module and associated Briefing Notes.

The assessment visit was undertaken on [Dates] by a [number] person Assessment Team from [RISAB]. [RISAS Supplier] were assessed as a standard/engineering change supplier.

The assessment confirmed that [RISAS Supplier] hold the following approvals of relevance to the approved product groups:

- [list] (refer to typically ISO9001 and for example EN45xxx/ISO17xxx series, TSI, Unipart Tech Dossier, ACOP/01003, etc – and include name of awarding body)
- 

The assessment included review of work being undertaken on a selection of key products chosen from the product groups which were representative of the approved scope of supply:

- [list] (refer to vehicle/component types, eg Cl.319 power bogies)

Procurement arrangements with the following significant sub-suppliers in support of the approval were confirmed:

- [list] (refer to sub-component types, eg Cl.319 wheelsets)

The assessment resulted in no/a number of Required Actions being raised and observations being highlighted. As a result, improvement actions were endorsed in the following areas:

- [list] (refer to SAM section, eg SAM7 Competency Management)
- 

These Required Actions, are subject to an agreed action plan which will be monitored by [RISAB] and closed out prior to/during the next reassessment

A number of good practices were observed in the following areas:

- [list] (refer to SAM section, eg SAM8 Monitoring and Review)
- 

Approval was confirmed by [RISAB] on [date] and the relevant scope of supply updated on the RISAS website. Based on the evidence established during the assessment the approval of [RISAS Supplier] is valid until [date], subject to the agreed action plan being completed by [date].

*[Overall summary statement by RISAB (free format). Eg “[Supplier] was regarded as having responded constructively to previous findings and has completed a number of major projects to the overall satisfaction of its customers. The newly implemented production scheduling and reporting system is a notable improvement. Further development work in the area of competency is still being progressed”*

*[Overall summary statement by Supplier (free format)]. Eg “[RISAB] has reviewed our processes and recognised the progress made since the previous assessment. Further opportunities for improvement have been identified going forward”*

For full and complete details contact the supplier...