

Category 1 Standard

S1011 Product Acceptance and Registration



**Please read the Written Notices
attached to this standard**

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1 Purpose

- 1.1 The purpose of this Standard is to define the minimum requirements for the acceptance and registration of physical products, processes and services.
- 1.2 The objective of this Standard is to:-
- Protect LU from unacceptable risk (In this context the risks may relate to safety, service performance, environment and the Company's assets, finance and reputation)
 - Provide a consistent and objective basis for the assessment and approval of products, processes and services
 - Provide a product acceptance process that is comparable with the system used by the UK national railway in order to assist suppliers and simplify cross acceptance
 - Provide a more detailed set of requirements for changes to products related to engineering assets than provided for in the over-arching standard for Assurance S1538
- 1.3 This standard does not set out a single prescriptive process for Product Acceptance. Each case must be considered on its merits, using a risk based approach. The intention of this standard therefore, is to set out the main principles and minimum requirements for a framework within which products can be assessed for their acceptability for use on the network.

2 Scope

- 2.1 The requirements set out in this Standard apply to physical products, including components, assemblies, embedded software, firmware and data and systems, and to processes and services which, if not fit for purpose, could expose LU to unacceptable risk. These are referred to collectively as 'Products' throughout this document.
- 2.2 The requirements set out in this Standard apply in the event of any change to a Product. 'Product Change' is defined as:-
- The introduction of new Products
 - Changes to the design, use or maintenance of approved Products
 - Changes to the materials or manufacturing process used in the supply of approved Products
 - Changes to the supply arrangements of approved Products
 - Trials or testing of new products on the railway infrastructure
- 2.3 This Standard covers the requirements for the:-
- Management of Product Change from the application for acceptance through to approval and registration
 - Maintenance of the records associated with Product acceptance
 - Management of subsequent changes to approved Products including the provision for the withdrawal of approval
 - Essential features of registers for approved Products
 - Suppliers of Products and the supply arrangements
 - Verification of compliance with limitations or conditions of approval

- 2.4 There are no restrictions on who can apply to LU for a Product Change to be approved; the 'applicant' may be an LU employee or an external party.

3 Requirements

3.1 General Principles

- 3.1.1 All Product Changes (as defined in section 2 above) shall be subject to an assessment to determine the following:
- Business justification and commercial acceptability
 - Engineering and safety acceptability
 - Operational and maintenance readiness

Note: The scope of the assessment shall be appropriate to the level of potential risk. See section 3.1.11

- 3.1.2 All applications for Product Change assessment, including those from external parties require a Product Sponsor.
- 3.1.3 The Product Sponsor shall confirm that there is a requirement for the Product in question.
- 3.1.4 The Product Sponsor must be an LU employee.
- 3.1.5 Where the Applicant is an LU employee they may also act as the Product Sponsor for the application.

Note: The Product Sponsor should not be confused with the 'Sponsor' role in Strategy & Service Development (S&SD). The Product Sponsor can be any LU employee.

- 3.1.6 All applications must be submitted using the electronic Approved Product Register (see section 3.2).
- 3.1.7 The Profession Head most relevant to the asset type and its intended use shall make the decision as to whether the Application constitutes a Product Change which requires formal acceptance.
- 3.1.8 The Product Sponsor shall consult with Commercial and S&SD first, to ensure that any business concerns or opportunities are identified before proceeding with any other aspects of the assessment.
- 3.1.9 The Profession Head most relevant to the asset type and its application shall lead the remainder of the assessment.
- 3.1.10 Where the Product Change could reasonably be associated with more than one Profession Head, agreement shall be reached among them for one to take the lead.
- 3.1.11 Where the Product has multiple uses, the lead Profession Head shall obtain approval from the most relevant Profession Head for each use (i.e. different Profession Heads may approve a single product for different applications/uses). Notwithstanding the number of different approved uses, the Product shall occupy a single entry in the Approved Products Register.