



RESEARCH DESIGNS & STANDARDS ORGANIZATION

Manaknagar, Lucknow – 226011

QO-D-8.1-10

Vendor sample type testing

1.0 Amendment History:

| S. No. | Amendment Date | Version | Reasons for Amendment |
|--------|----------------|---------|---|
| 1. | 12.09.2018 | 1.0 | First issue under ISO 9001:2015. Approved by DG/RDSO on NP-1 to NP-3 of MR/ISO9001/App/QMS/Doc/2018 on date. 07.09.2018. No change in content from previous document no.QO-D-7.1-10 Ver 4.1 of 9001:2008 QMS. |
| 2. | 19.06.2020 | 1.1 | Special DG VD (Vender Development) has joined RDSO and looking after vendor development work. All proposal for ISO procedure related to vendor development , where it was earlier required to get the approval of DG/RDSO, now to be put up to Spl.DG/VD who is now designated as final authority in vendor development matters. DG's note no. DG/Misc. dated 15.Jun.2020 and 16 June 2020 to ED /VDG RDSO/LKO |
| 3. | 15.07.2020 | 1.2 | Changes made In Para 4.4 and 4.6 , based on recommendations of Standing committee duly approved by Spl. DG/VD on 10.07.2020 at Note#12 in E- Office file no. RDSO-MR0ISO(VD-M)/1/2020. |
| 4. | 19.08.2020 | 1.3 | New para added in clause 4.5 after existing first para, based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 51 on 18.08.2020 in the e-office file no.RDSO-QA/M0HQ(ISO)/2/2020.. Recommendations are placed at SN 402-405. on above e- office file . |
| 5. | 17.09.2020 | 1.4 | Existing para 4.3 modified based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 11 on 14.09.2020 in the e-office file no.RDSO-MR0ISO(VRQ)/1/2020-O/oMR/ISO/RDSO-Part(2) . Recommendations are placed at SN 17 on above e- office file . |
| 6. | 04.12.2020 | 1.5 | Existing para 4.3, 4.4 & 4.5 modified based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 28 on 03.12.2020 in the e-office file no.RDSO-MR0ISO (VD-M)/1/2020-O/o MR/ISO/RDSO-Part (1) . Recommendations are placed at SN 37-40 in above e- office file. |

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| 7. | 18.01.2021 | 1.6 | Modification in Para 4.5.3 and new paras 4.5.3.1 , 4.5.3.1.1 & 4.5.3.2 added after para 4.5.3, based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 27 on 12.01.2021 in the e-office file no.RDSO-MR0ISO (VDST)/1/2020-O/o MR/ISO/RDSO-Part (1) . Recommendations are placed at SN 53-58 in above e- office file. |

2.0 Purpose

This document contains directives for vendor approval/vendor registration (multi-sourcing) of items allotted to RDSO by Railway Board/ Spl. DG/VD, RDSO.

This document contains directives specific to type testing of samples.

A set of related documents create the full set of directives for vendor registration process at RDSO. These are listed under para 5.0.

3.0 Scope of Application

This directive is applicable to all units covered by the quality management system of RDSO without any exception.

4.0 Details

Type Testing of samples to be done during fresh registration and subsequently only on need basis as decided by directorate head based on major changes in specification or any other serious reason warranting fresh **type testing**.

4.1 Sample lot

At the time of fresh registration, the firm shall be asked to manufacture a sample lot as per the specification.

4.2 Testing charges

Testing charges shall be levied as per the schedule of charges given in *ref (10)*.

Revised test charges shall not be applicable with retrospective effect in case where the Firm has already deposited the test charges as per the extant rates prior to date of issue of 'Procedure Order' of Finance directorate for revised charges. In case, the date from which the revised charges are effective is after the date of issue of Procedure Order then the date from which revised charges are applicable shall be the cut-off date for levy of revised charges.

4.3 Type Testing Procedure

4.3.1 A digital recording (Video Record or data generated through testing rig/equipment / instrument/ machine) of critical stages (to be decided by the respective QA Directorates head in consultation with the concerned Testing Directorate, based on past experience/records where samples were getting failed) of testing is to be done and it is to be preserved for minimum one-year period, for any reference in future.

4.3.2 In all the cases of Destructive Testing of samples, procedure as detailed in para 4.3.1 above shall be followed.

4.3.3 In cases of NON-Destructive Testing, initially the testing is to be conducted as prescribed in the procedure by nominated official, and in case the some of the initial results are not- conforming to the stipulated requirements, a Confirmatory Testing is to be Cross checked /witnessed by the officer, at least one grade higher than the previous one from the concerned Testing Directorate. The

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Confirmatory Testing process is to be digitally recorded. Before intimating to the firm regarding failure of the sample after confirmatory testing, the Concerned Nodal Director shall ensure that, the stipulated process has been followed and digital recording as detailed above has been done.

4.3.4 The case shall be then be closed and closure advice, along with the test results shall be communicated to the vendor along with its digital recording as detailed in para 4.3.2 and 4.3.3 by the concerned Director, duly informing to the Directorate Head.

4.4 Request for retesting:

If the vendor desires for re-testing of same sample or re-testing of improvised sample, he may do so by submitting the details of technical explanation or corrective action taken to improve the product, as per the case, especially for the parameters which were found non-conforming during earlier testing. In all such cases, the vendor will have to re-register along with submission of reregistration fee and testing charges as applicable, (giving reference of the earlier case) within the stipulated period as detailed below in para 4.5 from the date of closure, then the case may be restarted from the stage where it was closed (as a one-time exception). In case of improvised sample, testing of sample shall be done for all the parameters and in case of same sample, testing of sample shall be done for applicable parameters (parameter in which the sample failed earlier and subsequent remaining tests) as per the specification and laid down procedure. For the items where the number of vendors is less than five (Ref 10), no vendor re-registration fee shall be payable, and decision for closure to be taken by the directorate head.

Any concern including the laid down procedures of testing raised by the Firm shall be submitted in writing to nodal directorate official, which will be examined by the oncerned Nodal Directorate Head in consultation with the testing directorate and taken care during retesting. The decision of Concerned Nodal Directorate in this regard shall be final.

4.5 Retesting of the Sample on the request of the firm

4.5.1 For items requiring testing in RDSO, following procedure shall be followed:

RDSO official will pick up improvised samples from a lot available in the store of firm or manufactured in his presence and seal it as per requirement of RDSO for retesting. In case of request for re-testing of same sample, the sealed sample is already available in RDSO which will be used for retesting.

a) Same Sample:

i) The firm will get itself re-registered and request to RDSO for re-testing of same sample giving details of technical explanation within one-month period from the date of advice of failure. Request of retesting should accompany a bank guarantee valid for at least one year, covering full testing charges, shall be deposited by the firm with the concerned Nodal Directorate. The above provision is to be advised in the failure advice to the firm.

ii) On receiving the valid request (as defined above) for retesting, firm shall be intimated date and approx. time for joint re-testing within one-month period, by the concerned nodal directorate duly giving him notice in advance to join the retesting process.

iii) Retesting of the sample shall be done for applicable parameters (parameter in which the sample failed earlier and subsequent remaining tests) as per the specification and laid down procedure, to be witnessed and jointly signed by Concerned Testing Directorate, Nodal Directorate and the Firm's representative. Digital recording of above retesting will be done by RDSO and preserved for one year by the concerned Nodal Directorate.

iv) In case the sample fails, the bank guarantee will be got encashed by the Nodal Directorate. However, if the sample passes, the bank guarantee will be returned to the firm along with the reregistration charges. The case will be finalized accordingly.

b) Improvised Sample:

i) The firm will get itself re-registered and apply for getting its improvised sample re-tested within six-months. In this case, firm should submit internal test result along with his application and suggestion, if any, for improving the laid down procedure of testing. Having been satisfied with the steps taken by the vendor, the vendor shall be asked to offer fresh samples for re-testing and witness its testing. The firm should be in

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readiness to offer samples prior to the visit of RDSO officials to firm's premises for picking up and sealing the sample for retesting.

ii) Testing of sample shall be done for all the parameters again as per the specification and laid down procedure, for witnessing the Sample testing by its representative. The case will be finalized accordingly.

iii) Digital recording of the critical stages for the process will be done by RDSO and preserved for one year by the concerned Nodal Directorate.

4.5.2 For items requiring testing at firm's premises, following additional procedure shall be followed:

4.5.2.1. In all the cases of retesting of the samples, the process of sample testing is to be Digitally Recorded to be arranged by the firm for the critical parameters and this recording is to be submitted to the Directorate Head, along with the test results, for dealing the case further.

4.5.2.2 The Nodal Directorate shall ensure that, the stipulated process has been followed by seeing the Video Recording for the all-critical parameters of the sample as per prescribed testing procedure and take the decision accordingly. This video is to be preserved by the Directorate for at least one-year period for any reference in the future.

4.5.2.3 In case it is decided that sample is failed and no further testing is required, then the case shall be closed and closure advice, along with the test results shall be communicated to the vendor along with its Digital Recording, by the concerned Director, duly informing to the Directorate Head.

4.5.3 Following protocol will be observed in case of testing of samples:

4.5.3.1 Item sample is to be get tested in sequence of priority as follows: -

1. RDSO Lab
2. Govt. Lab/ NABL.
3. An accredited Lab by an Govt. controlled accreditation agency which meets the criteria mentioned in para 4.5.3.1.1 of QO-D-8.1-10 because of following reasons:
 - i. Due to non-availability of facilities in RDSO.
 - ii. Because of capacity constraint in Govt. Lab/ NABL.
4. RDSO Certified Lab in the firm's premises only after the specific case is approved by Spl. DG/VD if not covered under 4.5.3.2 as mentioned below.

4.5.3.1.1 Criterion for accreditation agencies as mentioned in para 4.5.3.1 above shall be as under:

1. Should be full member and signatory to Mutual Recognition Agreement (MRA) of ILAC & APLAC.
2. Should have established accreditation system in accordance with ISO IEC 17011:2004 or latest version as applicable.
3. Carry out assessment and accreditation of LABS in accordance with ISO/IEC 17025.
4. Should be Govt. Controlled.

4.5.3.2 As per capability requirements, labs created in firms' premises to comply Specification/STR of an item (to be effective from 01.04.21), some tests on the item may be conducted in firms' premises.

Note: Definition of Government Labs

1. All Govt. Labs and testing houses Fully Owned by Govt. and registered as Lab and carrying out Tests for Private Agencies
2. All Govt. PSU,s Labs and testing houses , carrying out Tests for Private Agencies
3. All Labs of Govt. Research Organizations and Govt. Autonomous Bodies, carrying out Tests for Private Agencies

4.6 Failure in retest

In fresh registration cases, if there is no improvement & the samples are found non-conforming for the second time, the case shall be rejected & the vendor shall be informed accordingly.

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However, this shall not apply in cases where no. of vendors are less than five (Ref 10), and the decision for **closure** shall be taken by the directorate head.

In case of failure of the test of existing vendor, appropriate action for serving a show cause notice to firm to improve performance shall be initiated and if firm fails to improve its performance/quality assurance programme within 120 days, action for down gradation / de-listing shall be initiated as required.

However, during this period, inspection of the items manufactured by the firm shall be suspended.

5.0 Referenced Documents

The list of related documents for multi-sourcing of items / equipment are given below.

| Ref. SNo. | Document Number | Document Name |
|-----------|-----------------|--|
| 1. | QO-D-8.1-5 | Application for registration of vendor |
| 2. | QO-D-8.1-6 | Vendor application processing |
| 3. | QO-D-8.1-7 | Relaxation of Vendor registration requirements |
| 4. | QO-D-8.1-8 | Vendor registration EOI |
| 5. | QO-D-8.1-9 | Vendor list |
| 6. | QO-D-8.1-10 | Vendor sample type testing |
| 7. | QO-D-8.1-11 | Vendor changes in approved status |
| 8. | QO-D-8.1-12 | Vendor changes in vendor entity |
| 9. | QO-D-8.1-13 | Quality Audit of Approved Vendor |
| 10. | QO-D-8.1-14 | Vendor registration schedule of charges |

6.0 Referenced Documents of External Origin

None

7.0 Associated Records

As required by the directorate documentation.

8.0 Responsibility and Authority

| Activity | Responsible | Approver | Supporting | Consulted | Informed |
|--|-----------------------------------|---------------------|-----------------------------------|-------------|-----------------------------------|
| Creation, maintenance of this document | MR/ISO Cell | Spl. DG/VD | Staff of ISO Cell | | All directorates through intranet |
| Compliance of directives contained in this document. | Director In-charge of Directorate | Head of Directorate | Directorate Staff | | |
| Requirement of deviation from directive. | Head of Directorate | Spl. DG/VD | Respective officer of directorate | MR/ISO Cell | All directorates through intranet |

9.0 Abbreviations

None

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