

ISO9001:2015	Document No:QO-D-8.1-11	Version No: 1.7	Date Effective: 22.01.2021
Document Title: Vendor - Changes in approved status			



## RESEARCH DESIGNS& STANDARDS ORGANIZATION

Manaknagar, Lucknow– 226011

QO-D-8.1-11

Vendor - Changes in approved status

### 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-7.1-11 Ver 15.1 of 9001:2008 QMS.
2.	08.05.2019	1.1	In whole document 'ADG/RDSO' replaced by 'ADG/RDSO (who is head of LTRR (SRESTHA))'. These changes are based on recommendation of "Standing Committee on Vendor Development and Approval Issues " at NP-26 to NP-28 of Computer Wing's file No. Comp/1.55.07.01 (Pt-I) Vol-III, which is approved by DG/RDSO on date 29.04.2019. Copy is placed at SN-23 of ISO Cell File no. "MR/ISO 9001/App/Vendor Interface Vol-III"
3.	22.06.2020	1.2	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
4.	01.07.2020	1.3	New para 4.1.3 added, based on recommendations of standing committee at NP-22 & Correspondence side SN-108in eoffice file no. RDSO-RES0LKO(ISO)/1/2020 O/o Director /ED/RDSO, duly approved by the competent authority Spl.DG VD at NP-17.
5.	08.10.2020	1.4	Word 'D.G.' replaced by Spl. DG/VD in clause 2.0 and 4.1.1 c , based on recommendation of Standing committee on Note#17 in e-office file no. RDSO-MR0ISO(VDA)/1/2020-O/o MR/ISO/RDSO.
6.	04.12.2020	1.5	New para 4.4 added, based on recommendations of standing committee duly approved by Spl. DG/VD at Note#17 on date 01.12.2020 in e-office file no. RDSO-MR0ISO(VDST)/1/2020-O/o MR/ISO/RDSO . recommendations are placed at SN 20 in abaoe e-office file.
7.	18.01.2021	1.6	Modification in Para 5.1.1 & 5.1.2 and Deleted para 5.1.1.1 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.

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S. No.	Amendment Date	Version	Reasons for Amendment
8.	22.01.2021	1.7	New paras 4.1.3 & 4.1.4 added and existing para 4.1.3 renumbered as para 4.1.5 based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 47 on 12.01.2021 and further clarification given by Standing committee at Note# 57 on 21.01.2021 in the e-office file no.RDSO-MR0ISO (VRQ)/1/2020-O/o MR/ISO/RDSO-Part (1) . Recommendations are placed at SN 2 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 changes of vendor approved status i.e upgradation / down gradation, de-listing and re-listing etc.

A set of related documents create the full set of directives for vendor registration process at RDSO. These are listed under para 8.0.

## 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

### 4.1 Upgradation of fresh vendors from 'List of RDSO Vendors for developmental order' posted on RDSO website to 'List of Approved Vendors'

#### 4.1.1 Prerequisites

The vendors who are in 'List of RDSO Vendors for developmental order' posted on RDSO website shall be upgraded to 'List of Approved Vendors' list only after compliance of all the following conditions –

- The vendor has applied in writing to RDSO for upgradation from 'List of RDSO Vendors for developmental order' posted on RDSO website to 'List of Approved Vendors'.
- The Vendor should meet either criteria i) or criteria ii) below:

Criteria i) The vendor should have supplied minimum specified quantity (N) of material as specified by the concerned Design/QA directorate as a 'List of RDSO Vendors for developmental order' posted on RDSO website vendor

To be in service for a minimum period of one year.

or

15 months from the date of issue of last inspection certificate.

Criteria ii) 'Equipment Months' on basis of in service period can also be considered as qualifying criteria for upgradation.

If 'N' is the minimum specified quantity then minimum Equipment Months for upgradation from date of in service = 12 N

or

Minimum Equipment Months for up-gradation from date of issue of inspection certificate = 15 N  
However, for up-gradation under ii) on basis of 'Equipment Months' shall not be given before 15 months from date of issue of inspection certificate for N/2<sup>th</sup> item.

Criteria whichever is earlier complied with from i) or ii) above can be considered for up-gradation.

**Illustration-** (for calculation of equipment-months for upgradation)

Suppose for any item the specified minimum specified quantity is 100. The firm can be upgraded after completing 1500 equipment-months from date of first supply.

**Scenario 1** .Let the firm's supply details are as under-

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- First supply is made in the month of Dec 2013.

	Quantity supplied (col 1)	Month of supply (col 2)	Months completed from this supply ( as on 1 <sup>st</sup> Jan 2015) (col 3)	Months completed from this supply ( as on 1 <sup>st</sup> Nov 2015) (col 4)	Total cumulative Equip- months (As on 1 <sup>st</sup> Nov 2015) (col 5)
	20	Dec'13	12	22	440
	15	March'14	9	19	285
	30	July'14	5	15	450
	15	Nov'14	1	11	165
	20	Jan '15	0	10	200
Total	100				1540

Thus, as per **Equipment-Months criteria** the firm can be upgraded in Nov2015. Although, it had completed minimum specified quantity in Jan'2015 hence as per **Supply-Time period criteria** it becomes eligible in May'2016.

## Scenario 2

Let the firm's supply details are as under-

- First supply is made in the month of Dec'2013.

	Quantity supplied (col 1)	Month of supply (col 2)	Months completed from this supply ( as on 1 <sup>st</sup> Jan 2015) (col 3)	Equipment-months ( as on 1 <sup>st</sup> Jan 2015) ( col 2X3) (col 4)
	90	Dec'13	12	1080
	50	March'14	9	450
Total	140			1530

Here, the firm has completed required equipment-months on 1<sup>st</sup> January 2015, But it cannot be upgraded as it must fulfill criteria of N/2 quantity for 15 months i.e. 50 items must have completed 15 months. Here 50 items were supplied in Dec.2013. Thus firm is eligible for upgradation in April 2015.

**Note:** Where minimum specified in service period specified is more than mentioned in para (b) (i) above, the equipment months criteria shall be change accordingly e.g. if for an item minimum specified period is 18 months then equipment month will change by factor of  $18/12 = 1.5$  i.e.  $12 N$  becomes  $12 \times 1.5 = 18N$  and  $15N$  becomes  $15 \times 1.2 = 22.5N$ .

- Each Directorate must specify minimum quantity for each item in their directorate procedures for upgradation of the firm from 'List of RDSO Vendors for developmental order' posted on RDSO website to 'List of Approved Vendors'. For certain critical & safety items where it is not possible to evaluate the performance, unless it is monitored upto next overhaul/sufficient period, the directorate head shall prepare the exception list specifying the period for such items and include it in the directorate procedures. If, at any stage directorate need to change the minimum quantity for upgradation, then proposal for same with justification shall be send to Spl. DG/VD for approval.
- Vendor should possess valid ISO 9001 certificate for manufacture of same/similar item at his works address. This is a mandatory requirement for all vendors.

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- e) The name of the firm should appear in 'List of Vendors for Development Orders'.
- f) Service Performance - The performance of the firm should be satisfactory. The performance criteria for each item shall be decided by the Directorate head taking into account the criteria laid down by the concerned design directorate. The performance reports received through web portal of RDSO/through POST up to the date of eligibility of the firm for upgradation shall be taken as performance criteria for upgradation of the firms. Directorate shall ensure that feedback is taken through web portal only and no manual feedback should be asked for. Directorate shall take up the issue with concerned PHODs of zonal Railways on regular basis to ensure the above.

(Reference: - DG/RDSO's DO No. 13/vig/Policy dated 13/11/2014 & CVO/RDSO's Note No. Comp/8.02.10 dated 31/03/2016)

- g) In exceptional circumstances where waiver of laid down conditions for upgradation of firm is required, the same will require prior approval of Spl. DG/VD/RDSO.

**Note:**

Many equipment/items which have RDSO specifications but vendor approval is not done by RDSO are procured by railways on their own. Inclusion of such items as identified by Railway Board in RDSO approved list shall be done by inviting EOI for vendor registration in which existing firms can also participate.

However, after approval of existing firms in 'List of RDSO Vendors for developmental order' posted on RDSO website, the mandatory period of one year for upgradation of firm to 'List of Approved Vendors' can be dispensed with in case firm has already supplied minimum quantity for upgradation from 'List of RDSO Vendors for developmental order' posted on RDSO website to 'List of Approved Vendors' and performance of product supplied earlier was satisfactory

**4.1.2 Time period for applying for upgradation**

The firms classified as 'List of RDSO Vendors for developmental order' posted on RDSO website on the vendor list can apply maximum six months in advance of the date due for upgradation.

The applications which are received between three to six months in advance of the due date for upgradation shall be processed. However status shall be upgraded on the due date subject to the condition that all laid down criteria has been complied with. If any sample is under testing at RDSO, the result of the test shall be considered.

Applications received less than three months in advance of the due date of upgradation, shall be processed. However, delay if any in upgradation with respect to due date, shall be attributable to the late receipt of application.

**4.1.3 Suo moto upgradation of the developmental vendors:**

"On receipt of information at RDSO by the concerned directorate that a Developmental Vendor has fulfilled the upgradation criteria as stipulated at para 4.1.1 above, after completion of 5 years period from the date of entering into vendor directory as Developmental vendor (without any quantity restriction) , the Directorate will initiate, Suo moto the process of upgradation of the developmental vendor as Approved Vendor and informed the vendor to be in readiness for Bidding/Supplying larger quantities as expected from an Approved Vendor for that item.

Letter conveying enlistment as developmental vendor to every new firm henceforth will bear a validity of 05 years period. After lapse of 4 year period from the registration , firm has to provide details to RDSO about efforts/orders executed during the last 4 year period and based on the merit of the case, concerned Directorate may extend validity of the firm's status as Developmental source for further 02 years / may consider for upgrading as approved source.

**4.1.4:** After seven-year period as Developmental Vendor status (without any quantity restriction), if the firm fails to comply with the stipulated upgradation requirements, the firm will be delisted from the list of developmental vendors. A onetime relaxation period of 03 years will be given to all vendors whose registration status is being affected or expected to be affected in next 03 years from the date of issue of this amendment.

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**4.1.5 All foreign firms, applying for upgradation as “Approved vendor” to note conditions in Para 4.2.4 of Document QO-D-8.1- 5 for compliance.**

## 4.2 Penal Actions

Following penal actions can be taken against the vendors:

- i) Downgradation from ‘List of Approved Vendors’ to ‘List of RDSO Vendors for developmental order’.
- ii) Temporary delisting
- iii) Delisting
- iv) Outright Delisting
- v) Banning of business

### 4.2.1 DOWNGRADATION of vendor from ‘List of Approved Vendors’ to ‘List of RDSO Vendors for developmental order’ posted on RDSO website and DELISTING of vendor

#### 4.2.1.1 Prerequisites

The vendors can be downgraded from ‘List of Approved Vendors’ to ‘List of RDSO Vendors for developmental order’ posted on RDSO website list or de-listed from ‘List of Approved Vendors’ or ‘List of RDSO Vendors for developmental order’ posted on RDSO website directly in case of one or more of the below mentioned conditions considering the seriousness & nature of deficiencies and its effects on quality of products.

- i) Complaints regarding poor performance related to quality of product, reported by Railways directly or through Railway Board, if considered serious in nature as decided by head of the directorate.
- ii) Major non-compliance of the approved QAP.
- iii) Withdrawal of ISO-9001 Certification of the firm by certifying agency.
- iv) Premature withdrawal of support/collaboration by the collaborator/OEM.
- v) Any other situation leading to adverse effect on the quality of production.
- vi) Information provided in the application is found to be incorrect.
- vii) If the firm is reported “involved in forming the CARTELS”, by the Railways. ( as per Railway Board’s letter no.-2001/RS(G)/779/4 Pt. I dated 28-03-2014)
- viii) Any other criterion adopted by the Directorate with the approval of Spl. DG/VD.

#### 4.2.1.2 Notice and time bound reply

Down-gradation shall be considered after serving a notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice.

#### 4.2.1.3 Duration of downgradation

The downgradation shall be for a period of minimum one year.

#### 4.2.1.4 Communicating downgradation

Down-gradation shall be communicated in writing to the vendor. All concerned as per distribution of the vendor list, shall also be advised immediately. The certifying body who had issued the ISO:9001 certification shall also be informed in writing through ISO Cell regarding downgradation of the vendor.

The report should be sent to ISO Cell on the form under rec-ref(1).

#### 4.2.1.5 Reinstatement of vendor after downgradation

**Reinstatement from ‘List of RDSO Vendors for developmental order’ posted on RDSO website to ‘List of Approved Vendors’:**

- a) Penal action against the defaulting vendor shall be considered for review only after the vendor applies for the same.

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- b) Reinstatement shall be considered only after a period of Minimum one year. However, the firm may apply for reinstatement 3 months before the expiry of penalization period giving details of corrective action taken.
- c) Verification of corrective action if considered necessary by directorate head may be done by any means such as (i) by doing quality audit (ii) random testing of product (iii) detailed investigation of failure cases (iv) feedback of consignee etc.

#### 4.2.2 TEMPORARY DELISTING

Temporary delisting of vendors can be resorted to under the following conditions:

- a) Cases where repeated failures are noticed in the items supplied
- b) Direction from law enforcing agencies
- c) If quality audit is refused by the firm or RDSO is not allowed by the firm to perform quality audit, the firm shall be temporarily delisted and shall be removed from the vendor list in next updation, till such time quality audit is performed.
- d) Expiry of ISO 9001 certificate.
- e) Deficiencies/non-functioning of major machinery & plants affecting the quality.
- f) During a course of time, if the specification is amended and the vendor is not upgrading the additional requirements within a specified timeframe.
- g) Major deficiencies found during quality audit /process audit and their non-compliance.
- h) The entire factory or part of it is reported closed/shut down/lock out.

Note: In case of closure / lockout, the firm may be temporarily delisted and status restored on resumption after verification of facilities and audit of the production process, as decided by the directorate head.

- i) If change in the name, address, work place and ownership not intimated to RDSO within one month.
- j) Any other serious reason.

##### 4.2.2.1 Notice and time bound reply

Temporary delisting shall be considered after serving a notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice. However, under exceptional circumstances, issue of the show cause notice shall be dispensed with. The directorate head shall record the reasons for dispensing with the show cause notice.

##### 4.2.2.2 Duration of Temporary delisting

The temporary delisting shall be for a period until compliance of non-conformities advised by vendor & same has been verified by any means such as Quality Audit etc.

If temporary delisting continues for more than one year due to non-compliance confirmation by the firm then process for delisting shall be initiated.

##### 4.2.2.3 Communicating Temporary delisting

Temporary delisting shall be communicated in writing to the vendor. All concerned as per distribution of the vendor list, shall also be advised immediately. The certifying body who had issued the ISO:9001 certification shall also be informed in writing through ISO Cell regarding Temporary delisting of the vendor.

The report should be sent to ISO Cell on the form under rec-ref(1).

##### 4.2.2.4 Inspection of orders in process

Inspection of material against purchase orders placed before the Temporary deletion of firm's name from the approved list of vendors may be carried out as per extant policy/norms.

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#### 4.2.2.5 Re-instatement after Temporary delisting:

- a) In case of temporary delisting of vendor only on account of not acquiring ISO-9001 certification, the firm's status can be restored immediately after acquiring ISO-9001 within one year and beyond one year quality audit shall be additionally carried out.
- b) In case of temporary delisting due to other reasons, the firm status can be restored on compliance of non-conformities which may be verified by any means such as quality audit etc.

#### 4.2.3 DELISTING

Prerequisites for delisting from 'List of Approved Vendors' or 'List of RDSO Vendors for developmental order' posted on RDSO website list directly are mentioned in para 4.2.1.1. The action of delisting can be taken considering the seriousness & nature of deficiencies and its effects on quality of products.

##### 4.2.3.1 Notice and time bound reply

Delisting shall be considered after serving a notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice.

##### 4.2.3.2 Duration of Delisting

The delisting shall be for a period of minimum one year.

##### 4.2.3.3 Communicating Delisting

Delisting shall be communicated in writing to the vendor. All concerned as per distribution of the vendor list, shall also be advised immediately. The certifying body who had issued the ISO:9001 certification shall also be informed in writing through ISO Cell regarding Delisting of the vendor.

The report should be sent to ISO Cell on the form under rec-ref(1).

##### 4.2.3.4 Inspection of orders in process

Inspection of material against purchase orders placed before the deletion of firm's name from the approved list of vendors may be carried out as per extant policy/norms.

##### 4.2.3.5 Re-instatement after delisting:

- a) Once the firm is delisted as a penal action, the firm shall be considered for reinstatement only when it applies in writing for restoration giving the corrective & preventive action which shall be verified by means of Quality audit. Firm can be restored in original status after due verification of QAP/STR
- b) Reinstatement shall be considered only after a period of Minimum one year. However, the firm may apply for reinstatement, 3 months before the expiry of penalization period giving details of corrective action taken.

#### 4.2.4 OUTRIGHT DELISTING

##### 4.2.4.1 Prerequisites

The vendors can,

Outrightly de-listed in case of following:

- i) Tampering/forging of documents based on which approval/upgradation/ has been sought from RDSO.
- ii) In case of any malafide, unethical practices being adopted by the firm
- iii) Any other reason considered serious by directorate head with approval of Spl. DG/VD.

**NOTE:** Delisting of vendor shall not be done for error in the updated list of approved sources or 'List of Vendors for Development Orders'/'List of Approved Vendors' at any time, for an item for which approval has not been issued by RDSO.

##### 4.2.4.2 Notice and time bound reply

Outright Delisting shall be considered after serving a notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice.

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#### 4.2.4.3 Duration of Outright Delisting

The outright delisting shall be for a period of minimum two year.

#### 4.2.4.4 Communicating Outright Delisting

Outright delisting shall be communicated in writing to the vendor. All concerned as per distribution of the vendor list, shall also be advised immediately. The certifying body who had issued the ISO:9001 certification shall also be informed in writing through ISO Cell regarding Delisting of the vendor.

The report should be sent to ISO Cell on the form under rec-ref(1).

#### 4.2.4.5 Inspection of orders in process

Inspection of material against purchase orders placed before the deletion of firm's name from the approved list of vendors may be carried out as per extant policy/norms.

#### 4.2.4.6 Reinstatement after Outright Delisting

- a) The vendor shall be considered for reinstatement to original status after due verification of QAP/STR.
- b) Reinstatement shall be considered only after minimum two years from the date of outright delisting and after conducting quality audit.

#### 4.2.5 BANNING OF BUSINESS

- i) The vendor is black listed/or business dealing is banned by Govt. of India or its offices on communication by Railway Board. In such cases, no show cause notice to the firm is required before delisting
- ii) Whenever proposal for banning of business is sent to board the firm should be DELISTED without mentioning the word permanent delisting/temporary delisting.

##### 4.2.5.1 Re-instatement after delisting due to Banning of business

For cases of delisting due to Banning of business dealing,

- a) The vendor shall be considered for restoration only when the time period of banning of business is over.
- b) The Original Status of Vendor shall be restored after due verification of QAP/STR

#### 4.3 Letter conveying Downgradation/ Deletion/ Temporary Delisting/Outright Delisting should clearly mention the following:

The firm can appeal to Spl. DG/VD within 60 days of communication of the impugned order.

#### 4.4 De-control/de-listing of item from Vendor Directory by RDSO:

i. Once an item is approved for de-control/de-listing by Railway Board/RDSO from the Vendor Directory, a letter shall be issued from concerned Directorate of RDSO informing all the registered vendors (Approved/Developmental Vendor) of the item, that the registration of firm has been discontinued from the Vendor Directory w.e.f date, due to the item been de-controlled/de-listed by RDSO.

ii. The decision of RDSO on de-control/de-listing of any item and hence, Discontinuation of concerned registered vendors from the Vendor Directory shall be final and binding on all the vendors and no appeal can be made against such decision of RDSO.

iii. In case of de-control/de-listing of any item, PO's placed within 6 months of decontrol (Counting from uploading of amendment of RDSO website), inspection is to be undertaken by RDSO, if it is stipulated in PO as the inspecting agency. However, in case of any specific instructions issued by Railway Board to any of the directorate, same will have precedence over these instructions.

iv. Refund of Fee to the Vendor, in case of decontrol of items by RDSO shall be as per ISO Apex Document No. QO-D-8.1-14 (Para 4(10)).

#### 5.0 Picking and Testing of Samples from the lot already passed by the inspecting agency in the

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**vendor premises or from consignee end/field.**

In the above cases, the following shall be ensured during picking and testing of samples.

- (a) Representative of **QA or Design directorates** of RDSO shall pick up samples jointly with the **field unit representative**, in case the sample is picked up from the **field units/consignee end** and with the **firm's representative** in case the sample is picked up at the **firm's premises** (after the LOT has been passed by the inspecting agency, but before despatch). In case, the firm does not cooperate in joint picking up of samples in firm premises, then a report to be put up by Railway Official to Directorate Head for penal action.

The above procedure of picking of samples shall not be mandatory in case samples picked by CBI.

Authorised representative of RDSO shall not be from the Directorate which controls the lab where the sample is to be tested.

Wherever **possible** the samples shall be suitably coded by QA/Design directorate of RDSO as applicable, to ensure that the identity of the field unit/firm is not disclosed to the lab.

**(b) Number of samples to be picked up:**

**Normally TWO samples shall be picked. 'FIRST' sample is for testing and 'SECOND' sample shall be 'Standby' sample which shall be tested in case of any complaint or if directed by Spl. DG/VD. The 'Standby' sample shall be kept in a newly created Section, designated as 'STANDBY SAMPLE STORE', located in Old Auditorium Building in RDSO. The concerned directorate shall through a COMMON letter send 'first' sample to RDSO lab for testing and the second sample (i.e. 'Standby' sample) to:**

**Supervisor**

**Standby Sample Store**

**Old Auditorium Building**

**Opposite State Bank of India,**

**RDSO**

The **'standby' sample** shall be duly received by the supervisor posted in **'Standby Sample Store'**.

The second sample shall be **'standby' sample** which shall be kept in safe custody up to 6 months from the **date of issue** of letter by the lab intimating the test results of the **'first' sample** to the concerned directorate through a **COMMON** letter with a copy to

**Supervisor**

**Standby Sample Store**

**Old Auditorium Building**

**Opposite State Bank of India,**

**RDSO**

In the **COMMON** letter addressed to the Lab, it shall be clearly stated that the Lab shall send the results to the concerned directorate with a **COPY** to:

**Supervisor**

**Standby Sample Store**

**Old Auditorium Building**

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**Opposite State Bank of India,**

**RDSO**

giving **reference of directorate's letter** (vide which sample was sent to lab) for proper linking.

The supervisor deputed in the **Standby Sample Store** shall stack the '**standby**' samples in **numbered rack/location** for quick retrieval and make entry in the register. Complete details of receipt /despatch/location, date of destruction etc. shall be maintained in the register.

The testing of '**standby**' sample shall be undertaken only with the approval of CVO/RDSO if deemed necessary, based on the complaint from Railways/Railway Board etc. or if directed by Spl. DG/VD/RDSO.

In case, it is decided by CVO/RDSO (within 6 months of issue of letter by the lab intimating test results of '**first**' sample) that the '**standby**' sample has to be tested, the same shall be handed over to the concerned directorate representative for taking it to the lab for testing under supervision of nominated official by CVO/RDSO. In no case, the '**standby**' sample shall be taken to any other place other than the RDSO lab where it has to be tested.

In case it is decided that the '**standby**' sample is to be tested in any outside lab then the '**standby**' sample shall be properly sealed and signed jointly by the representative of Design or QA directorate or CVO's representative and supervisor of **Standby Sample Store** in standby sample store, before dispatch by QA/Design directorate.

In case, no directive for testing of '**standby**' sample received from Vigilance within 6 months from the date of issue of letter by the lab intimating test results of the '**first**' sample, the '**standby**' sample shall be destroyed/disposed off and this date shall be recorded in the register maintained by the supervisor of Standby Sample Store..

**5.1 Testing of sample.**

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

- (a) Where the sample drawn from the field (on account of vendor's poor performance) are to be sent for testing.
- or
- (b) If the samples drawn from field on random basis are to be sent for test for quality check.
- or
- (c) If the samples are drawn from the firm's premises after inspection .before dispatch.

**5.1.1** The sample/samples will be sent for testing to RDSO. However, RDSO can decide to send the samples to other independent labs which will be either NABL or a Govt. lab or which has been accredited by an 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.
- iii. In case, approved by Spl. DG/VD because of any specific reason.

**5.1.2** In only those cases where neither the **RDSO lab** nor **Government lab** nor any accredited **lab as per** para 4.5.3.1.1 of QOD- 8.1-10 is available, the testing shall be done:

- i. In firm's lab (if facilities available) in presence of firm's and QA or Design directorate/ RDSO representatives.

OR

- ii. In any other lab in presence of firm's and QA or Design directorate/RDSO representatives.

**Note: Definition of Government Labs**

- 1. All Govt. Labs and testing houses Fully Owned by Govt. and registered as Lab and carrying out

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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

**5.1.3 Action to be taken based on test results.**

- (a) In case, the **'first'** sample passes, the same shall be intimated by the Design or QA directorate to the field office from where the sample was picked up.
- (b) If the **'first'** sample fails following action to be taken:
  - i. In case, sample fails marginally in maximum two parameter by less than 5% from the prescribed values (i.e. for example if prescribed limit is 5-10 then marginal failure limit shall be 4.75-10.5) then RDSO shall intimate the consignee/ inspecting agency to take action for rejection of lot as per clause 5.2 given below.
  - ii. In case sample fails in more than two parameters or in two parameters by more than 5% from the prescribed values then besides action for rejection of lot as per para i. above, PENAL action shall also be taken as per clause 4.2 of this document.

However, the severity of penal action shall be based on the degree of non-conformity i.e. :

- Criticality of the parameter in which sample failed.
- Percentage deviation of non-conformance from the acceptable limits in each failed parameter.
- Total number of parameters in which the samples failed.
- Past record of - number of **consignee end** samples inspected and % failed etc. shall be maintained and taken into consideration as it reflects the overall quality of the vendor over a wider time spectrum.

Note: Specific comments and quantified details have to be given against all four criteria to establish degree of non-conformity while deciding the quantum of penal action.

- (c) The **'standby'** sample if:
  - i. Tested in RDSO lab shall normally be under close supervision of the nominated official by CVO/RDSO from any directorate (other than the directorate which controls the lab where sample is to be tested).
  - ii. In case, the **'STANDBY' SAMPLE** is to be tested in any Govt. lab or any lab as stated in para 5.1.1.1, no representative shall be deputed.
  - iii. In case, where lab as stated in i. & ii. above, are not available, the **'standby'** sample shall be:
    - a. Tested in firm's lab (if facility is available) in presence of firm's and CVO/RDSO's nominated representative.
    - b. In case, the **'standby'** sample is to be tested in any other lab other than those stated in para i. ii & iii. (a) above, it shall be in presence of firm's and CVO/RDSO's nominated representative (if permitted by that lab). Otherwise, testing shall be done in absence of any representative of firm and RDSO.

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The directorate while sending the '**standby**' sample to the Lab shall clearly state in their letter:

- i. The test results to be intimated through a **common** letter to design/ QA Directorate and Director/Vigilance/RDSO.
- ii. **Reference of the directorate's letter** vide which the sample was sent to the Lab to be mandatorily indicated in the letter for proper linking.

Test result of '**standby**' sample shall be send by the Lab to Design/QA directorate with a copy to Director/Vigilance/RDSO through a **COMMON** letter for further action, giving **reference of the letter** vide which the '**standby**' sample was sent to the Lab.

**5.2** In case of failure of sample, procedure to be followed for rejection of the lot shall be as per Railway Board's letter 2000/RS/(G)/379/2 dated 13.03.2009 and 7.8.2015 or any other letter/ instructions issued subsequently. When the sample is rejected, it shall be mandatory to inform the consignee to enable him to take action as per aforesaid Railway Board's letter.

Penal action shall also be additionally taken in case failure of the '**first**' sample falls under clause 5.1.3 (b) ii. above.

## 6.0 Appellate Authority and time period for appeal

The vendor can appeal against the decision of the directorate to Spl. DG/VD who shall be appellate authority for all cases pertaining to vendor development.

The appeal against the order shall be addressed to Spl. DG/VD and given in writing along with the statement of details and reason for the appeal.

The appeal must be submitted within 60 days of communication of the impugned order.

## 7.0 Referenced Documents

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

Ref. SNo.	Document Number	Document Name
1.	QO-D-8.1-5	Application 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

## 8.0 Referenced Documents of External Origin

None

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### 9.0 Associated Records

Rec-Ref SNo	Document Number	Document Name
1.	QO-F-8.1-3	Down-gradation/de-listing of approved vendor

As required by directorate documentation.

### 10.0 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
Change of vendor status.	Officer of respective directorate	Head of Directorate	Directorate Staff	Spl. DG/VD shall be consulted on file at start of process in case vendor status changes due to causes other than those specified in this document.  Spl. DG/VD is not required to be consulted for normal changes which follow the norms prescribed in this document.	All directorates through intranet.

### 11.0 Abbreviations

None

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