RESEARCH DESIGNS& STANDARDS ORGANIZATION

Manaknagar,Lucknow– 226011

QO-D-8.1-13

Quality Audit of Approved Vendor

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-7.1-13 Ver. 7.1 of 9001:2008 QMS.
2.	25.01.2019	1.1	Change in Clause 4.2 (Added new para following to the last para) based on recommendation of "Standing Committee on Vendor Development and Approval Issues "at NP-17 to NP-19 of Computer Wing's file No. Comp/1.55.07.01 (Pt-I) Vol-III, which is approved by DG/RDSO on date 21.01.2019 Copy is placed at SN-13 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.	19.08.2020	1.3	New para added in clause 4.2 after existing third 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.	01.04.2022	1.4	Para 4.1 , 4.2 & note of para 4.5 have been modified, based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 109 on 28.03.2022 in the e-office file no. RDSO-QA/M0HQ(ISO)/2/2020-ED/QAM/RDSO/HQ (File no. 9703). Recommendations are placed at SN 483-486 in above e- office file.

S. No.	Amendment Date	Version	Reasons for Amendment
6.	28.07.2022	1.5	Replaced word 'Dirtectorate Head, or Head of Directorate' with 'ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level)' and Responsible authority for 'Requirement of deviation from directive' under the sub head 'Responsibility and Authority' in existing ISO documents with "PED of the concerned Vertical". These changes are based on recommendation of Standing Committee and duly approved by Spl. DG/VD on date 19.07.2022 at Note#14 in e-office file no. RDSO-MR0ISO(VD-C)/1/2020-O/o ED/Res/RDSO-Part(2) (Comp. No 123324). Recommendations of Standing Committee is placed at Note#11 in the above e-office file.
7.	28.11.2022	1.6	Modification in Clause 4.1 'Periodicity of Quality Audit' as per recommendatons of "Standing Committee" duly approved by Spl. DG/VD on 14.11.2022 at Note # 33 in E-office file No. RDSO-MR0ISO(VD-M)/1/2020-O/o MR/ISO/RDSO-Part(3) (Comp. No. 82786). Recommendations of 'Standing Committee' is placed at Note # 29 in ths 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 quality audit of approved vendors.

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

To ensure the quality of the material supplied by the firms it is necessary that regular checks/Quality audit shall be made on their quality assurance programme including machinery & plant, man-power, sources of raw-material and their own internal quality checks to ensure they are in place as per conditions laid down while approving the firm.

Quality audit shall be done by QA directorate or vendor approving directorate of RDSO at an interval of 5 years or on NEED basis based on adverse field performance report. All directorates shall ensure that these quality audits are timely carried out .

4.1 Periodicity of Quality Audit-

All kinds of regular quality audit become due (leaving the administrative quality audit which has necessitated on serious quality complaints) should be planned after 3 years from the previous quality

audit suitably by the concerned directorate and the field units. In no case, the quality audit should be kept beyond 5 years and the approval of the firm will cease after completion of 5 years automatically.

4.2 Procedure for Quality Audit

Firm's compliance of STR, specification, Bill of Material and QAP must be verified. Testing of samples for routine/acceptance test (for civil engineering items Type Tests implies routine tests) if considered necessary by ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) can also be carried out during such quality audit. Further, certain documents like factory license (where applicable), latest electricity bill and ISO certificate shall also be included in Quality Audit Report. In case, firm does not have renewed **Factory Licence** with validity on date of Quality Audit, but has applied for renewal, then the copy of **Factory Licence** of the immediate preceding period along with requisite payment fee receipt for renewal of licence can be accepted, subject to the company giving in writing on their letter head duly signed by their authorized representative and properly stamped that:

'Renewal Payment Fee of Rs. -------- for renewal of factory licence has been paid by M/s.-------- for the period --------- to ---------- on ----------. Copy of payment receipt enclosed. Validity of Factory Licence of the immediate preceding period was up to --------. Copy enclosed.'

Quality Audit is to be done at officer's level. "However, in case if the Directorate has constraints, ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) may depute supervisors with the approval of Spl. DG/VD citing specific reasons that why quality audit can't be postponed till availability of officers for the same."

The special procedure as published by RDSO on RDSO website, under Vendor Interface having link as: "(www.rdso.indianrailways.gov.in)" for carrying out "Capability Assessment, Prototype Inspection and Quality Audit by remote means" may be used in place of physical inspection as decided by the ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level).

4.2.1 Quality Audit Format

The duly completed Quality Audit report on the standard format (document no. QO-F-8.1 -9) shall be submitted to the ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) with recommendations

4.3 Responsibility **of vendor**

The vendor will immediately bring into the notice of RDSO the full technical details of any changes about Bill of Material, plant & machinery and Quality Assurance Plan for which the responsibility lies with the approved vendor. In case the approved vendor fails to comply with the above provision, his name may be deleted/temporarily withdrawn from the approved vendor list.

4.4 Evaluation of performance

The concerned directorate shall consider the quality performance of the item supplied by the firm based on feedback from user as available in the directorate during quality audit.

4.5 Refusal to Quality Audit

Date of Quality Audit shall be intimated to the firm through email/fax at least 30 days in advance. In case date is not acceptable to the firm for some genuine reasons then the same should be informed to RDSO within 15 days through email/fax. Next date shall be fixed by RDSO at least 30 days in advance and intimated to the firm which shall be final. In case the approved vendor refuses to quality audit or does not allow RDSO to perform quality audit, vendor will be temporarily delisted and his name will be removed from the approved vendor list till such time quality audit is performed by RDSO and found in order.

Note: Ideally the approved vendor should have made supplies during the duration between two periodic quality audits. However, in cases where no supply has been made, the firm shall be asked to explain reason(s) for the same. In case the vendor is not able to provide the same or if the ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) is not convinced with the reason(s) of the firm, the vendor should be downgraded to the status from Approved to Developmental; but continuous none securing of any orders for five years will lead to delisting of the vendor.

4.6 Deterioration of performance & out of turn Quality Audit

At any time, depending upon adverse feedback from user Railway(s)/PUs and any other compelling reason which comes to light, ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) may decide to conduct out of turn quality audit as per para 4.2 above for further continuance of approval /temporary delisting/delisting –. However, depending on the seriousness of the issue, decision may be taken by ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) to stop the inspection of the item temporarily before such quality audits is completed so that the corrective and preventive action required to be taken based on quality audit can be ensured during manufacturing of the item.

4.7 Communication of Audit Report -

The quality audit report shall be communicated to the vendor and status of the vendor be updated if required on the website and 'List of Vendors for Development Orders'/'List of Approved Vendors'.

4.8 Discrepancies during Quality Audits

In case any discrepancy is observed, the case shall be taken up for serving the firm necessary show cause notice to improve upon the performance by complying the deficiencies , and implementing corrective & preventive action within 30 days. This shall be verified. If the firm fails to comply the requirements within the time period then the firm may be temporary delisted/delisted. However, depending on the seriousness of the issue, decision may be taken by ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level) to stop the inspection of the item temporarily before such corrective and preventive action is taken by firm & verified by RDSO.

4.9 Charges for Quality Audit

Charges if, applicable shall be levied / collected from the vendors,

as per document on Vendor registration schedule of charges *ref.(10)*

In case testing is done by an outsourced agency, the actual charges shall be borne by the firm being audited.

4.10 Quality Audit of Overseas firms

The overseas firms shall also be quality audited as per the prescribed interval on the basis of the performance of their product without inspecting their factories, unless need for the same is specifically felt. Prescribed charges for quality Audit , if carried out shall be borne by the firm.

5.0 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 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 per directorate's 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	Standing Committee	All directorates through intranet
Compliance of directives contained in this document.	Director In-charge of Directorate	ED controlling the item (when final decision is taken at ED level)/ PED of Vertical (where final decision is taken at PED level	Directorate Staff		
Requirement of deviation from directive.	PED of the concerned Vertical	Spl. DG/VD	Respective officer of directorate	MR/ISO Cell	All directorates through intranet

9.0 Abbreviations

None