

ISO 9001:2008	Document No.: TD-G-4.2.3-31	Version No.: 4.0	Date Effective: 23.08.2016
Document Title: General Guidelines for Vendor Development			



RESEARCH DESIGNS & STANDARDS ORGANISATION
Manak Nagar, Lucknow-226011

Track Design Directorate

Document No.: TD-G-4.2.3-31

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1.0 Amendment History:

S.No.	Amendment Date	Version	Reason for amendment
1	01/09/10	1.0	Up gradation to ISO:9001:2008
2	01/07/14	2.0	Thorough review of document in view of amendments to reference documents issued by ISO Cell/RDSO.
3	24/02/2016	3.0	Thorough review of document in view of amendments to reference documents issued by ISO Cell/RDSO.
4	23/08/2016	4.0	Thorough review of document in view of amendments to reference documents issued by ISO Cell/RDSO.

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2.0 Purpose:

To specifically define the common guidelines in conjunction with apex ISO documents for vendor approval/vendor registration of items allotted to Track Design Directorate of RDSO (enlisted in **Annexure-I**) and new developmental items.

3.0 Scope of application:

This shall be applicable for initial capability assessment, periodic quality audit, up-gradation, down-gradation, deletion, restoration, and inspection etc. of vendors. In addition to this, 'Item Specific Guidelines' listed as **Annexure-I** shall also be applicable for the respective item. In case of any variation between the procedure/provision given in these instructions and that in the 'Item-specific guidelines', the latter shall prevail. The competent authority/Directorate Head wherever referred to in this document shall mean concerned Executive Director, Track Design Directorate.

4.0 Procedure / Details

Procedure/details are annexed.

5.0 Reference Documents:

Documents issued by ISO Cell/RDSO under following nos.:

SN	Document No.	Ver	Document Name
1.	QO-D-7.1-1	7.0	Creation of new specification for items
2.	QO-D-7.1-2	7.0	Change of specification of items
3.	QO-D-7.1-3	3.0	Withdrawal of specification of items
4.	QO-D-7.1-4	2.0	Change of controlling authority for specification.
5.	QO-D-7.1-5	11.0	Application for registration of vendor
6.	QO-D-7.1-6	11.0	Vendor application processing
7.	QO-D-7.1-7	3.0	Relaxation of vendor registration requirements
8.	QO-D-7.1-8	3.0	Vendor registration EOI
9.	QO-D-7.1-9	4.0	Vendor list
10.	QO-D-7.1-10	3.0	Vendor sample type testing
11.	QO-D-7.1-11	12.0	Vendor- changes in approved status
12.	QO-D-7.1-12	5.0	Vendor- changes in vendor entity
13.	QO-D-7.1-13	6.0	Quality Audit of Approved Vendor
14.	QO-D-7.1-14	7.0	Vendor registration schedule of charges
15.	QO-D-7.1-17	1.0	Logistic provisions by vendor for inspections
16.	QO-F-7.1-2	2.1	Quality Audit of Registration
17.	QO-F-7.1-4	2.0	RDSO Inspection Certificate
18.	QO-F-7.1-9	2.0	Quality Audit Report

6.0 Referenced Documents of External Origin

1. Indian Railway Vigilance Manual

7.0 Associated Records

None.

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8.0 RESPONSIBILITY AND AUTHORITY:

Activity	Responsibility	Approver	Supporting	Consulted	Informed
Creation, maintenance and change of this document	Concerned Unit In-charge	EDST-1	Concerned DD/ADE/AIE	MR/ISO cell, if required	Through website
Issue of this document	DST-I	EDST-1	Concerned DD/ADE/AIE	MR/ISO cell, if required	Through website
Compliance of this document	Concerned Unit In-charge	N/A	Concerned DD/ADE/AIE	N/A	N/A
Requirement of deviation from this document	DST-I	Concerned ED	Concerned Unit In-charge	N/A	Concerned Unit In-charge

9.0 Abbreviations

DG	Director General
ADG	Additional Director General
Sr. ED	Senior Executive Director
EDST-I	Executive Director Standards Track-I
ED/QA	Executive Director/Quality Assurance
MR	Management Representative
DST	Director Standards Track
JDST	Joint Director Standards Track
DDST	Deputy Director Standards Track
AIE	Assistant Inspecting Engineer
ADE	Assistant Design Engineer
QAP	Quality Assurance Programme
STR	Schedule of Technical Requirements
ITR	Internal Test Results
OEM	Original Equipment Manufacturer
TDD	Track Design Directorate
QACD	Quality Assurance Civil Directorate
DTE.	Directorate
RDSO	Research Designs & Standards Organization
EOI	Expression of Interest
IC	Inspection Certificate
FA & CAO	Finance Advisor & Chief Accounts Officer

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Annexure

1.0 VENDOR APPROVAL

1.1 Vendor:

Vendor is a firm, which manufactures and supplies item(s) to Indian Railways.

1.2 Scope:

Track Design Directorate shall undertake the work of registration/ development of vendors and other activities related to vendor approval, for all the items listed in **Annexure-I**, along with new developmental items, as per instructions received from Railway Board.

2.0 Vendor application for registration:

2.1 General:

2.1.1 The process of vendor registration has been made on-line. No paper based applications shall be accepted by the directorates. In case any paper based application is received, the application shall be returned and applicant advised to apply on-line through the RDSO website.

Only top page of QAP may be uploaded and hard copy of QAP & undertakings be sent through post.

2.1.2 RDSO shall permit only the OEMs to register. Traders/resellers are not permitted. However, in case of overseas OEMs, the firms can appoint an inshore firm duly authorized to interact on all issues pertaining to process of registration. The instrument of such authorization shall be submitted by the authorized firm along with the application form. RDSO shall grant approval only to OEM.

2.1.3 There shall be no restriction on development of new vendors for any item. However, for the items for which specific guidelines have been received from Railway Board, vendors seeking registration shall first approach RDSO by giving indicative request online and obtain Administrative Clearance /Go Ahead for setting up of infrastructure and for being developed as Vendor for particular P. Way Item.

The following paragraphs expand the various checks to be exercised during on line registration & the subsequent processing of application.

2.2 Provision of application form and other documents:

2.2.1 Vendors seeking registration for any of the items shall register online on the RDSO website and shall submit initial vendor registration fee. All relevant documents like Vendor approval guidelines latest version of all the relevant specifications, STRs and drawings are available on the website of RDSO.

The vendor shall apply for online registration within 6 month of payment of registration fee. If the application is received after 6 months, fresh payment of registration fee shall have to be made. Every page of the submitted documents shall be signed by the authorized representative & shall be stamped. Vender shall also submit authorization letter as per Annexure X-A5 duly signed by Director/Proprietor/Partner of the firm authorizing the firms' representative for signing the documents. Authorization letter shall also be uploaded along with documents.

2.2.2 The requisite charges as specified in **Annexure –III** of this document (this is applicable even where vendors are in possession of developmental/educational orders from Railway Board/ Zonal

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Railways) shall be paid by the vendor online through the means i.e. RTGS/NEFT/SBI Portal in favour of Executive Director (Finance), RDSO, Lucknow.

2.3 Mandatory Declarations by Vendors:

The mandatory declarations shall be submitted by the applicants. These declarations shall be a part of the vendor registration application form.

2.3.1.1 These declarations are listed and annexed in Annexure X and shall be furnished only for new/fresh registration. These documents/ declaration normally need not be sent to legal cell.

(Not applicable for Railway Production Unit/ Workshop etc.)

2.3.2 Declaration for classifying allied / Sister Concerns:

Declarations shall be submitted in the format as per Annexure X-A4, X-A4-1 & X-A4-2.

2.3.2.1 Undertaking to be submitted by the applicant In case of change of status:

An undertaking shall also be submitted by the applicants that they shall disclose to RDSO, any changes in the status i.e. name, address, work place etc., as reported here, whenever it occurs in the format as per Annexure X-A3' .

This undertaking shall hold good while the application is under scrutiny and also while the firm is listed on the RDSO vendor list.

2.3.2.2 Undertaking to be submitted by the applicant for M & P:

An undertaking shall be submitted by the applicant (in format as per Annexure X-A3) agreeing for suitable action in case M & P is found deficient after granting approval without intimation to RDSO.

It would also be mandatory to inform RDSO through fax/email as soon as any M&P is removed from firm's premises (even for repairs). RDSO should be informed again through fax/email when the same is brought back and made operational.

2.4 Prerequisite for application

All applicants shall possess the following pre-requisite:

2.4.1 ISO 9001 Certification

Vendor should possess valid ISO 9001 certificate for manufacture of same/similar item at his works address.

Further, it shall be certified by the vender that the certifying body which issues the ISO: 9001 certificate is accredited by an accreditation body that is a part of the International Accreditation Forum (IAF) under the Multilateral Recognition Arrangement (MLA). The list of all such accreditation bodies is available at the IAF website at: <http://www.iaf.nu>.

Any doubts regarding the veracity of certifying body or accreditation body shall be referred to ISO cell.

2.4.2 Digital Signatures:

2.4.2.1 The vendor should possess valid digital signature and submit the following details:

- i) Name of the Certifying Authority
- ii) ID of the holder of Digital Certificate

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iii) Date of issue of Digital Certificate

iv) Validity of Digital Certificate

2.4.2.1 It is mandatory for all the vendors to obtain digital signature certificate and get registered with IREPS at www.ireps.gov.in.

2.5 Acknowledgement of receipt:

The vendor shall be given an acknowledgement of receipt of application online.

2.6 Incomplete Application:

Applications found incomplete shall be intimated ONLINE to the firm shall be asked for submission of complete documents.

2.7 The firm shall submit the QAP along with the application form. The QAP to be submitted by the vendor in triplicate and as a general guideline should cover the following aspects:

- a. Organisation Chart emphasizing Quality Control (QC) set-up.
- b. Qualifications of key personnel and officials deployed in Quality Control Cell.
- c. Process Flow Chart indicating process of manufacture for an individual product or for a family of products if the process is same.
- d. Quality Assurance System – Inspection & Testing Plan. This shall cover the following:
 - Incoming material
 - Process control
 - Product control
 - System control
 - Gauging scheme – in the format for each operation gauges shall be mentioned, if used.
- e. Stage inspection detailing inspection procedure, inspection parameters, method of testing/test procedure including sample sizes for destructive and non- destructive testing etc

The generalized format for covering the information under d, e shall be as follows:

Subject/ Product/ Process	Sample size & its frequency of inspection	Parameters for inspection	Mode of inspection/e quip. used	Acceptance limits/Criteria/ specified Value	Rejection details Reprocessed/ Scraped
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f. QAP covering all the information as asked above under item 'a' to 'g' must be given in the form of single document indicating name of the firm and page no. 'x' of 'y' on each page. Each page shall be signed by QC in-charge.

g. The approved QAP must be a controlled document and a quality record of ISO quality control system of the vendor.

The QAP so submitted will be subject to review/ up gradation by RDSO in the light of fresh data & experience. One copy after final approval will be given back to vendor.

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3.0 Registration application processing:

3.1 Ensuring safekeeping of documents with Intellectual Property Rights (IPRs)

After receipt of complete application forms online for vendor registration, the form shall be down loaded by the concerned personnel of the directorate Hard copies of these documents can be kept in separate files by the respective Directorate.

3.2 Changes in the applicant entity while processing

No changes are normally to be permitted in the applicant entity during the processing of the application. However, wherever unavoidable, the following shall be ensured:

- a) The applicant shall inform the concerned directorate of RDSO regarding the changes. The directorate shall examine the same.p
- b) In case of change of Ownership with name/without name, Merger, Take Over, Acquisition, Major Changes in Share Holding/ Directors of company, change in type of firm from Proprietorship/Partnership/Pvt. Limited etc. the same application can be processed, however, where changes are very confusing, complex or in case of disputes, RDSO reserve the right to advise the applicant to apply afresh. In such cases there shall be no change in **Work Address, Machinery & Plant, Bill of Material, Process defined in QAP etc.** affecting the quality of product. Firm shall inform RDSO as early as possible but not later than one month of such changes along with relevant documents in proof thereof & also other documents such as Memorandum of Article of Association Partnership deed, Resolution passed by Board of Directors etc. The firm shall also submit the revised declaration for **Allied/Sister concern** clearly mentioning the Allied/Sister concerned due to aforesaid changes in Annexure X-A4.

Approval to one firm having relevant documents confirming status as “original firm” shall be given. In case there are more than one firm claiming to be “original firm” with relevant documents, all cases shall be processed as fresh registration. The firm shall also submit an affidavit on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed in the following format :

I son of aged about Years resident of do hereby solemnly affirm as under –

That the deponent is the Authorised Signatory/ Sole Proprietor / Partner / Directors of (Name of the Sole Proprietor Concern/Partnership Firm/ Registered Company alongwith address).

While carrying out the changes in the entity of firm (mention the changes), all the legal formalities as required as per prevailing rules/procedures/laws have been adhered with. All the said changes has legal sancity and the entire responsibility for the changes lies with the firm. In case any type of dispute on this account arises in future then the firm will be solely responsible for the same and thereof no claim in consequences against RDSO/Railways whatsoever be raised. RDSO will be absolved from any legal eventualities. If at any time after approval is accorded, it came to notice that aforesaid changes has been made without following proper procedure/rules/law, then action may be initiated by RDSO including de-listing and withdrawal of approval of the firm without giving any further opportunity. I further certify that there is no change in Work Address, Machinery & Plant, Bill of Material, Process defined in QAP etc. affecting the quality of product

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- c) In case of change of address of plant / works, the old application shall not be processed further and the applicant shall be asked to apply afresh and shall be considered as per its new turn in the applicant queue, wherever applicable.

3.3 Application Screening & clarifications

Application once downloaded and documents received shall be scrutinized in detail. Application should also be checked for adequacy in respect of the information sought. Scrutinizing authority shall check that all the documents have been signed by authorized signatory. Any information considered inadequate should be pinpointed out.

Any clarification to be sought from the firm should be pointed out at this juncture and communicated to the firm in writing. Scanned copy of letter shall also be send to the vendor on line. Vendor shall also submit the scanned copy of compliance online.

3.3.1 Screening for sister / allied concern

The self declaration/undertaking submitted {see Annexure X list of document to be sought from the vendor at the time of fresh registration and Annexure/forms} by the applicant shall be examined and the information submitted shall be taken on the record. The basis of allied/sister concern shall be as follows.

Definition of Allied / sister concern, as understood from various manuals, Section 40A (2)(b) of Income-Tax Act 1961 and Section 370-1(B) of Companies 'Act 1956, and further modified to suit our requirements is as under -

3.3.1.1 For Proprietary Firms:

In case of Proprietary firms, the firms qualifying the following criteria shall be categorized as sister concern

- All the firms owned by the same person shall be considered as allied / sister concerns.

3.3.1.2 For Partnership Firms:

In case of partnership firms, the firms qualifying the following criteria shall be categorized as sister concern

- All firms having the same set of partners
- In case, any one or more partners, who has a profit sharing ratio of 20% or more in the applicant firm as well as any of the firms already registered for the same item with RDSO, both the firms shall be considered as sister concerns.

3.3.1.3 For Companies:

In case of companies established under the Companies' Act, the firms qualifying the following criteria shall be categorized as sister concerns:

- All companies having - "majority" of Directors common
- Any one or more directors or any of his/her close relatives (father, mother/step-mother, husband, wife, brother/step-brother, sister/step-sister, son/step-son, daughter / stepdaughter, son's wife, daughter's husband, brother's wife and sister's husband) has 1/3rd or more share holding in the applicant company as well as in any of the companies

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already registered for the same item with RDSO, both the companies shall be considered as sister concerns.

- Common share holder having 1/3rd shares or more.

3.3.1.4 Other Conditions:

In addition to this, the firms/companies operating from same office or having same manufacturing works shall be treated as allied/sister concern.

3.3.1.5 On detection of case of allied/sister concern:

Having identified, from the information submitted by the firm/company, that the applicant firm/company is an allied/sister concern of other firm(s)/company(s) already registered for the same item with RDSO, a mention to this effect shall be made during scrutiny and subsequently in the Vendor Directory against the names of all such firms/companies so that the tendering authorities and tender committees may take a note of the same for necessary action.

The preface of vendor directory should include – “The name of sister concern have been mentioned against each item of vendor directory. This should be kept in view (wherever applicable) to highlight the fact that the competing firms are sister concerns while dealing with tenders”.

3.3.2 Legal Scrutiny

The legal documents received with the application shall not be required to be sent to legal cell for scrutiny. These documents shall be kept for record purpose only.

However even in cases warranting scrutiny of the legal documents, the respective directorate shall process the case for approval parallelly and not after the legal scrutiny is over. Further, if necessary and if everything else is in order, but legal scrutiny is getting delayed, provision for issue of provisional clearance subject to legal scrutiny clearance shall be considered.

3.3.2.1 Undertaking to be submitted by the applicant.

An undertaking in the format as per Annexure X-A3 shall also be taken from the applicant that all legal formalities and statutory compliances required for vendor registration in RDSO are being abided with and all/any documents submitted as & when demanded by RDSO are legally correct. If any deficiency / noncompliance is found at any stage on the part of applicant, then RDSO shall have the right to delist the applicant permanently without assigning any reasons and the delisted vendor shall have no claim in consequence thereof against RDSO whatsoever.

This undertaking shall hold good while the application is under scrutiny & also while the firm is listed on the RDSO’s vendor list.

3.3.3 Technical Screening

3.3.3.1 A technical screening should also be done at this stage to establish whether on the basis of information supplied regarding infrastructure & manufacturing practices, QAP etc., firm can be considered for a visit for assessment of its capability.

3.3.3.2 Outsourcing of some minor activities by any vendor will require approval of the directorate head. It should be incorporated in QAP and got to be verified during assessment of the firm.

3.3.3.3 It is preferable to have all the manufacturing and testing facilities covered under STR located at one premises. However, firm can be permitted to have facilities spread in more than one place

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provided they are under the same ownership with same name. The activities carried out at these premises shall be clearly spelt out in QAP. However, the material shall be offered for inspection only at the main works for which the registration has been sought. These locations shall be termed as Ancillary units.

Note – The guidelines as mentioned in para 3.3.3.2 & 3.3.3.3 shall also be applicable to existing vendors.

3.4 Acceptance of application

If the firm's application is accepted for further processing after scrutiny, the firm shall be intimated about the status by sending the scanned copy of letter on line/e- mail.

3.5 Rejection of application

If on the other hand, firm's application has been rejected for further processing, firm will be intimated accordingly. While communicating the rejection, the firm shall be informed about the deficiencies. Once the rejection of application is communicated, the case can be reviewed for consideration of approval with the permission of Directorate Head, if the firm reports complete compliance within six months from the date of marking communication for rejection. If the firm fails to report complete compliance within the above-mentioned period, it shall be asked to apply afresh to RDSO.

3.6 Visit to firm's premises

After the acceptance of application, nominated RDSO official(s) shall visit the firm's premises for STR verification and capability assessment.

Visit of manufacturing works by an officer is mandatory for cases of fresh registration of vendors.

Assessment of overseas suppliers may be outsourced to reputed private inspection agencies. (ED/QA Mech shall prepare a panel of approved agencies and model terms of reference for such outsourced process)

3.7 Capability Assessment Report

Once the official is nominated for capability assessment, the application form & relevant documents shall be given to the nominated official. The duly completed inspection and capability assessment report on the standard format (document no. Annexure XI) shall be submitted to the Directorate head with recommendations.

The capability assessment report for overseas supplier shall be prepared by the hired inspection agency.

3.8 Approval of Inspection gauges and internal development

Certain items such as Elastic Rail Clip (ERC), elements of Points & Crossings, inserts etc. require approval of inspection gauges and internal development for ensuring dimensional accuracy. For such items, following should be applicable :

- 3.8.1** In case of items for which Inspection gauges are to be checked and approved at RDSO, after satisfactory capacity assessment, the firm shall be advised to submit two sets of inspection gauges along with gauge approval charges, as applicable, for approval by RDSO. The gauges shall be stamped with the firm's initials and marked set-I and set-II. The gauges shall also clearly bear the firm's name and initials allotted by RDSO.

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3.8.2 Procedure for Approval of Inspection gauges

3.8.2.1 The Inspection gauges can be approved either at firm's works or at RDSO depending upon nature of item. Normally, the inspection gauges for Elastic fastening components, which are small in size are checked and approved at RDSO. The inspection gauges for Switches and crossings, SEJ etc, which are dimensionally large are approved at Firm's works. The details are given in Item specific guidelines of the item.

3.8.2.2 Wherever applicable, the following procedure shall apply for approval of gauges:

- a) The vendor shall manufacture two sets of gauges as per the latest approved gauge drawings and after checking them internally, shall submit them along with internal check report on gauges and the gauge checking charges of RDSO.
- b) The gauges will be checked by RDSO officials and if approved, the approval will be conveyed to the firm in writing. Then both sets of gauges shall be collected by the firm. The firm shall keep one set as master gauge and the other for inspection. For routine internal inspection, the firm will manufacture its own sets of gauges. The validity of approved gauges will be 5 years.
- c) If any of the two sets is found unsatisfactory; the firm will be intimated about the parameter/dimension in which the gauge has failed. The firm will be asked to resubmit the gauges after rectification of indicated defects in particular & overall correctness in general. Approval of gauges shall be given only if both sets are found satisfactory.
- d) If the firm desires to resubmit the gauges for checking and approval, they will submit them to RDSO along with the requisite gauge inspection charges. If gauges are found satisfactory, action for approval shall be taken.
- e) If the firm is still unable to get their gauges approved in above two chances, the third chance shall however be given as an exceptional case, depending upon the merits of the case, only with the approval of competent authority. However, if the firm fails to get their gauges approved this time too, the firm shall only be allowed to submit the gauges for approval after a specified period as mentioned in the letter conveying unsatisfactory gauges.
- f) Similar procedure will be followed for approval of gauges, which are to be approved by RDSO official at firm's premises.

3.8.3 After ensuring the availability of RDSO approved inspection gauges; the firm will be required to undertake internal development and to submit internal test report (ITR) of the product, selected at random from their trial production, for scrutiny by Track Design Directorate.

3.8.4 In case, ITR submitted by firm is found satisfactory, the firm shall be advised to deposit sample drawl and testing charges and action be taken as per Para 3.9.

3.8.5 In case, the ITR is not found satisfactory, the firm shall be asked to improve upon the quality and resubmit the ITR for scrutiny. If the ITR is found unsatisfactory, the firm shall be allowed to resubmit ITR of improved product only after six weeks till ITR is found satisfactory.

3.9 Test Sample and Charges

3.9.1 The nominated officer for capability assessment after verifying STR, and other items satisfactorily, should pick up test samples (or prototype, where applicable) as per specification where testing at RDSO is required. The samples-testing charges shall be paid through RTGS/NEFT/SBI Portal in favour of Executive Director (Finance), RDSO, by the firm.

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3.9.2 See associate directive for schedule of charges at **Annexure-III**

3.10 Management of test samples

The procedure for test sample management has been laid down in the relevant specification, Item specific guidelines and work Instructions.

3.11 Non Conforming results or inadequate information

If during scrutiny by nominated official, the information is not adequate and/or the test results are not conforming to the specifications, the vendor shall be informed accordingly. If some more information is required, the same shall be collected and case processed further. If the test results are not conforming to the specifications the further action to be taken as given in para 7.

3.12 Approval by Directorate Head

3.12.1 In case the information is in line with the requirements and test results are satisfactory, the case shall be put up to Directorate Head along with the scrutiny sheet for his approval.

Fresh registration shall normally be given in Part-II only. Quality Audit after fresh registration shall be done after 5 years. It shall be ensured that quality audit is conducted well within due date. If Quality Audit could not be carried out within due date, firm's name shall continue in Vendor list till quality audit is completed. Depending on the nature of item, Part-II status may be given after ensuring:

- Minimum Infrastructure and adherence to QAP
- Satisfactory test of product prototype or initial or extended field trials, (as mentioned in relevant specifications, item specific guidelines and work Instructions)
- In case, the development of firm has been undertaken against development order, the approval in Part II will be given only after the firm has completed the supply of minimum specified quantity or as specified in work instruction/specification/Item Specific guidelines for a particular item.

3.12.2 In case a developmental order is required prior to inclusion in Part-II, one of the consignees may be advised for necessary action. If Development order has been placed on the firm after capacity/capability assessment, then at the time of approval in part-II or straight away in part-I the capacity/capability /Quality Audit etc. normally need not be carried out in case the time between last capacity/capability/ Quality Audit assessment-etc. & approval as part-II or straight away part-I is less than 3 or 5 years (as specified for the item) and there is no change in QAP.

3.12.3 Procurement of raw material/sub-assembly from approved source:

When source of raw material/sub-assembly for an item is not mentioned in the RDSO specification (if they are vender's QAP specific) no RDSO intervention is normally required. However, RDSO should advise the firm to develop more than one vendor for raw material/sub assembly in their own interest to overcome dependence on **single source** and get the same incorporated in the QAP.

When sources of **critical** raw material/sub assembly for an item are mentioned in the RDSO specification, then in case of **single source**, the directorate should make effort for multi-sourcing. Such case of **single source** should be reviewed periodically, at least yearly basis."

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3.13 Approved copy of QAP

While communicating the fresh registration to the vendor, the approved copy of QAP (Quality Assurance Plan) shall be sent to the vendor for implementation, duly stamped as 'approved'. The QAP shall be for the products for which the firm is approved. QAP must mention the work address of the firm.

3.14 Review/ up gradation of QAP

The QAP shall be approved by the officer nominated for capability assessment. This will be subject to review/ up gradation by RDSO in the light of fresh data & experience.

3.15 Communication of approval

The approval shall be communicated through letter and status of vendor be updated on website and respective vendor directory. Scanned copy of letter shall also be send through e mail. Timely updation on website & vendor directory must be ensured. The date of approval on file by Directorate head shall be the effective date of approval. The effective date of approval shall be mentioned in the letter.

Note: No approval certificate is necessary and firm's name in approved vendor list is considered sufficient.

4.0 Relaxation of vendor registration requirements:

4.1 Relaxation for vendors approved with Railway Production Units:

Based on the experience of RDSO, it is found necessary to provide for a simpler procedure of registration in respect of vendor approval of items transferred from the purview of Production Units (PUs) to RDSO. A vendor approved by a PU for an item transferred from the purview of the PU concerned to RDSO, may be exempted from procedure for registration followed by RDSO, subject to the condition that the approval category of the vendor and the date of approval shall be remain same as that listed at the PU concerned on the date of appearance in the RDSO vendor directory. However, undertaking as per Annexure-X shall be taken from the vendor in due course.

Those items/products developed by 'Railway PUs' through regular transfer of technology can straight away be used (after due inspection) by the concerned PU without any RDSO's involvement.

4.2 Relaxation as provided under product development directive:

Relaxations as listed in the directive for product development are applicable as described in QO-D - 7.1-15.

5.0 Vendor registration: Expression of interest (EOI):

5.1 Condition of calling EOI

The following are specific conditions when an EOI shall be called:

5.1.1 Less than three vendors for a given item

Regular 'Expression of Interest' should be published in newspapers (preferably on three monthly basis) for all approved items having less than three vendors. All developmental items shall also be listed in these EOI.

For urgent developmental items, separate EOIs shall be called when required.

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5.1.2 For equipments/items having RDSO specifications but no vendor approval by RDSO

Many equipments/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.

6.0 Quality Audit of Approved vendor :

6.1 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 Track design directorate of RDSO at an interval of 5 years or on need basis based on adverse field performance report whichever is earlier. All units shall ensure that these quality audits are timely carried out.

Those foreign firms which are already approved and there are Indian firms also available for the same product approved by RDSO, shall be asked to switch over to manufacturing in India through Transfer of Technology with an existing Indian firm or through Green Field Project latest by 01/01/2016. This aspect shall be considered for continuation of such foreign firms while reviewing the approved list to be issued on 01/01/2016. All such firms shall be advised to take necessary action accordingly.

6.1.1 Form for quality audit of vendor registration: Quality audit of vendor registration as mentioned above shall be proposed in the form at **Annexure-VIII**.

6.2 Periodicity of Quality Audit-

Periodicity for quality audit shall be 5 years. Periodicity of 5 years shall be taken from date of fresh approval/date of last quality audit. It may be ensured that periodic quality audit is conducted well before the next due date for periodic quality audit. In case, quality audit could not be carried out by RDSO within due date, firm's name shall continue in approved list till quality audit is completed.

6.3 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 directorate head can also be carried out during such quality audit. Further, certain documents like factory license, latest electricity bill and ISO certificate shall also be included in Quality Audit Report.

6.3.1 Quality Audit Format:

The duly completed Quality Audit report on the standard format as Annexure-IX shall be submitted to the directorate head with recommendations.

6.4 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.

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6.5 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.

6.6 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.

6.7 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, Directorate Head may decide to conduct out of turn quality audit as per para 6.3 above for further continuance of approval / downgradation/temporary delisting/delisting . However, depending on the seriousness of the issue, decision may be taken by Directorate Head 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.

6.8 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 directorate head to stop the inspection of the item temporarily before such corrective and preventive action is taken by firm & verified by RDSO.

6.9 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 vendor directory.

6.10 Charges for quality audit

Charges if applicable shall be levied / collected from the vendors as per document on Vendor registration schedule of charges at **ANNEXURE-III**.

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

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6.11 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

7.0 Vendor sample Type testing:

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 the specification or any other serious reason warranting fresh type testing.

7.1 Sample lot

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

7.2 Testing Charges

Testing charges shall be levied as per the schedule of charges given in **Annexure- III**

7.3 Failure in Type Test

If the sample fails in type test, the test value of the result for all parameters, including parameters which have been found non-conforming to the specifications, shall be intimated to the vendor. However, it should be ensured that the vendor has already deposited the testing charges as applicable.

7.4 Request for retesting

If the vendor desires to further offer the sample for re-testing, he may do so only after taking adequate corrective action to improve the product especially for the parameters, which were found non-conforming. The vendor shall inform in writing the technical corrective steps taken by him, to RDSO.

7.5 Retesting

Having been satisfied with the steps taken by the vendor, the vendor shall be asked to offer samples for re-testing. Firm should submit internal test result prior to visit of the inspecting officer to their premises. The RDSO official will pick up sample and seal the samples from a lot already in the store or manufactured in his presence as per requirement of RDSO for retesting. The sample shall be re-tested for all the parameters again as per the specifications. Testing charges for re-test shall be payable by the firm in advance.

7.6 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.

However, in exceptional cases, if there is sufficient justification to give a third chance based on technical competence/ reputation of the firm etc., a third chance may be granted 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.

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8.0 Vendor List/ Master List of approved vendors:

8.1 Format of vendor list

The vendor list issued by RDSO is an important document for which standard format shall be followed.

8.2 Instructions to be included in the preface of the vendor list

The following instructions shall be included in the preface/ instructions/ information given in the beginning of the vendor list.

“If due to any oversight/typographical error or any other reason, a vendor has been incorrectly placed in Part-I or Part-II for a particular item, then the vendor shall immediately inform RDSO about the error.”

8.3 Identification and versioning

All vendor list shall be suitably identified preferably following the template for maintenance of record of RDSO QMS.

All amendments should bear version numbers for identification and traceability. The uniform adoption for coding system to QMS documents & records is suggested.

8.4 Publication of list

Quality Assurance Directorate (Civil) shall publish the approved vendor list for items listed at **Annexure-I** also on the basis of information given by Track Design Directorate every six months, in the month of January & July,

8.4.1 Validity

The vendor list shall be controlled record of Quality assurance (civil) directorate, to be issued as per distribution list to be decided by the directorate. The list shall be valid for six months from the date of issue.

8.5 Changes during intervening period

Changes in the intervening period shall be advised by the concerned directorate to directorate issuing vendor list which in turn shall advise to the copyholders of the vendor list through amendments to the vendor list to be issued at the end of every month. However, fresh approval/ Up gradation/ Down gradation / Delisting are to be advised to vendors & copy holders immediately.

8.6 Display of vendor status on the website

The status of vender shall be displayed in vendor directory at RDSO website and periodically updated by the concerned directorate.

NOTE: The maintenance and regular update of approved list & display on website is solely the responsibility of concerned directorates. Directorates shall ensure from time to time that updated list is correct. Delisting of vendor shall not be done for error in the updated list of approved sources at any time.

9.0 Vendor changes in approved status:

9.1 Up-gradation of fresh vendors from Part-II to Part-I:

9.1.1 Prerequisites

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The vendors who are in Part II shall be upgraded to Part-I list only after compliance of all the following conditions :

- a) The vendor has applied in writing to RDSO for upgradation from Part-II to Part-I.
- b) 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 a Part-II 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 in service = 12 N

Or

Minimum Equipment Months for upgradation from date of issue of inspection certificate = 15 N

However, for upgradation under ii) on basis of 'Equipment Months' shall not be given before 15 months from date of issue of inspection certificate for N/2th item. Criteria whichever is earlier complied with from i) or ii) above can be considered for upgradation.

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-

- 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 1st Jan 2015) (col 3)	Months completed from this supply (as on 1st Nov 2015) (col 4)	Total cumulative Equip-months (As on 1st 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 Nov 2015. Although, it had completed minimum specified quantity in Jan 2015, hence ,as per **Supply-Time period criteria** it becomes eligible in May 2016.

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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 st Jan 2015) (col 3)	Equipment-months completed (as on 1 st Jan 2015) (col 1 x3) (col 4)
	90	Dec'13	12	1080
	50	March'14	9	450
Total	140			1530

Here, the firm has completed required equipment-months on 1st Jan 2015, But it cannot be upgraded as it must fulfil 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 $15 \times 1.2 = 22.5N$.

- The minimum specified quantity for each item is as specified in Item Specific Guidelines for that item. The same is also specified at **Annexure-II**. In case of variance, the minimum specified quantity mentioned in Item Specific Guidelines shall be applicable.
- Vendor should possess valid ISO 9001 certificate for manufacture of same/similar item at his work address This is a mandatory requirement for all vendors.
- The name of firm should appear in vendor directory.
- 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 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.
- In exceptional circumstances, where waiver to laid down conditions for upgradation of the firm is required, the same will require prior approval of DG/RDSO.

Note:

- When a particular firm is approved for complete product in approved list for Part I, then the firm is approved for all sub-assemblies/ components which are used in the product and are

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manufactured by the firm, provided that these components/items are appearing in approved list of vendor directory.

- II) Many equipments/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 Part-II, the mandatory period of one year for upgradation of firm to part-I can be dispensed with in case firm has already supplied minimum quantity for upgradation from part-II to part-I and performance of product supplied earlier was satisfactory

9.1.2 Time period for applying for up-gradation

The firms classified as Pt-II on the vendor list can apply maximum six months in advance of the date due for up gradation.

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 up gradation, shall be processed. However, delay if any in up-gradation with respect to due date, shall be attributable to the late receipt of application.

9.1.3 Penal Actions

Following penal actions can be taken against the vendors:

- i) Downgradation from Part II to Part I.
- ii) Temporary delisting
- iii) Delisting
- iv) Outright Delisting
- v) Banning of business

9.2 DOWN-GRADATION OF VENDOR FROM PART I TO PART II & DELISTING OF VENDOR:

9.2.1 Prerequisites

The vendors can be downgraded from Part-I to Part-II list or de-listed from Part-I or Part-II list directly in case of one or more of the below mentioned conditions considering the seriousness & nature of deficiencies and its effects on the quality of the 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.

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- 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 DG.

9.2.2 Notice and time bound reply

Downgradation 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.

9.2.3 Duration of downgradation

The down gradation shall be for a period of minimum one year.

9.2.4 Communicating downgradation

Downgradation/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 downgradation of the vendor.

The report should be sent to ISO Cell on the form containing information of downgradation, delisting of approved vendor enclosed as **Annexure VI**.

9.2.5 Reinstatement of vendor after down-gradation

Reinstatement from Part-II to Part-I:

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

9.2.6 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.

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- 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.

9.2.6.1 Notice and time bond 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.

9.2.6.2 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.

9.2.6.3 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 at **Annexure VI**.

9.2.6.4 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.

9.2.6.5 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 nonconformities which may be verified by any means such as quality audit etc.

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9.2.6.6 DELISTING

Prerequisites for delisting from Part-I or Part-II list directly are mentioned in para 9.2.6.1. The action of delisting can be taken considering the seriousness & nature of deficiencies and its effects on quality of products.

9.2.6.7 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.

9.2.6.8 Duration of Delisting

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

9.2.6.9 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 at Annexure-VI.

9.2.6.10 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.

9.2.6.11 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.

9.2.7 Outright delisting

9.2.7.1 Prerequisites

The vendors can, Outrightly delisted 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 DG.

Note: Delisting of vendor shall not be done for error in the updated list of approved sources or vendor directory at any time, for an item for which approval has not been issued by RDSO.

9.2.8.2 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.

9.2.8.3 Duration of Outright Delisting

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

9.2.8.4 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

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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 at **Annexure VI**.

9.2.8.5 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.

9.2.8.6 Reinstatement after Outright Delisting

a) The vendor shall be considered for reinstatement in 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.

9.2.8.7 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.

9.2.8.8 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

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

The firm can appeal to ADG/RDSO within 60 days of communication of the impugned order.

9.3 Picking and Testing of Samples from the lot already supplied by vendor and not at the initial inspection stage.

When the samples are picked up for testing of quality of product from the vendor premises, consignee end or any other location as deemed necessary, the following shall be ensured during picking and testing of samples.

(a) The picking up of samples as stipulated in Para-9.3 shall normally be done jointly with the firm. In case, the samples are picked up at consignee end, then the LOT can be kept aside if required and minimum seven days notice through email or fax shall be given to the firm for joint picking up of sample. In case, the firm does not turn up then the sampling can be done by the railway representatives. If the samples are picked up in the firm's premises after passing by the inspecting agency and before dispatch then the samples shall be picked up jointly with the firm's representative without giving seven days' notice. In case, the firm does not cooperate in joint picking up of samples in firm premises, then a report on this issue to be put up by Railway Official to Directorate Head for penal action.

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(b) Number of samples to be picked up;

Normally three samples shall be picked up for conducting routine/acceptance test. First one sample shall be tested, if it passes, no more test need to be done.

If the first sample fails, the vendor shall be asked to verify the remaining two samples (in case, the firm had not participated in picking of the three samples from consignee end/vendor premises). However, if the three samples were jointly picked up with the firm at the consignee end/vendor premises then the firm need not be called to verify the remaining two samples.

If verifications of the sample by vendor is required, a seven day notice through e-mail /fax shall be given to the vendor. In case the vendor representative does not turn up, the remaining two samples can be opened up by the Railway Representative for testing.

The remaining two samples shall be tested. Failure of any one of the samples shall be considered as a failure.

The above procedure of picking of sample jointly with firm shall not apply in case of investigation by CBI.

9.3.1 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 and before dispatch.

9.3.1.1 The sample will be sent for testing to an independent lab which will be either a Government lab or NABL/NABCB accredited lab. However, the independent lab will not be the lab where the item was earlier inspected nor will it be a lab under the control of vendor/Railways. It will be tested by the independent lab and the test report sent directly by the lab to the Railway unit for further action. In order to ensure neutrality of testing, the process of testing in the independent lab will not be done in the presence of vendor/ railway representative.

9.3.1.2 In case the test cannot be done in a government lab or in a NABL /NABCB accredited lab, it can be done at an independent 3rd party lab. In order to ensure neutrality of testing, the process of testing in the independent lab will not be done in the presence of vendor/railway representative.

9.3.1.3 In case, when the nature of testing is such that even an independent 3rd party lab is not available, then the testing can be done in the lab at the vendor or Railway premises. In such a case, the testing will be jointly done in the presence of vendor and Railway representative.

9.3.2 In case of failure of sample, action against the vendor shall be initiated as per Para 9.1.3 and 9.2 above and procedure to be followed for rejection of the lot 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

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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.

9.3.3 Appellate Authority and time period for appeal

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

The appeal against the order shall be addressed to ADG 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.

9.3.4 All the provisions contained in RDSO's ISO procedures laid down in document No. QO-D-7.1-11 dated 19.07.2016 (titled "Vender –Changes in approved status") and subsequent versions/amendments thereof, shall be binding and applicable on the successful vender/ vendors in the contracts floated by Railways to maintain quality of products supplied to Railways.

10.0 Vendor - Changes in vendor entity:

10.1 Inclusion of additional items:

10.1.1 If the firm is already approved for a particular product and desires to supply some additional products from the same work address, it shall be considered as fresh registration case and the same procedure will be applicable as for fresh registration. However, if the firm desires to apply for approval of their firm for "similar product" the requirement for which could be met by the existing M&P, Testing Facilities, Manpower etc. then Capability cum Capacity Assessment of the firm can be waived off by Directorate head.

The firm will have to apply on line and make payments applicable for fresh registration.

10.1.2 Vendors on other approved lists of Indian Railways

In case the Railway Board advises to add new items to the list of items for which vendor approval is to be dealt by RDSO and if approved vendors of such new added items are already existing on Railways/Production Units' approved list, then these approved vendors by Railways/Production Units can be taken in Part-I, subject to compliance to technical scrutiny by RDSO on the basis of compliance of STRs, Specifications, drawings, sample tests, QAP of vendors who have supplied minimum specified quantity with satisfactory performance.

10.2 Changes in Name of the Vendor

10.2.1 Request by vendor

On receipt of request from the interested vendor for regularization for only change of name to RDSO, the same shall be affected after scrutiny of relevant documents. Visit to firm should normally not be required.

10.2.2 Scrutiny by RDSO

If the RDSO official is satisfied based on scrutiny of documents like factory license, QAP with changed name (in triplicate), memorandum of article of association, undertaking by the new firm for liability of old firm, resolution by Board of Directors, Partnership deed etc., he will recommend for change of name of the firm and put up to Directorate Head for approval.

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It should be ensured that the ownership of firm/company is same.

10.2.3 Name change due to bifurcation of work premises

If change of name is done as a result of bifurcation of existing works premises, in addition to checking of documents as given above clause 10.2.2 capacity cum capability assessment will also be carried out by RDSO official before effecting the change of name of firm. Meaning of "firm" in this clause is the "bifurcated firm" having relevant documents confirming status as "original firm". In the above cases approval to only ONE firm having relevant documents confirming status as "original firm" shall be given. In case there are more than one resultant 'firms' claiming to be ' original firm' with relevant documents, all cases shall be processed as fresh registration.

10.2.4 Communication of name change

The vendor shall be informed in writing along with approved copy of QAP that the change of name has been noted by RDSO. The changed name shall be advised to all as per distribution /mailing list.

10.3 Changes in Works Address of the Vendor:

10.3.1 Prerequisite

On receipt of request from the vendor for change of work address, the nominated RDSO official shall visit the new work address and verify that,

- a) The work establishment has been shifted totally.
- b) The Machinery & Plants have been shifted totally/new M&P have been installed.
- c) The testing and laboratory facilities have been shifted totally.
- d) The approved QAP can be implemented as it is or more effectively in the new premises.
- e) Factory license, ISO 9001 certificate and SSI/NSIC certificate (if applicable) are available for new address.
- f) The ownership of the entity is same
- g) The samples manufactured by the firm at the new premises have been tested by RDSO, as in quality audit .
- h) QAP with changed work address (In triplicate).

Note : The vendor seeking change of location will submit the application along with the check sheet enclosed as Annexure-V. On submission of the information by firm on Annexure-V, the same shall be scrutinized. After being satisfied, the firm will be given go-ahead for shifting to new location. However, the production and inspection of the firm for the particular item will be stopped from date of granting above go-ahead and remain so till such time firm is assessed at new location and approved.

10.3.2 Communication of change

After scrutiny of the report, the acceptance in the change of address shall be communicated along with approved copy of QAP to the vendor, with the approval of the Directorate Head. The status of approval (Part I /Part II) shall remain the same.

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10.4. Partial shifting of works

The procedure laid down in Para 10.3 shall also be applicable in case of partial shifting of works, i.e. in case a part of the operations are shifted from the old location to a new location. In case of partial shifting, the inspection shall be carried out only at original approved work premises.

10.5 Additional Works Setup by Approved Vendor:

10.5.1 Prerequisite

Vendor shall inform RDSO in writing regarding setting up additional works for manufacturing the approved item(s) (in the same or other location) without affecting the works, which was already approved. In such cases, the nominated RDSO official shall verify that:

- a) The Machinery & Plants are similar to the works already approved. However, the vendor may use some of the facilities of the original works, as required. It should be clearly brought out in the QAP
- b) Which operations are being performed in the original works and which operations are being performed in the new works?
- c) The testing and laboratory facilities are similar to the works already approved.
- d) The approved QAP can be implemented as it is or more effectively in the additional works.
- e) Factory license, ISO 9001 certificate and SSI/NSIC certificate (if applicable) are available for the additional works.
- f) The ownership of entity & name is same.
- g) The samples manufactured by the firm at the additional works have been tested by RDSO, as in quality audit, for items where purchase inspection is not being done by RDSO.
- h) The firm has to apply online in this case and make **payment** as in fresh registration case.

10.5.2 Communication of change

After scrutiny of the report, the approval of additional works shall be communicated to the vendor, along with approved copy of QAP, with the approval of the Directorate head. The validity of the registration in such case shall not get affected. The status of approval (Part I/Part II) of the new works shall be same as that of the original works and subsequently, the status of both works shall be one and the same.

10.5.3 Changes in the entity of existing vendors

No changes are normally to be permitted in the entity of existing vendors. However, wherever unavoidable the following shall be ensured:

- a) The vendor shall inform the concerned directorate of RDSO regarding the changes. The directorate shall examine the same.
- b) In case of change of Ownership with name/without name, Merger, Take Over, Acquisition, Major Changes in Share Holding/ Directors of company, change in type of firm from Proprietorship/Partnership/ Pvt. Limited etc. the request may be considered, however, where changes are very confusing, complex or in case of disputes, RDSO reserve the right not to consider the request & advise the vendor to apply afresh. In such cases there shall be **no change in Work Address, Machinery & Plant, Bill of Material, Process defined in QAP etc.** affecting the quality of product. Firm shall inform RDSO as early as possible but not later than one month of such changes alongwith relevant documents in proof thereof & also other

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documents **such as Memorandum of Article of Association, Partnership deed, Resolution passed by Board of Directors etc.** The firm shall also submit the revised declaration for Allied/Sister concern clearly mentioning the Allied/Sister concerned due to aforesaid changes in Annexure X-A4

In above cases approval to only ONE firm having relevant documents confirming status as “original firm” shall be given. In case there are more than one firm claiming to be “original firm” with relevant documents, all cases shall be processed as fresh registration.

The firm shall also submit an affidavit on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed in the following format:

I son of aged about years resident of do hereby solemnly affirm as under –

That the deponent is the Authorised Signatory/ Sole Proprietor / Partner / Directors of (Name of the Sole Proprietor Concern/Partnership Firm/ Registered Company alongwith address). While carrying out the changes in the entity of firm (mention the changes), all the legal formalities as required as per prevailing rules/procedures/laws have been adhered with. All the said changes have legal sanctity and the entire responsibility for the changes lies with the firm. In case any type of dispute on this account arises in future then the firm will be solely responsible for the same and thereof no claim in consequences against RDSO/Railways whatsoever be raised. RDSO will be absolved from any legal eventualities. If at any time after approval is accorded, it came to notice that aforesaid changes has been made without following proper procedure/rules/law, then action may be initiated by RDSO including de-listing and withdrawal of approval of the firm without giving any further opportunity. I further certify that there is no change in Work Address, Machinery & Plant, Bill of Material, Process defined in QAP etc. affecting the quality of product

10.5.4 Closure of work address

10.5.4 .1 Closure of Main Work Unit:

If the vendor has only one work unit and has informed about its closure, the same shall be noted down by the Dte. and the name of the vendor deleted from the vendor list.

10.5.4 .2 Closure of Additional Work Unit:

On intimation by the vendor regarding closure of one or more additional work address, the same shall be noted by the Dte. and the additional work address/addresses deleted from the vendor directory. However, the vendor has to confirm that the main unit meets the requirements of complete manufacturing of the ITEM independently.

10.5.4.3 Closure of Main Work Unit by vendor having additional work units :

In case, a vendor decides to close Main Work Unit and intimates the same to RDSO, following action to be taken:

- i. Closure of Main Work Unit shall be allowed only if the additional work units is/are independent and have complete facilities for manufacture of the item.

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ii. If the vendor is in Part-I and additional work unit has supplied the minimum requisite quantity and meets the time period required as laid down for up-gradation to Part-I as per clause 9.0 to 9.2 above then the firm shall continue to be placed in Part I. In case, the above criteria is not fulfilled, the firm shall be placed in part-II and upgraded after fulfilling the laid down criteria.

11.0 Procedure for Creation of New specification, Revision to existing specification, and withdrawal of existing specification:

Note: The term specification is used throughout this para and shall be understood to mean specifications, schedule of technical requirements (STR) and any other technical documents that describe items or qualify the conditions of eligibility for evaluation of vendors.

11.1 Procedure for Creation of new specification for items

11.1.1 Creation of Draft Specification:

The product development shall be followed for development of draft specifications. Documents containing draft specifications shall be watermarked DRAFT on every page, to prevent the same from being used inadvertently or intentionally.

11.1.2 Display of Draft specification on website for the comments & suggestions

The draft specification shall be displayed for at least one month on the website and comments and suggestions shall be requested. The contact details of officials to whom the comments and suggestions are to be sent shall be clearly available to users of website for sending their comments.

The draft specification shall also be circulated to Zonal Railways and production units for comments and suggestions.

11.1.3 Creation of Reasoned documents for the comments:

The directorate shall then prepare a document containing all suggestions and comments and also record reasons for accepting / rejecting the same. Based on the accepted changes, the draft specification shall be modified. Such specifications shall be watermarked FINAL DRAFT on every page, to prevent the same from being used inadvertently.

11.1.4 Display of Final Draft copy on website

The copy of the Final Draft specification and the reasoned document shall be put up on the website, for at least 15 days. After the expiry of the time period, these documents shall be removed from the website.

The copy of the final draft specification, the received comments and reasoned document, shall also be sent to Railway Board or any other competent authority as required at this stage.

11.1.5 Creation of finalized copy of specifications

The final copy of the specification shall now be prepared including the suggestions if any, from the competent authority, ready for issue for use by railways and vendors.

11.1.6 Approval for issue of specification

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The concerned officer dealing with the particular specification shall put up proposal for the new Specification to directorate head for approval to initiate the creation. When putting up the file to the directorate head, the concerned officer shall prepare a self contained note addressing the following questions.

- a) Why the need for creation of new specification had arisen?
- b) Vendor base and action plan to develop new vendors
- c) Pricing of the item. Some quantitative estimation of pricing of the item shall be indicated in note for information
- d) A feedback format indicating specific parameters (for which feedback shall be collected) shall be prescribed along with the option to offer – “Any other remarks (other than those prescribed)”

11.1.7 Version for download on internet website

The directorate shall ensure that a copy of new document is uploaded on the RDSO website for downloads by other stake holders. The person authorized to upload the document on the website (presently nominated representative of QA-Mech Dte) shall certify that the document has been uploaded. The responsibility of the getting the certificate of uploading shall lie with the concerned personnel of the directorate controlling the specification.

11.1.8 Summarized report for DG listing specifications created

In the first week of every month, directorate head shall submit a summarized position of all the specifications created in the following format for information of DG.

S. No	Item	Specification	Date of first issue of specification		
1					

Note: This report may be merged with the report summarizing specifications revised/amended as described in revision to an existing specification

11.2. Procedure for changes to Specifications:

The following process shall be followed for the changing existing specifications.

11.2.1 Proposal for changes and approval by directorate head

The concerned officer dealing with the particular specification shall put up proposal for Amendment/revision of the specification to directorate head for approval to initiate the Amendment /revision.

When putting up the file to the directorate head, the concerned officer shall prepare a self contained note addressing the following questions.

- a) Why the need for change in specification has arisen?
- b) What are the parameters that are likely to be affected by the change?

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- c) Effect of change on the vendor base and whether new number of vendors shall be adequate on the basis of previous specifications?
- d) Effect of the change on the pricing of the item. Some quantitative estimation of the effect on the pricing of the item shall be indicated in note for information.
- e) Whether the change is likely to increase the service life of the component/equipment compensating thereby the increased cost likely to be paid, if any?
- f) Mechanisms already available and in place for monitoring the above parameters and mechanisms proposed to ensure purposeful and effective monitoring over the zonal railways. A feedback format indicating specific parameters (for which feedback shall be collected) shall be prescribed along with option to offer-“any other remarks (other than those prescribed)”

11.2.2 Creation of Draft of Specification:

The amendments required in the specification shall be done and draft copy of the revised specification shall be developed and approved by the directorate head. Documents containing such specifications shall be watermarked “DRAFT” on every page, to prevent the same from being used inadvertently or intentionally and proposed changes in the draft specification shall be marked in Red.

11.2.3 Display of draft on website for the comments & suggestions:

The draft specification shall be displayed for at least one month on the website and comments and suggestions shall be requested. The draft specification displayed on website shall also be emailed to all the existing approved sources for comments and suggestions. The contact details of officials to whom the comments and suggestions are to be sent shall be clearly available to users of website for sending their comments.

The draft shall specifically be sent to the existing vendors, who have their products qualified against the current specification and also to those in process of approval, by e-mail in order to particularly draw their attention to the proposed changes.

11.2.4 Creation of Reasoned documents for the comments:

The directorate shall then prepare a document containing all suggestions and comments and also record reasons for accepting / rejecting the same. Based on the accepted changes, the draft specification shall be modified. Such specifications shall be watermarked “FINAL DRAFT” on every page, to prevent the same from being used inadvertently.

11.2.5 Display of final draft copy on website

The copy of the draft specification and the reasoned document shall be put up on the website, after approval of directorate head, for at least 15 days. After the expiry of the time period, these documents shall be removed from the website. The draft specification displayed on website shall also be emailed to all the existing approved sources for comments and suggestions.

The copy of the final draft specification, the received comments and reasoned document, shall also be sent to Railway Board or any other competent authority if required at this stage

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11.2.6 Creation of finalized copy of changed specifications

The final copy of the specification shall be prepared including the suggestions if any, from the competent authority, ready for issue for use by railways and vendors. Final specification shall be approved by directorate head.

11.2.7 Date of enforcement

The date from which the revised specification is to be ensured is to be decided by the directorate head keeping in view the time reasonably required by the existing vendors to comply with the changed provisions and shall be mentioned in the Specification. Also, if necessary, some specific clauses may be made effective from different dates and the same shall be mentioned against the respective clauses in the specification.

11.2.8 Version for download on internet website

The directorate which has created the revised specification shall ensure that a copy of new document is uploaded on the RDSO website for downloads by other stake holders. The person authorized to upload the document on the website (presently nominated representative of QA-Mech Dte) shall certify that the document has been uploaded. The responsibility of the getting the certificate of uploading shall lie with the concerned personnel of the directorate controlling the specification.

11.2.9 Intimation of revised specification to vendors

All existing vendors & vendor under development shall be informed about the revision of specification through email/post.

11.2.10 Summarized report for DG listing specifications revised / amended

In the first week of every month, directorate head shall submit a summarized position of all the specifications revised/amended in the following format for information of DG.

S. No	Item	Specification	Date of first issue of specification	Dates of all amendments/revisions since first issue	Date from which the revised specification shall be effective
1					

Note: This report may be merged with the report summarizing creation of specifications as described in Creation of specification for items

11.3 Withdrawal of specification of Items:

11.3.1 Proposal recording the need for change

The concerned officer shall prepare a proposal for indicating the requirement for withdrawal of existing specification. This proposal shall be put up for approval by the directorate head. Further processing shall be done after approval by the directorate head.

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11.3.2 Information to Existing Vendors:

All vendors who have their products approved against the specification shall be informed about the withdrawal of specification including the reason for withdrawal.

11.3.3 Time period for withdrawal:

The minimum wait period of six months shall normally be allowed before withdrawal of any specification and the same shall be advised to all stake holders giving the reasons for withdrawal of the specification. However this period of 6 months can be reduced with the approval of DG on case to case basis. This period shall start from the date of publication of decision on website

11.3.4 Removal from the internet website

The directorate which has decided to withdraw the specification shall ensure that the copy of document is removed from RDSO website.

The person authorized to upload/withdraw the documents on the website (presently nominated representative of QA-Mech Dte) shall certify that the document has been removed from the website. The responsibility of the getting the certificate of withdraw shall lie with the concerned personnel of the directorate controlling the specification.

11.4 Change of controlling Authority for specification:

11.4.1 Proposal recording the need for change

The concerned officer shall prepare a proposal for transfer of control of existing specification. This proposal shall be put up for approval by the source directorate head and the destination directorate head shall also be informed. Further processing shall be done after approval by the source directorate head and consent by the destination directorate head.

11.4.2 Information to Existing Vendors:

All vendors who have their products approved against the specification shall be informed about the decision of transfer of control of specification.

11.4.3 Version for download on internet website

The source directorate shall ensure to inform the person authorised to upload the documents on the website. (presently nominated representative of QA (Mech) Dte.) who shall certify that the details about controlling dte./railway unit have been corrected. The responsibility of getting the certificate about uploading of such changes shall lie with the source dte controlling the specification.

12.0 Logistic provision by vendor for inspections:

The RDSO official while visiting the vendor's premises for inspections shall be provided suitable logistic support for accommodation and transport. The official while planning inspections shall inform the vendor of the transport and accommodation requirements as per entitlement. The guidelines for scale of accommodation and transport are as per the scales provided in the Government of India, Ministry of Finance, memorandum number 19030/2008 –E-IV dated 23/09/2008.

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13.0 General:

- (a) Vendors will inform Track Design Directorate of the changes in correspondence address, telephone no., Fax numbers & E-mail ID at the earliest.
- (b) As per the requirement, the inspection of the product shall be done by RDSO or other agencies as specified in the contract/purchase order. The inspection authority for normal inspection is indicated in vendor list. The quantity of material to be inspected by RDSO for a particular product initially before/after approval is given at **Annexure - II**. The form / template of Inspection Certificate is annexed as Annexure IV. The copies of inspection certificates shall be obtained from the Quality Assurance Civil Directorate for use.
- (c) Wherever prototypes are manufactured, the same shall be considered as sample.

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ANNEXURE-I

LIST OF ITEMS
(Allotted to Track Design Directorate of RDSO)

SN.	Item	Item Specific Guideline Document No.(#)
1.	IRS Hard Facing Electrodes for re-conditioning	TDG 0026 Rev.4
2.	Micro flow spray powder for re-conditioning of scabs, wheel burns of rails and cupped A.T. Weld joints.	M&C/W/103-2003 Rev.'0'
3.	New Alumino Thermic Welding Techniques	TDG 0017 Rev.2
4.	CMS crossings for 1 in 16 and special layouts	TDG 0036 Rev.1
5.	Improved Switch Expansion Joints for 65 mm max. gap and 80 mm max gap	TDG 0022 Rev.2
6.	Elastic Rail Clips Mark-V	TDG 0035 Rev.4

(#) Latest version should be ensured

New developmental items are also dealt by Track Design Directorate as per directives of Railway Board.

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ANNEXURE- II

**LIST OF ITEMS INDICATING MINIMUM QUANTITY TO BE SUPPLIED
FOR CONSIDERATION FOR UPGRADATION TO PART- I**

S. No	Item	Unit	Min. Qty.	Initial Quantity to be inspected by RDSO (*)	Inspection agency for subsequent Quantity
1	IRS Hard Facing Electrodes	Nos.	200 (\$)	Nil	Zonal Railways
2	Micro flow spray powder for reconditioning of scabs, wheel burns of rails and cupped A.T. Weld joints.	Nos.	As per Document No. M&C/W/103-2003	Nil	Zonal Railways
3	New Alumino Thermic Welding Techniques	Nos.	As per para 4 of TDG-0017 Rev. 2	As per para 4 of TDG-0017 Rev. 2	RDSO
4	CMS crossings for 1 in 16 and special layouts	Nos.	100	RDSO	RDSO
5	Improved Switch Expansion Joints for 65 mm max. gap and 80 mm max. gap	Nos.	100 #	RDSO	RDSO
6	Elastic Rail Clips Mark-V	Nos.	2 lacs	RDSO	Consignee Zonal Railways

* Initial Quantity to be inspected by RDSO can be enhanced by the same amount till the firm is found to have established the product. For this, Contract/Purchase Order awarding authority shall be informed for amending the Contract/Purchase Order accordingly.

For each design i.e. for 65 mm max. gap and for 80 mm max. gap separately

\$ Crossings to be reconditioned

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ANNEXURE-III

Vendor registration schedule of charges

The following table lists the charges for different activities for the process of vendor scrutiny / approval / renewal etc.

S. No.	Description of Charges	Amount	When to be levied	Remarks
1.0	Vendor registration fee	i) For Indian firms a) Rs.15000/- for Micro/ Small Enterprises. b) Rs.25000/- for other than Micro/ Small Enterprises ii) For Overseas Firms \$ 1000.	At the time of submission of the vendor registration forms by the applicant.	A lump sum shall be levied as vendor registration fees. This shall also cover registration, STR's, specification, drawings and assessment Charges. *Firm shall submit proof of being a Micro/Small Scale Industry (See Annexure-X)
2.0	For cases of fresh registration: a) initial Testing charges for • Testing of samples at RDSO. b) Incase of failure in tests, Retesting charges for • Testing of samples at RDSO.	As applicable by respective units of Directorate.	The amount should be realized at the time of submission of samples to RDSO	Testing charges shall be levied for tests conducted by RDSO in RDSO lab during initial approval and actual charges as being levied for test conducted in National Test House (NABL/NABCB accredited Lab) to be deposited directly to test house by the firm. *No testing

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				charges should be levied in case testing is to be conducted at firm's premises
3.0	For cases of Periodic Quality Audit/ out of course quality audit/ any inspections of firm a) Testing charges for • Testing of samples at RDSO.	No testing charges to be levied.		
	b) Incase of failure in tests, Re-testing charges for • Testing of samples at RDSO.	Charges to be levied As applicable by respective Units of directorate.	The amount should be realized at the time of submission of samples to RDSO	Testing charges shall be levied for tests conducted by RDSO in RDSO lab and actual Charges as being levied for tests conducted in National Test House (NABL/NABCB accredited Lab) to be deposited directly to test house by the firm. *No testing charges should be levied in case testing is to be conducted at firm's premises
4.0	For cases of testing required due to up gradation of specification charges applicable for approved vendors: a)Testing charges for	No testing charges to be levied.		

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	<ul style="list-style-type: none"> • Testing of samples at RDSO. 			
	<ul style="list-style-type: none"> b) Incase of failure in tests, Re-testing charges for • Testing of samples at RDSO. 	Charges to be levied as applicable by respective units of directorate.	The amount should be realized at the time of submission of samples to RDSO	<p>Testing charges shall be levied for tests conducted by RDSO in RDSO lab and actual Charges as being levied for tests conducted in National Test House (NABL/ NABCB accredited Lab) to be deposited directly to test house by the firm.</p> <p>*No testing charges should be levied in case testing is to be conducted at firm's premises</p>
	c) Tests which are undertaken at the behest of RDSO for development of new product for the benefit of Railways.	Nil Charges		
5.0	Testing of samples at laboratories identified by RDSO, wherever applicable	As applicable at the concerned laboratory	The vendor shall make the payment directly to the laboratory with an advice to RDSO.	
6.0	Cost of softcopies (PDF) of documents from RDSO website	Rs. 0/-		All softcopies (PDF) shall be provided free of cost.
7.0	Cost of specification, drawings in hardcopy from RDSO.	As circulated by the Finance and Concerned	Before issue of documents / drawings.	

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		directorate.		
8.0	Capacity and Capability assessment of firm by outsourced agency	As applicable for the concerned inspection agency.	The charges shall be payable directly by the firm to the inspection agency with an advice to RDSO.	ED/QA Mechanical Shall prepare a list of enlisted inspection agencies for such assessment
9.0	For developmental items developed by Railway Production units/workshops : Registration fee Testing charges for •Testing of samples at RDSO	No Registration Charges. No testing charges. All testing and retesting shall be done free of cost	Not to be levied	

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ANNEXURE – IV

अनुसंधान अभिकल्प और मानक संगठन, लखनऊ – 226011
RESEARCH DESIGNS AND STANDARDS ORGANISATION, LUCKNOW – 226011
निरीक्षण प्रमाण पत्र

INSPECTION CERTIFICATE

सेट न०. प्रति न० (मूल)
Set No COPY NO. N = {1,2,3,4,5,6,7} \ \ {(ORIGINAL)}

प्रमाण पत्र सं. : किस्त : दिनांक :

Certificate No. : Instalment : Dated.....

की ओर से निरीक्षण :

Inspection on behalf of :

कय आदेश / निविदा सं. : दिनांक :

P.O./ Contract No. : Dated :

मूल प्राप्तकर्ता :

Consignee :

द्वारा दिया गया:

Placed by:

फर्म का नाम और पता :

Firm's Name and Address :

निरीक्षण हेतु सामग्री प्रस्तुत किये जाने की तिथि : निरीक्षण करने की तिथि :

Stores offered for inspection on : Date of Inspection :

कय आदेश / ठेके के अनुसार सामग्री देने की अंतिम तिथि :

Last date of delivery as per P.O. / Contract:

मद Item	सामग्री का विवरण Description of Stores	आदेशित मात्रा Quantity on order	पहले पास की गई मात्रा Quantity previously passed	प्रस्तुत की गयी सामग्री की मात्रा Quantity offered for inspection	अब पास की गई मात्रा Quantity now passed	अस्वीकृत सामग्री की मात्रा Quantity rejected	शेष मात्रा Quantity still due

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निरीक्षित सामग्री पर सील का प्रतिरूप :

Facsimile of Seal on inspected material:

प्रमाणित किया जाता है कि / Certified that :-

1 पिछले पृष्ठ पर लिखित मदों को अंतिम रूप से निरीक्षण करके पास किया गया।
Items mentioned on the reverse were finally inspected and passed.

2 ये मद निर्धारित समय के भीतर अथवा सक्षम प्राधिकारी द्वारा बढ़ाई गई अवधि में दे दिये गये थे।
These items were tendered within the time stipulated (or as extended by the competent authority).

3 मद निरीक्षण एवं पास करने वाले अधिकारी/कर्मचारी के नाम, पद एवं हस्ताक्षर मोहर सहित।
Name, Designation & signature of Inspecting official(s) with stamp.

प्रति हस्ताक्षरित

Countersigned
कृते महानिदेशक / गु0आ0 / आर0डी0एस0ओ0
for Director General (Q.A.)/RDSO
स्टेशन:
Station
मोहर:
Stamp

प्रतिलिपि अग्रसारित / Copy forwarded to:-

1. फर्म का नाम और पता:
Firm's name and address:

2- वित्त सलाहकारी और मुख्य लेखा अधिकारी:
The F.A.&C.A.O.

3- माल प्राप्तकर्ता:
Consignee

4- प्रतिलिपि निदेशालय छपाई के समय अपने आवश्यकतानुसार अंकित करेंगे।
Copies to be marked by Directorate as per their time of printing.
प्रति हस्ताक्षरित

Countersigned
कृते महानिदेशक / गु0आ0 / आर0डी0एस0ओ0
for Director General(Q.A.)/RDSO

टिप्पणी:

1. भुगतान तभी किया जाए जब कि "निरीक्षण पमाण – पत्र" प्राधिकृत राजपत्रित अधिकारी द्वारा प्रति हस्ताक्षरित हो।
Payment should only be made when the inspection certificate is counter signed by an authorized Gazetted Officer.

2. यह प्रमाण पत्र सामग्री स्वीकार करने हेतु जारी होने की तिथि से एक माह हेतु वैध है।

This certificate shall be valid for one month from the date of issue for receipt of material

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ANNEXURE-V

Check Sheet for submission of Information Regarding Change of Works Address

- 1.0 Name of Firm
- 2.0 Items for which Approved
- 3.0 Present Works Address:
- 4.0 Proposed Works Address:
- 5.0 Key plan of Proposed Work Location on A1 Size sheet
- 6.0 Layout plan of Proposed Work Location on A1 Size sheet
- 7.0 Pending Orders with the firm (P.O. Number & Quantity)
- 8.0 Planning for execution of pending orders i.e. from Current works address or new Works location
- 9.0 Tentative Date for shifting to new location
- 10.0 Tentative Date for offering plant for Quality Audit to RDSO

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ANNEXURE –VI

Downgradation/ Delisting of Approved Vendor

1)	Name of the Vendor
2)	Name of the Product
3)	Name of the Dte. Controlling Vendor approval
4)	Whether Down gradation/ Delisting
5)	Reason for Down gradation/ Delisting

Enclosures:

1. Copy of page of current vendor directory showing the concerned Vendor.
2. Copy of ISO: 9001 certificate of concerned Vendor.
3. Copy of notice of down gradation/ De-listing issued to Vendor.

Signature of Directorate Head

To be sent to ISO Cell along with enclosures whenever any approved Vendor is downgraded/ De-listed

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ANNEXURE- VII

MAILING LIST

A. The Principal Chief Engineer:

1. Central Railway, CST Mumbai-18.
2. Eastern Railway, Fairlie Place, Kolkata-700001.
3. North East Frontier Railway, Maligaon, Guwahati-781001.
4. North Eastern Railway, Gorakhpur-273012.
5. Northern Railway, Baroda House, New Delhi-110001.
6. South Eastern Railway, Garden Reach, Kolkata-700043.
7. South Central Railway, Rail Nilayam, Secunderabad-500371.
8. Southern Railway, Park Town, Chennai-600003.
9. Western Railway, Churchgate, Mumbai-400020.
10. North Western Railway, Near Railway Station Jaipur-302001.
11. East Central Railway, Hajipur-844101.
12. East Cost Railway Bhubaneshwar-755001.
13. North Central Railway, Allahabad-211001.
14. South-East Central Railway, Bilaspur-495004.
15. South Western Railway, Hubli-580023.
16. West Central Railway, Jabalpur-482001.
17. Metro Railways, Metro Bhawan, 33/1 Chowringhee Road, Kolkata-700071.

B. The Chief Administrative Officer (Const.)

18. Central Railway, New Administrative Office Building, 6th Floor, D.N. Road, Mumbai CST-400001.
- 19/20. I & II, Eastern Railway, 4th Floor, New Koilaghat Building, Strand Road, Kolkata-700001.
21. Northern Railway, Kashmere Gate, Delhi – 110 001
22. USBRL Project, Opp. R.R.B., Jammu Tawi - 180013
23. North Eastern Railway, Gorakhpur – 273012.
24. Southern Railway, Egmore, Chennai – 600 003
25. West Central Railway, Jabalpur - 482001
26. South Western Railway, 18, Millar Road, Bangalore – 560 046.
27. South Central Railway, Rail Nilayam, Secunderabad – 500371.
28. South Eastern Railway, Garden Reach, Kolkata – 700043.
29. East Coast Railway, Chandrashekharpur– 751023, Bhubaneshwar,.
30. Western Railway, Churchgate-400020.

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31/32. **North and South, East Central Railway, Mahendrugat-Patna .**

33. North Western Railway, Near Railway Station, Jaipur-302001.

34. South East Central Railway, Bilaspur - 495004 (Chhattisgarh)

35. North Central Railway, Allahabad - 211001

36/37 I&II, N.F. Railway, Guwahati – 781001

C. Chairman-cum-Managing Directors

37. MD, RITES Ltd., RITES BHAWAN. No. 1, Sector-29, Gurgaon-122001 (Haryana).

37. MD, IRCON International Ltd., C-4, District Centre, Saket, New Delhi-110017.

39. CMD/ Konkan Railway Corporation Ltd., Belapur Bhawan, Plot No. 6, Sector 11, CBD, Belapur, New Mumbai-400614.

40. MD, RVNL, August Plot No. 25, 1st Floor, August Kranti Bhawan, Bhikaji Cama Palace, R.K. Puram, New Delhi- 110066

D. Director General/ Director

41. Director General, National Accadamy of Indian Railways (NAIR), Vadodara – 390 004

42. Director, IRICEN, Pune-411001.

43. Director, IRCAMTECH, Maharajpur, Gwalior-474020.

E. General Manager

44. GM (Const.), N.F. Railway, Guwahati – 781001

45. Metro Railways, Metro Bhawan, 33/1 Chowringhee Road, Kolkata-700071.

46. Central Organisation for Railway Electrification (CORE), 1, Nawab Yusuf Road, Civil Lines, Allahabad-211001.

F. Others

47. Executive Director, Track (M), Railway Board, Rail Bhawan, New Delhi-110001.

48. Executive Director, Track (P), Railway Board, Rail Bhawan, New Delhi-110001.

49. Executive Director/ M&C, RDSO, Lucknow.

50. Executive Director, QA Civil, RDSO, Lucknow.

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Annexure VIII

Form for Deciding Quality Audit of Vendor

It is reported that the entire evaluation for registration in respect of
M/s-----
----- (name & address of approved vendor),
for supply of-----
----- [description of item(s)],
who are approved as part-I/II for the said item, be repeated, due to the following reason(s);

- a) Periodic review after 3/5 (3 or 5 years as applicable)
- b) Major/Critical change in QAP proposed by the firm for the subject item which warrant quality audit (specify)
- c) Adverse report on performance of the subject item (give details);
- d) Any other (specify) -----

If accepted, notice shall be given to the above vendor
Reported (by concerned Director)

Authorities	Name	Signature with Date
Reported (by concerned Director)		
Accepted (by Director Head)		

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Annexure IX

Quality Audit Report

I . General Details-

1.	Firm's name		
2.	Office address		
3.	Works Address (Where Quality Audit conducted)		
	Phone No.		
	Fax		
	E-mail		
4.	Name of the Auditing Official		
5.	Designation		
6.	Date of Audit		
7.	Item covered during Quality Audit (Attach list in separate sheet if numbers of items are more.)		
S.No	Item Name	Spec./ Drg. No./STR	Status Part-I/ Part-II/Other, if any

II. Compliance of STR & Specification:-

SN	Item	Remarks
1.	Compliance of STR requirements/Item specific guidelines(Para wise)	
2.	Compliance of specification	
3.	Availability of all relevant standards, Specification, IS Code, Drawing, Reference Code	
4.	(a) Whether gauges are calibrated/approved (b) Measuring & testing equipment are calibrated.	

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III. Compliance of QAP:-

S.No.	Description	Remarks
1.	Check Firm's name and Works address on QAP	
2.	Whether firm is following the approved QAP	
3.	Whether firm has made any changes in Raw material/processes without informing them to RDSO	
4.	Check raw material purchase & inspection procedure	
5.	Verify in-process inspection & internal testing records of finished product.	
6.	Traceability of product from raw material to finished stage(if applicable)	

IV. Warranty compliance:-

SN	Item	Comment/ Observations
1.	Whether firm is maintaining a proper record of warranty complaints/ in-service failure and other general complaints.	
2.	Details of warranty failures complied/ pending as on date	
	SN	Item
	a.	No. of warranty failures reported from last Quality Audit/ fresh registration
	b.	No. of warranty claims complied
c.	No. of warranty claims pending on date	(Attach sheet giving details)

V. Supply Quantity details:-

Total Quantity Supplied (Since last Quality Audit)	Total Quantity to be supplied (as per purchase orders in hand)

VI. Verification of documents

S.N	Description	Validity	Attach verified copy
1.	Factory License		

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2.	ISO-9001 Certificate		
3.	Latest Electricity Bill	(Month)	
4.	Digital Signature and IREPS Registration		

VII. Sample Testing

1.	Whether Sample testing carried out	Yes/No
2.	If yes, attach Test results	

VII. Compliance of Last Quality Audit Observations : (Attach sheet in the following format)

S.N	Date of Audit	Details of pending quality audit observations	Proposed date of compliance

IX. Reassessment of Capacity (if applicable)

(Attach Separate Sheet)

X. Other observation of Quality Audit.

.....
 ...

 ...

 ...

 ...

 ...

XI. Recommendation

It is certified that the requirements of Quality audit of the firm are met with as detailed above. Therefore, as per extant policy, It is recommended that firm M/s

.....with works address

.....
 ... may be allowed in list of approved Vendors for manufacture and supply of
 in Part One (I)/Part Two (II)
 category for three/five years from date of fresh approval/last quality audit as applicable

Signature of Auditing Official
 Name
 Designation
 Date

(Countersignature (by field officer in-charge)

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Annexure X

List of documents to be sought from the vendors at the time of Fresh Registration

SN	Head	Legal Documents	Annexures
1	Status Of Vendor		
	a) for sole proprietorship concern	Self-declaration/Affidavit on non-judicial paper of appropriate stamp duty	Format as per Annexure - X-A1
	b) for partnership firm	latest partnership deed as per act	
	c) for registered company	Memorandum of association	
		Article of association	
	Ownership details / shareholdings of directors (with name) as on the date of registration		
d) for joint venture	MOU/ registered agreement		
2	Declarations/Undertakings	IPR infringement	Format as per Annexure - X-A2
		i) Confidentiality ii) Changes in the name and address ownership iii) Abiding with legal/statutory compliances and handing over of legal documents. iv) Plant & Machinery v) Abiding with RDSO's documents on vendor development published by ISO Cell	Format as per Annexure – X-A3
		Sister concern	Format as per Annexure – X-A4, X-A4-1, X-A4-2
3	Statutory compliances (as deemed necessary on case to case basis)	Factory registration	
		National small industries corporation (NSIC) registration	
		Micro/Small scale industry (SSI) registration	
4	Other documents	Power of attorney for authorised signatory in case of proprietorship concern/resolution of the partners or board of directors for authorised signatory in case of partnership firm or registered company as the case may be.	
		ISO certification	
		Digital signature certificate	
		Electricity bill	
		Authorization Letter	
			Format as per Annexure - X-A5

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Annexure- X-A1

(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and duly notarised & witnessed)

AFFIDAVIT

I, son of aged about Years, resident of do hereby solemnly affirm as under –

1. That the deponent is the sole Proprietor of the Proprietorship Concern / partner of the Partnership firm/ authorized director of the Registered company or Joint Venture Company(JVC) which runs in the name and style of

.....

2. That the office address of the aforesaid Sole Proprietorship Concern/ Partnership Firm/ Registered Company/Joint Venture Company (JVC) is at

.....

3. That the aforesaid Proprietorship Concern/ Partnership Firm/ Registered Company/Joint Venture Company (JVC) deals in **(here mention the details of business)**

4. That the deponent gives an undertaking that the Proprietorship Concern/ Partnership Firm/ Registered Company/Joint Venture Company (JVC) abides by all the statutory obligations required to run his business.

DEPONENT

VERIFICATION

I declare that the contents of para 1 to 4 above are true as per my knowledge and nothing has been hidden.

DEPONENT

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Annexure-X-A2

To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and duly notarised & witnessed)

**UNDERTAKING FOR INFRINGEMENT OF IPR FOR ALL THE ITEMS/ PRODUCTS
DEVELOPED BY THE VENDORS WHICH ARE IN THE PROCESS
OF APPROVAL**

I, son of aged about Years resident of do hereby solemnly affirm as under
—

1. That the deponent is the Authorised signatory of ***(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company/ Joint Venture)***.
2. That the deponent declares on behalf of ***(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company/ Joint Venture)*** that:
 - a) The development/ product/process is original and there is no infringement of Patent Rights. Indian Railways shall not be responsible for infringement of patent rights arising due to similarity in design, manufacturing process, use of similar components in the design & development of this item and any other factor not mentioned herein which may cause such a dispute. The entire responsibility to settle any such disputes/matters lies with the manufacture/supplier.
 - b) Details/design/documents given are not infringing any IPR and we are responsible in absolute and full measure instead of railways for any such violations. Data, specifications and other IP as generated out of interaction with railways shall not be unilaterally used without the consent of RDSO and right of Railways / RDSO on such IP is acceptable to firm.

DEPONENT

VERIFICATION

I declare that the contents of para 1 to 2 above are true as per my knowledge and nothing has been hidden.

DEPONENT

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Annexure-X-A3

(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and duly notarised & witnessed)

UNDERTAKING REGARDING:

- i) CONFIDENTIAL INFORMATION
- II) CHANGES IN THE NAME, ADDRESS, WORK PLACE AND OWNERSHIP
- III) LEGAL/STATUTORY COMPLIANCES AND HANDING OVER OF LEGAL DOCUMENTS.
- IV) PLANT AND MACHINERY
- V) RDSO's documents on vendor development published by RDSO's ISO CELL

I, son of aged about Years resident of do hereby solemnly affirm as under –

1. That the deponent is the Authorised signatory of ***(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company/ Joint Venture)***.

2. That the deponent declares on behalf of ***(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company/ Joint Venture)*** that:

a) No confidential information has been provided to RDSO and as such no claim shall be made against RDSO for infringement or leakage of any information.

b) that any change in the name, address, work place and ownership of the ***(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company)*** shall be done as far as possible with prior intimation to RDSO. If prior intimation regarding aforesaid changes is not given, then the same shall be intimated to RDSO forthwith and in any case not later than one month, failing which RDSO shall have the right to temporary delist ***(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company alongwith address)***

without assigning any reasons and the delisted vendor shall have no claim in consequence thereof against RDSO whatsoever.

c) All statutory requirements/obligations are being abided with, including the following:

- i. Sale Tax Registration
- ii. Income Tax Return
- iii. Labour Laws – Minimum Wages Act, Workman's Compensation Act, and Prohibition of Child Labour etc.
- iv. Any other legal/statutory compliance.

d) All/any documents stated in para 2c above, shall be handed over to RDSO as and when demanded.

e) If at any time after approval is accorded, some M&P is found deficient without intimation to RDSO along with reasons for the same, then action may be initiated by RDSO including delisting and withdrawal of approval of the firm without giving any further opportunity.

f) All documents of RDSO relevant with vendor development with latest revision as published by RDSO's ISO Cell have been gone through and shall be abided by.

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DEPONENT

VERIFICATION

I declare that the contents of para 1 to 2 above are true as per my knowledge and nothing has been hidden.

DEPONENT

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Annexure-X-A4

(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and duly notarised & witnessed)

UNDERTAKING REGARDING ALLIED/SISTER CONCERN

I, son of aged about years resident of do hereby solemnly affirm as under

1. That the deponent is the Authorised Signatory/ Sole Proprietor / Partner / Directors of ***(Name of the Sole Proprietor Concern/Partnership Firm/ Registered Company along with address)***.

2. The particulars viz name, father's name, age and address of the (Sole Proprietor of the Proprietorship Concern / Partners of the Partnership Firm/ Directors of the Registered Company) are as per **Annexure-X-A4-1**.

3. That the deponent declares that he is aware of the provisions of ISO9001:2008 Document No: QO-D-7.1-6 (latest version) regarding Vendor Application Processing, especially para 4.3.1, 4.3.1.1, 4.3.1.2, 4.3.1.3 and 4.3.1.4 thereof, regarding sister/allied concerns which are reproduced below:-

4.3.1.1 For Proprietary Firms: *In case of Proprietary firms, the firms qualifying the following criteria shall be categorized as sister concerns*

- *All the firms owned by the same person shall be considered as allied / sister concerns.*

4.3.1.2 For Partnership Firms: *In case of partnership firms, the firms qualifying the following criteria shall be categorized as sister concerns*

- *All firms having the same set of partners.*
- *In case, any one or more partners, who has a profit sharing ratio of 20% or more in the applicant firm as well as has any of the firms already registered for the same item with RDSO, both the firms shall be considered as sister concerns.*

4.3.1.3 For Companies: *In case of companies established under the Companies' Act, the firms qualifying the following criteria shall be categorized as sister concerns*

- *All companies having – "majority" of Directors common*
- *Any one or more Directors, or any of his/her close relatives (father, mother/stepmother, husband, wife, brother/step-brother, sister/step-sister, son/step-son, daughter/step-daughter, son's wife, daughter's husband, brother's wife and sister's husband), has 1/3rd or more share holding in the applicant company as well as in any of the companies already registered for the same item with RDSO, both the companies shall be considered as sister concerns.*
- *Common share holder having 1/3rd shares or more.*

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4.3.1.4 Other Conditions:

In addition to this, the firms/companies operating from same office or having same manufacturing works shall be treated as allied/sister concern.

4. That the deponent declares that under provisions of para 4.3.1, 4.3.1.1, 4.3.1.2, 4.3.1.3 and 4.3.1.4 mentioned in para 3 above **(mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company) is not a** sister/allied concern of any other **Sole Proprietorship Concern/ Partnership Firm/ Registered Company registered** as vendor in RDSO

Or

That the deponent declares that under provisions of para 4.3.1 4.3.1.1, 4.3.1.2, 4.3.1.3 and 4.3.1.4 mentioned in para 3 above **(mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company along-with address) is a** sister/allied concern of **(mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company registered as vendor in RDSO along-with address)** and further declares that the details of name, address, workplace, ownership and business of the aforesaid sister/allied Concern are as per **Annexure-X-A4-2**

DEPONENT

VERIFICATION

I declare that the contents of para 1 to 4 above are true as per my knowledge and nothing has been hidden.

DEPONENT

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Annexure-X-A4-1

PARTICULARS OF (SOLE PROPRIETERS/ PARTNERS/ DIRECTORS) – Tick any one

Sr. No.	Name	Father's name	Age	Address	Profit sharing Ratio/ Percentage share
1					
2					
3					
4					
5					

DEPONENT

Annexure-X-A4-2

DETAILS OF SISTER/ALLIED CONCERN

Sr. No.	Name of the firm along with type of firm i.e. (partnership/registered company etc.)	Address	Work place	Ownership details ie. Name & percentage share	Business details

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Annexure-X-A5

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AUTHORIZATION LETTER

I, son of aged about years Sole Proprietor / Partner / Director of
(Name of the Sole Proprietor Concern/Partnership Firm/ Registered Company alongwith address) do hereby authorize following persons to sign the documents on behalf of the firm :

S. No.	Name of person, alongwith father's name	Designation	Signature

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Annexure XI

CAPABILITY ASSESSMENT REPORT FOR VENDOR REGISTRATION

SECTION- I: GENERAL:-

1.	Firm's name	
2.	Office address	
3.	Works Address	
	Phone No.	
	Fax	
	E-mail	
4	Name of the assessing Official	
5.	Designation	
6.	Date of visit	
7.	Item covered during Capability assessment (Attach list in separate sheet if numbers of items are more.)	
S.No	Item Name	Spec./ Drg. No./STR

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SECTION II: TECHNICAL INFORMATION

1. Compliance of Schedule of technical Requirements (STR)
(Attach parawise compliance/verified proforma)

2. Details of Plant & Machinery available pertaining to the manufacture of the item under consideration including photographs. (The details shall include name of the machine, year of manufacture, capacity etc, number of such machines available.)
(Attach details)

SECTION- III QUALITY ASSURANCE

Please cross check and comment on following:

1. Does the firm has separate in-charge of Quality Control & production.

2. Does the firm maintain approved vendors' list for raw material/bought outs.

3. Does the firm has facility/provision for training of staff where applicable.

4. Does the firm has any quality management by way of:
 - a) Quality manuals
 - b) Quality Plans
 - c) Check lists etc

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5. Does the firm maintain proper record of calibration
of measuring instruments and test equipment?
6. Is the calibration record up to date?
Please give details
7. Is the environment conducive
to the production of Quality goods?
(Orderliness,lighting,cleanliness in
and around working conditions etc.)
8. Does the firm has adequate Space for
stacking/storage of Raw material & finished
product. (Does the layout Plan verified)
9. Does the firm's staff able to explain the
manufacturing and testing process.
10. Does the firm has necessary specification,
IS Code, Drawing, STR/Specification
guidelines.
11. Does the firm possess digital signature &
its registration with IREPS.
12. Does the documents such as SSI/NSIC/
Factory license, Latest electricity Bill,
ISO certificate etc. been verified
with original
13. Brief mention of other items manufactured &
supplied by the firm

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