

ISO9001:2015	Document No: QO-D-8.1-12	Version No: 1.2	Date Effective: 15.07.2020
Document Title: Vendor - Changes in vendor entity			



# RESEARCH DESIGNS & STANDARDS ORGANIZATION

Manaknagar, Lucknow – 226011

## QO-D-8.1-12

Vendor - Changes in vendor entity

### 1.0 Amendment History:

S. No.	Amendment Date	Version	Reasons for Amendment
1.	12.09.2018	1.0	First issue under ISO 9001:2015. Approved by DG/RDSO on NP-1 to NP-3 of MR/ISO9001/App/QMS/Doc/2018 on date 07.09.2018. No change in content from previous document no.QO-D-7.1-12 Ver 8.1 of 9001:2008 QMS.
2.	19.06.2020	1.1	Special DG VD (Vendor Development) has joined RDSO and looking after vendor development work. All proposal for ISO procedure related to vendor development , where it was earlier required to get the approval of DG/RDSO, now to be put up to Spl.DG/VD who is now designated as final authority in vendor development matters.  DG's note no. DG/Misc. dated 15.Jun.2020 and 16 June 2020 to ED /VDG RDSO/LKO
3.	15.07.2020	1.2	Added additional paras 4.1.2, 4.1.2.1, 4.1.2.2, & 4.1.2.3 after para 4.1.1, based on recommendations of Standing committee duly approved by Spl. DG/VD on 10.07.2020 at Note#12 in E- Office file no. RDSO-MR0ISO(VD-M)/1/2020 .

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## 2.0 Purpose

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

This document contains directives specific to changes of vendor entity.

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

## 3.0 Scope of Application

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

## 4.0 Details

Changes in the vendor entity shall be dealt with as follows.

### 4.1 Inclusion of additional item

**4.1.1** 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.

### 4.1.2 Extension of approval for 'Developmental Orders' to similar sub-items of a Main item to Vendors who are currently approved for one or more sub-items.

**4.1.2.1** A Vendor approved for one or more sub-items of a main item, if applies for approval for other similar sub-item(s) of a main Item, may be approved as a developmental Vendor for applied sub-item(s) under the Main Item. However, initially supply order quantity shall be limited, which shall be supplied only after satisfactory test of product prototype offered by the Vendor. Quantity restriction shall be removed after satisfactory test of product prototype. Type test charges shall be levied as given in Vendor registration schedule of charges as per Note.2 of Para 4.0 table of QO-D-8.1-14 (Version 2.0)

**4.1.2.2** List of similar sub-items (*in which process mentioned at point 4.1.2.1 above can be made applicable*) shall be decided by respective Directorates along-with the initial permitted quantity, and published on RDSO website, in advance. Condition of field trial, if any, in a particular sub-item can be waived off, considering capability of the Vendor proven in development of other similar sub-item(s) for which the Vendor is already approved. This list shall be published in Vendor Directory. Any changes other than necessitated due to decontrol of items from Vendor Directory, in this list shall be done with the approval of Spl. DG (VD).

**4.1.2.3** Procedure to deal with delay in removing the quantity restriction of the developmental Vendors and ensuring that Vendor does not take orders for more than the restricted quantity shall be as given in para 4.11.1 e) and g), respectively, of QO-D-8.1-6 (Version 3.0)

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## 4.2 Change in name of the vendor

### 4.2.1 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.

### 4.2.2 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 Dte. Head for approval.

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

### 4.2.3 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 4.2.2 above, 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 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.

### 4.2.4 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.

## 4.3 Change in works address of the vendor

### 4.3.1 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).

### 4.3.2 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.

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#### 4.4 Partial shifting of works

The procedure laid down in paras 4.3 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.

#### 4.5 Additional works setup by approved vendor

##### 4.5.1 Prerequisite

- a. 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: The Machinery & Plants are similar or better/superior 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/superior 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, see para 4.2 of QO-D-8.1-13), 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. However, documents which have already been furnished earlier (like declaration/ under-takings as per para 4.0(2) of document no.QO-F-8.1-7 and other common documents) need not be re-submitted.

##### 4.5.1.1 Status of vendor after clubbing of existing items is done to form a new group of items:

- i. Wherever clubbing of item is done to form a **new group of items** which will affect the status of the existing vendors, there a clear and sufficient cut-off date should be given and intimated to the all concerned vendors. In cases, where additional M&P is required to be procured, then minimum one year time should be given as cut-off date Where no additional M&P is required to be procured, cut-off date should be minimum 6 months.
- ii. After the cut-off date, the vendor who fails to get the approval for all the items of the **new group of items** should be temporarily de-listed from the 'List of Vendors for Development Orders'/'List of Approved Vendors', and should be automatically restored as soon as he gets the approval for all the items of the **new group of items**.
- iii. The status of earlier **approved** Work Addresses (prior to clubbing) of a vendor shall be treated as Approved Work Addresses after the vendor gets approval for the **new group of items**.

Inspection of any item/items from the **new group of items** can be carried out at any of the approved Units/Work Addresses subject to availability of required testing facilities.

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#### 4.5.2 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 status of approval of the vendor of additional works shall be same as that of the original works.

#### 4.6 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 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 A-4 of associated rec ref 1.

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 notarized & 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 along with 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.

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## 4.7 Closure of work address

**4.7.1 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.

**4.7.2 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 'List of Vendors for Development Orders'/ 'List of Approved Vendors'. However, the vendor has to confirm that the main unit meets the requirements of complete manufacturing of the ITEM independently.

### 4.7.3 Closure of Main Works/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:

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

## 5.0 Referenced Documents

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

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

## 6.0 Referenced Documents of External Origin

None

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## 7.0 Associated Records

As required by directorate documentation.

Rec. S No.	Document No.	Document Name
1.	QO-8.1-7	List of documents to be sought from the vendor at the time of fresh registration and Annexures/Forms.

## 8.0 Responsibility and Authority

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

## 9.0 Abbreviations

None

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