

No. QAM/ISO-9001/Misc.

Date: 20.08.2020

**Alternative Procedure for  
Capability Assessment, Prototype Inspection and Quality Audit  
during COVID19 Pandemic situation**

1. COVID has created an unprecedented extraordinary situation, which has adversely impacted the Vendor Registration Process.
2. To deal with above extraordinary situation arising out of COVID-19 pandemic, for a period of Six Months, the Directorate head may decide to adopt the following alternative procedure for Capability Assessment/Prototype Inspection/Quality Audit , on case to case basis, as outlined below:
3. **Outline of Procedure:**
  - 3.1. **Capability Assessment:**
    - 3.1.1. In case it is not possible to depute Officers from design/item controlling Dtes, arising out of Covid Pandemic, lack of suitable transport facilities/lockdown restrictions/Quarantine requirements in various States/Cities and similar exigencies, assistance can be taken from following, in order of precedence:
      - 3.1.1.1. Officer of Field offices of Quality Assurance Directorates having similar expertise as the design/item controlling dte, as available,
      - 3.1.1.2. Other officials of Field offices of Quality Assurance Directorates having similar expertise as the design/item controlling dte, as available,
    - 3.1.2. SSE/JE from concern design/item controlling dtes may be deputed to accompany the Officers from the unit mentioned in point 3.1.1.1 above, to the extent possible, keeping in view the importance and availability. Also, Online guidance can be given by the design/item controlling dte, if need be, duly following the methodology given in para 4. Decision in this regard to be taken by the head of the design/item controlling dte.
    - 3.1.3. However, if visit is undertaken by other field officials of QA dtes, Online guidance by the design/item controlling dte shall be mandatory, duly following the methodology given in para 4.
    - 3.1.4. If it is not feasible to depute Officers/Other officials of field offices of QA dte, online inspection solely can be undertaken by the design/item controlling dte, duly following the methodology given in para 4. However, if considered essential to depute Railway Official, assistance from PUs/ZRs/CORE can be taken by the design/item controlling dte, during such online assessments.
    - 3.1.5. Request for such visits to be made directly by the dte head to field in-charge of QA dtes; PHOD of PUs/ZRs/CORE.

- 3.1.6. An undertaking to be taken from the firm regarding genuineness of the information submitted, readiness for subsequent verification for the firm's premises by the Official of Design/item controlling dte and readiness to face the penal action, in case any discrepancy in such verification is noticed, which cannot be justified. Format for such an undertaking is enclosed as **Annexure-B**.
- 3.1.7. For reporting of the assessment, formats as laid down in respective ISO documents to be followed.

### **3.2. Prototype Inspection:**

- 3.2.1. In case Prototype Inspection has to be done at the officer level, procedure as mentioned in para 3.1 above to be followed. However, information required to be taken in advance from the firm can be decided by the respective dte. (ISO Document No. QO-D-8.1-6, ver-3.1/para 4.8)
- 3.2.2. In case, Prototype Inspection can be carried out at Staff level and it is not possible to depute the Staff of design/item controlling dte, assistance of staff from units mentioned in point 3.1 above can be taken and the same procedure followed.
- 3.3. Procedure given in para 3.1 and 3.2 above can be followed by QA dtes also, if it does not have field offices or it is not possible to depute Officer/Staff from field offices of QA dtes.
- 3.4. The procedure outlined in para 3.1 and 3.2 can be followed for conducting Quality Audit also.
- 3.5. For Quality Audit, in case suitable officers cannot be deputed, the Quality audit can be done by deputing a suitable supervisor on a case to case basis depending on the criticality of the audit. Decision in this regard can be taken by the Directorate head.

Directorate head may also consider to use the procedure outlined in para 3.1 and 3.2 for carrying out the quality audit.

- 3.6. Wherever there is requirement for the sample drawl during the Vendor Registration/ Quality audit, existing procedure for sample selection in ISO to be followed and the sample shall be picked up by RDSO official or at his direction by the authorized person deputed for the same and the sample shall be sealed and sent to the testing agency, as specified or decided by the director in charge.  
(ISO Document No. QO-D-8.1-6, ver-3.1/para 4.8  
ISO Document No. QO-D-8.1-13, ver-1.3/para 4.2)

4. **Methodology for Online Guidance/Assessment/Inspection**
  - 4.1. Firm to be asked to submit willingness for Online Assessment/Inspection and confirmation about availability of following facilities for Online Assessment:
    - 4.1.1. Internet connected standard High definition or full High definition Video Camera with good resolution, or similar, and having facility of date/time/GPS location stamping. If the geo location facility is not available, then few photos with mobile phone geo tagged photos can be sent at the time of sending video recording by the firm.
    - 4.1.2. Laptop (for video conferencing, duly connecting the Video Camera to it)
    - 4.1.3. Good Internet Connection for Video Conferencing.
    - 4.1.4. Adequate lighting for clear viewing of the facilities.
  - 4.2. After submitting confirmation, firm to be asked to nominate one Nodal Official, with name and contact details, for coordinating the Online Assessment/Inspection and submit video recording, with photographs, of requisite details to be verified/inspected, as mentioned in **Annexure-A**. Such Video recording/photographs to have clear visibility.
  - 4.3. Video Recording/photographs can be shared by the firm with Inspecting Authority & RDSO through any common large size file transfer app.
  - 4.4. After receipt and scrutiny of the video recording/photographs, date(s) shall be advised to the firm for visit of the Inspecting official and/ or Online Assessment.
  - 4.5. During online inspection, the entire process to be video recorded and snap shot of major facilities/documents to be taken, as feasible.
  - 4.6. Entrance and neighborhood buildings/installations to be verified and snap shots taken.
  - 4.7. Adequate lighting during such online inspection to be ensured by the firm for clear viewing through video camera.
  - 4.8. After inspection, recording to be saved in a portable hard drive, with proper cataloguing. However, such recordings need to be saved in a secure server of Railtel/CRIS, for which necessary arrangements shall be made by Telecom dte
  - 4.9. The sample shall be identified and sealed jointly and to be securely sent to the testing lab as specified or decided by the director in-charge.
5. The above-mentioned procedure may be adopted for next six months, as an alternative to existing procedure laid down in Apex ISO document, for the purpose of expediting the Vendor registration /Prototype Inspection/Quality Audit process, which can be reviewed based on the COVID19 situation and experience gained in the process.

6. Following provision has been made in the related Apex ISO document mentioned below, permitting implementation of the procedure outlined in this document :

**Paras:**

ISO Document No. QO-D-8.1-6, ver-3.1/para 4.6, 4.8 and 4.13

ISO Document No. QO-D-8.1-13, ver-1.3/para 4.2

ISO Document No. QO-D-8.1-10, ver-1.3/para 4.5

ISO Document No. QO-F-8.1-8, ver-1.2/under the head recommendation.

*“During the extraordinary force majeure situation, the special procedure as devised by RDSO may be used in place of physical inspection, as per approved instructions issued by RDSO for Capability Assessment, Prototype Inspection, and Quality Audit to be carried out by remote means”*

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**Annexure-A****Information to be provided by the firm for Online Assessment/Inspection**

**(To be submitted on the firms letter head, duly authenticated by authorized person)**

1. Video recording of Virtual tour of the factory, proposed to be registered with RDSO, including neighborhood buildings/installations front, left and right, factory premises starting from entrance gate, showing sequence of manufacturing process, inspection and quality control of components etc, including lab, machines, factory premises of manufacturing plant.
2. Photographs of neighborhood buildings/installations (front, left and right), Entrance Gate, all main facilities/documents, which need to be verified, with proper tagging.
3. Availability and details of following facilities for online inspection:
  - 3.1. Internet connected standard High definition or full High definition Video Camera with good resolution, or similar, and having facility of date/time/GPS location stamping (If the geo location facility is not available, then few photos with mobile phone geo tagged photos can be sent at the time of sending video recording by the firm)
  - 3.2. Laptop (for video conferencing, duly connecting the Video Camera with it)
  - 3.3. Good Internet Connection for Video Conferencing
  - 3.4. Adequate lighting for clear viewing of the facilities
4. Details of Nodal Official for Coordinating the visit:
  - 4.1.Name:
  - 4.2.Designation:
  - 4.3.Mobile Number:
  - 4.4.Email ID:

**Annexure-B**

**Format for Undertaking by the Firm for  
Online Assessment/Quality Audit/ Prototype Inspection**  
**( To be submitted on the firms letter head, duly authenticated by authorized person)**

1. I hereby give willingness for Online Assessment (*against Application ID:.....*)/Quality Audit of my firm's premises located at ...../ Prototype Inspection of the product manufactured by my firm..... (strike out whichever is not applicable)
2. I hereby certify and solemnly declare genuineness of all video recordings, photographs, documents, submitted by my firm.
3. If any discrepancy in the information provided by me in any form is found, RDSO reserves the right to take penal action, including de-registration, against my firm, in accordance with para 4.2.4 of RDSO's ISO Document No:QO-D-8.1-11 Ver.1.3 of 01.07.2020.
4. I also understand and agree that Online Assessment/Quality Audit/Prototype Inspection can be accompanied by presence of Railway personnel, authorized by RDSO.

Signature:

Name of Authorized Signatory:

Designation:

Name of Firm:

Address of Firm's premises proposed for registration: