



GOVERNMENT OF INDIA

MINISTRY OF RAILWAYS

**GUIDELINES FOR VENDORS
DEVELOPMENT AND APPROVAL
(Small Track Machines and Tools)
(Revision 01-2011)
Amendment-1**

**RESEARCH DESIGNS AND STANDARDS ORGANISATION
MANAK NAGAR, LUCKNOW-226011**

GUIDELINES FOR VENDORS DEVELOPMENT AND APPROVAL

(Small Track Machines and Tools)

(Revision 01-2011) Amendment-1

1.0 General :

The vendor approval policy shall be applicable for approval of STM, vendor registration, de-listing and re-instatement of status for vendors for Small Track Machine and P.Way Measuring Tool.

2.0 Definitions:

2.1 Primary Vendor: The vendor who manufactures the STM as per RDSO specification of its own and supplies the same to Railways directly.

2.2 Sub-Vendor: Vendor to whom primary vendor out-sources the parts of the item or from whom the primary vendor procures the item for supply. Item supplied by the sub vendor will form part of the bill of material of the primary vendor.

3.0 Abbreviations:

RDSO	:	Research Designs and Standards Organisation.
TMM Dte	:	Track Machines and Monitoring Directorate
EDTM /RDSO	:	Executive Director/Track Machines RDSO
STM	:	Small Track Machines
STR	:	Schedule of Technical Requirements
Tool	:	Permanent Way (track) measuring tool
QAP	:	Quality Assurance Plan
OEM	:	Original Equipment Manufacturer
AMC	:	Annual Maintenance Contract
NABL	:	National Accreditation Board for Testing and Calibration Laboratories

4.0 Policy for vendor approval:

4.1 Development of various Small Track Machines and P-way measuring tools by RDSO is undertaken either,

- i) as per decision of competent authority
- ii) firms offer to do development free of cost.

4.2 The firm shall either be a sole manufacturer or importer/ agent.

4.3 Starting from 1st Dec 2010, the process of vendor registration has been made on-line. No paper based applications shall be accepted by the directorate.

4.4 Provision of application forms and other documents:

Vendors seeking registration for Small Track Machines and Tools items shall register online on the RDSO website.

- 4.5 Vendors who are foreign firms manufacturing machines/tools or their authorized agents/representative based in India and having no manufacturing facility in India shall full-fill the following requirements:
- a) Firm shall have adequate infrastructure in India for getting the type test done and for assembling of components wherever necessary.
 - b) Firm shall have suitable repair/service support set up in India for after sales service and AMC.
 - c) Firm shall maintain a suitable inventory of required spares in India.
 - d) Firm shall possess written authorization from the principal / OEM regarding supply of the item(s) to Indian Railways full-filling of the above conditions.
 - e) The item must be suitable for Indian environmental conditions.
 - f) In case of more than one authorized importer/agent, each one shall apply separately.

- 4.6 (i) The item for which approval is sought, shall normally meet the requirement of RDSO specifications. However any deviation, not affecting its performance on Indian Railways may be considered by the Standing Committee on Small Track Machines (STMC). The manufacturer should have a QAP and should maintain all the necessary records of implementation of Quality Assurance Plan (QAP). Minimum requirements should be prescribed in the detailed guidelines to be issued by RDSO.

(ii) Minimum following documents shall be maintained with proper records by the firm regarding implementation of Quality Assurance Plan (QAP), if available.

- a) Organization chart emphasizing quality control setup.
- b) Qualification of key personnel and the manpower deployed in quality control department.
- c) Process flow chart indicating stages of manufacturing process for individual product and / or for a family of product if the process is same.
- d) Quality Assurance System-Inspection and Testing plan. This shall cover the following:
 - i) Incoming Material
 - ii) Process control
 - iii) Product control
 - iv) System control
 - v) Gauging scheme- in the format for each operation gauges shall be mentioned, if used.
 - vi) Internal inspection.
 - vii) Source of procurement for raw materials.
 - viii) System of calibration of testing and measuring equipment.

The QAP thus prepared following the above minimum points shall be got approved by RDSO.

- 4.7 Vendor shall preferably possess valid ISO 9001:2000 certificate for his works address, covering the items for which he seeks registration with RDSO.

- 4.8 It is desirable to possess valid digital signature and the firm shall submit the following details:

- a) Name of the Certifying Authority
- b) ID of the holder of Digital Certificate
- c) Date of issue of Digital Certificate
- d) Validity of Digital Certificate

4.9 The testing facilities and measuring equipment which are available in house shall be duly calibrated by a government test house or other agencies of national standards, accredited by NABL.

4.10 While applying for approval to manufacture and supply of the product, the firm shall ensure that :-

- i) All the relevant documents i.e. drawings/specifications etc. have been purchased from RDSO at requisite fee and studied.
- ii) The required plant and machineries, infrastructural facilities and quality systems are available.
- iii) The testing facilities and measuring equipment which are available in house, shall be duly calibrated by a government test house or other agencies of national standards.

5.0 (i) **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.	Vendor registration fee.	Rs. 15000/-	At the time of submission of the vendor registration forms by the applicant.	A lumpsum shall be levied as vendor registration fees. This shall cover registration, STR's and assessment charges.
2.	Sample testing charges for testing of samples at RDSO during the process of approval of vendors for RDSO vendor list.	As applicable by directorate.	The amount should be realized before the testing of samples.	The first three vendors for a given item shall be exempted from payment of sample testing charges. The testing charges shall be refunded to the first three approved vendors on inclusion into the vendor list.
3.	Sample testing charges for testing of samples at RDSO for approved vendors in case of renewal of registration.	All testing shall be done free of cost for first samples. Incase of failure in test see instruction under s.no. 4 of this table.	Not to be levied	All approved vendors are exempted from paying testing charges for tests at RDSO in case of renewal of registration.
4.	Sample testing charges for	As applicable	The amount	

	re-testing of samples at RDSO during renewal in case of failure of first sample.	by respective directorate	should be realized before the re-testing of samples.	
5.	Sample testing charges for testing of samples at RDSO for approved vendors in case of up-gradation of specification.	All testing shall be done free of cost for samples.	Not to be levied.	All approved vendors are exempted from paying testing charges for tests at RDSO in case of up-gradation of specification.
6.	Testing of samples at laboratories identified by RDSO.	As applicable at the concerned laboratory	The vendor shall make the payment directly to the laboratory.	
7.	Cost of one specification	Rs. 2000/-	Before issue of Specification.	
8.	Cost of drawing(s) of one item	Rs 500/-	Before issue of drawing(s)	All drawing(s) of a particular item shall be provided in this cost. In case an item has more than one drawing, the charges shall remain same.
9.	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.	ED/QA Mechanical Shall prepare a list of enlisted inspection agencies for such assessment.

(ii) RDSO reserve the right to change the charges/introduce additional charges without prior notice.

6.0 **Technical capability assessment for approval :**

6.1 **Application and its Assessment:**

Applications should be scrutinized by RDSO within a stipulated timeframe, (45 days of the receipt of the application) and any additional information can be sought during this period from the firm. The firm may be allowed to reply within a period of 45 days. Upon due consideration of the application and such replies, the ED/TMM/RDSO would take a decision whether on the basis of information supplied, firm can be considered for a visit for assessment of its capability. The visit should be undertaken within 45 days of receipt of reply from firm and payment of due charges, as stipulated by RDSO. If the application and details submitted are not found satisfactory and the application is rejected, firm shall be advised of deficiencies giving a timeframe (max. 6 months to comply). If the firm reports complete compliance within the stipulated time, the case may be reviewed with the permission of ED(TMM)/RDSO. If the firm fails to report

complete compliance within the above mention period, the firm will have to apply afresh to RDSO.

- 6.2 The firm shall make necessary arrangements for the inspection related to technical capability assessment of the firm. During the inspection, the inspecting officials shall have free access to all the sections of the firm's premises.
- 6.3 During assessment, the firm shall produce all the documents in original in support of the establishment of the plant & machineries of the firm. Copies of all the relevant documents shall also be handed over to the inspecting officials. Supporting technical documents regarding manufacture of the item for which approval is being sought, shall also be checked.
- 6.4 If any deficiency is observed during assessment in manufacturing, assembly and testing facilities of the firm, the same shall be intimated to the firm for making good within a stipulated period, (6 months) which shall be verified by the inspecting official again (within 45 days of such compliance). After passage of six months, his application will be treated as cancelled and after that it will have to apply afresh. However, at the request of the firm another three months can be given by the directorate head i.e. EDTM after satisfying himself with the merit of the case and genuineness of the delay.
- 6.5 After successful assessment of the firm, it shall be asked to manufacture prototype samples. The firm shall conduct testing and inspection of prototype samples as mentioned in the specification and drawing as a pre acceptance test/ internal test of prototype and the results of the same alongwith drawing of sample(if any) shall be submitted to RDSO.
- 6.6 If the firm is already approved for a particular product and desires to apply for approval of their firm for "similar product" requiring same QAP and machinery and plant, capability cum capacity assessment of the firm can be waived off by EDTM/RDSO after ascertaining that the firm has enough capacity to manufacture this item based on past record and no additional facilities would be required for manufacture of the item in question.
- 6.7 If the firm is already approved for a particular product and desires to supply some additional products, it shall be considered as a fresh registration case and the same procedure will be applicable as for fresh registration.
- 7.0 **Prototype Testing:**
- 7.1 Testing and inspection of prototype samples shall be carried out by RDSO as per approved RDSO specification/drawing and functional requirements. This will include the tests for chemical composition, hardness, mechanical properties etc. as applicable, and to be carried out at manufacturer's premises. In case the testing facilities are not available with the firm, the test shall be done from a reputed Govt. recognized testing agency. Field trials will also be arranged by the firm, whenever required.
- 7.2 If the samples do not fulfill the requirement(s) as mentioned in the specification/ drawing of the item concerned in the testing conducted by RDSO, the firm shall be

advised to submit fresh samples after compliance of short-comings/ deficiencies observed during testing, within a stipulated time of (6 months). If the firm fails to make good the deficiencies within stipulated time the application will be rejected.

7.3 For the tests/field trials/assessment the concerned firm shall extend all facilities to the inspecting team as required for completing the tests etc.

7.4 After successful testing, the prototype sample will be preserved at RDSO for a period of minimum one year or as advised by RDSO. There will not be any commercial obligation on RDSO/Indian Railways.

7.5 After satisfactory completion of the tests and field trials, the detailed reports shall be put up to Standing Committee on Small Track Machine who will submit its recommendations to Board.

8.0 **Approval:**

8.1 **Competent Authority:**

The specifications and vendors lists of Small Track Machines will require approval of Add. Member (CE). ME may duly be kept informed & new type of Small Track Machines which are proposed for development (Trial) will require the consent /approval of Board (ME). All the necessary procedural, technical, record keeping and nodal assistance shall be provided by TMM Directorate of RDSO. The Standing Committee on Small Track Machines (STMC) shall examine all new/existing cases as per the policy and will submit committee recommendations to Railway Board. After the approval of competent authority the same will be communicated. The meeting of Standing Committee shall be held twice in a year normally at an interval of 6 months. The STMC shall also periodically review the usage and utility of approved machines and give recommendations for improving the same.

8.2 Approval for an OEM/imported machine will be accorded for original machine along with all fittings and fixtures without any modification/change.

(i) Imported machines include all fitments, attachments, accessories as imported.

(ii) The consignee should check import authenticity of imported machines. Some of the documents that may be relied upon are

(a) Original equipment manufacturer test certificate

(b) Bill of lading

(c) Bill of entry

(d) Original packing slip etc.

8.3 Normally part indigenization shall not be permitted. In case supplier wants to indigenize any part he should approach to RDSO with details of transfer of technology approved from OEM and the case shall be dealt as afresh as per para 6.0.

8.4 RDSO/Indian Railway reserves the right of rejecting any machine/firm without assigning any reason to the firm.

9.0 **Fresh Registration for the new type of small track machines or P.Way measuring tools:**

- 9.1 The vendor seeking approval for a new type of machine/tool, which does not figure in the current list approved type of machines/tools, needs to apply in same manner as applicable for developmental category/multi-sourcing. All the procedure and steps right from submission of application to approval by competent authority will also be same as applicable for developmental category/multi-sourcing except with the following differences:
- 9.2 The approval for new item should be given only after the field trials and satisfactory performance in field trials.
- 9.3 For new items, initially only broad functional requirements should be issued from RDSO for the development of the product on trial basis and after satisfactory performance of the equipment thus procured, regular technical specifications should be drawn. The functional requirement may not be sent to Board for approval. Only detailed technical specifications after development of the item may be sent to Board for approval to be given at the level of AM(CE).
- 9.4 After due deliberation, STMC will recommend the initial approval for trial only, proposing some of the zonal Railways to procure and use the new item alongwith suggested trial quantities and the period of trial before regular adoption. The performance report of the new type of machine/tool will be submitted by the zonal Railways after predefined period and use. Performance Report shall be submitted with the approval of SAG officer nominated to deal STM and under the signatures of an officer not below the rank of JAG. The performance report will be put up to Standing Committee on Small Track Machine who will deliberate and submit recommendation to Railway Board for its regular use or otherwise.
- 10.0 Validity of approval:**
- 10.1 The approval shall generally be valid for two years. Extension of approval, generally for 2 years shall be examined and recommended by Small Track Machine Committee (STMC) after due deliberation of applications, performance, usages and utility.
- 10.2 For extension, the firm should apply at least three months before the expiring of the existing approval.
- 10.3 After six months from the expiry of the earlier approval, the vendor will be permanently de-listed from the approved list and will have to apply afresh.
- 10.4 During validity period of approval, if the firm doesn't participate in tenders invited by zonal railways, RDSO officials shall inspect the firm's premises, for the purpose of further extension of the validity period of approval in case the firm has applied for the same.

11.0 **Change of Specification:**

- 11.1 In order to improve the quality and /or performance of the approved machine/tool, whenever a need arise for a major change in specification/schedule of technical requirement or any other aspects in view of the RDSO/Railway, the suggested changes shall be informed to the vendor(s) by the RDSO. Already approved vendor(s) shall be required to comply with changes within the time frame specified by RDSO. Also the applicant vendor seeking fresh approval shall be required to comply with all the changes before the approval is granted.
- 11.2 If any approved vendor intends to modify or bring a major change in specification/schedule of technical requirements or any other aspects for improvement, the changes/modifications shall be intimated to RDSO with time-frame for materializing of such changes. The changes/modifications shall be verified by RDSO by conducting fresh type test as decided by EDTM/RDSO.
- 11.3 Fresh product sample testing shall necessarily be done whenever there is a major change in design, manufacturing process or specification. This testing shall normally be done in firm's premises.
- 11.4 All such cases of change in specification shall be deliberated in ensuing meeting of standing Committee on Small Track Machines for review and necessary recommendation.

12.0 **Type of vendor list:**

- 12.1 Track Machine & Monitoring Directorate shall maintain a master list of approved vendors in two categories
- (i) for regular supply (i.e. for Part-I & Part-II) and
 - (ii) for trial orders.
- 12.2 The vendors approved and included in Part-I are for regular supply and are eligible for getting an order for full quantity of the tender whereas the vendors approved and included in Part-II are for developmental order and eligible for getting an order for a part quantity (upto 20%) of the tender quantity as per the extant rules of store tendering system.

13.0 **Withholding / Suspension of approval of the vendor:**

13.1 **Suspension and de-listing of approval of the vendor:**

- a. **Performance reports/Complaints from Users/Adverse Performance Report:** Upon receiving such an adverse report from zonal railways which must be issued with the approval of SAG officer nominated for looking after STM and signed by an officer not below the rank of JAG, RDSO shall investigate the matter and undertake inspection of the defective/under performing machine/tool duly notifying the vendor.If the defects/under performance are established during the inspection, ED/TMM will be competent to suspend the vendor from approved list and will inform all Zonal railways

besides placing such suspension on website. The deficiencies shall be notified to the vendor for rectification within a stipulated time of 6 months. If the vendor fails to rectify the deficiencies satisfactorily, RDSO will put up the case to Small Track Machine Committee (STMC) for delisting. All cases of adverse performance reports and vendors under suspension shall be reviewed by STMC in their meeting and wherever necessary, appropriate recommendations shall be given. If the vendor rectifies the deficiencies/takes requisite corrective action within stipulated period, suspension can be revoked by EDTMM/RDSO.

- b. Suspension/delisting may also be initiated by RDSO after serving a show cause notice seeking time bound reply and considering the response of the firm to the notice in case of other non-conformities as per extant vendor approval policy of RDSO. However, all such cases shall be put up in ensuing meeting of Standing Committee on Small Track Machine for their review and necessary recommendation for continuation of suspension or de-listing etc.

13.2 **Deletion of vendors name from approved list**

- (i) The vendors can be de-listed from approved list by competent authority in case of one or more of the below mentioned conditions considering the seriousness & nature of deficiencies and its effects on quality of products:
 - a. Major non-compliance of the QAP.
 - b. Deficiencies/non-functioning of major machinery & Plants affecting the quality.
 - c. Premature withdrawal of support/collaboration by the collaborator.
 - d. During course of time, if the specification is amended and the vendor is not upgrading/providing the additional requirements within a specified time frame.
 - e. Any other situation leading to adverse effect on the quality of production.
 - f. The entire factory or part of it is reported closed/shut down/lockout.
 - g. Information provided by the firm is found to be incorrect.
 - h. The vendor is black listed/or business dealing is banned by Govt. of India or its offices on communication by the Board.
 - i. If at any time after approval, some machinery is found deficient without intimation to RDSO, firm's approval will be withdrawn immediately.
- (ii) De-listing shall be communicated in writing to the vendor. All concerned as per distribution of the vendor list shall also be advised.

14.0 **Re-Instatement of status of vendor de-listed:**

Once the firm is de-listed, the firm shall be considered for re-instatement treating it as fresh approval and the procedures as followed for fresh approval shall be applicable after satisfying following:

- a) The firm applies after complying the deficiencies.
- b) The request for re-instatement shall be considered only after a period of one year from the date of de-listing.

- c) The case shall be considered as for fresh approval and the procedures as followed for fresh approval shall be applicable.
- d) After being satisfied with the above criteria, the case shall be put up to ensuing meeting of Standing Committee on Small Track Machine for its consideration and recommendation.

15.0 Up-gradation of vendor's status from Part-II to Part-I:

- (i) 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 up-gradation from Part-II to Part-I.
 - b) The vendor shall have supplied minimum specified quantity as laid down. For the items already approved, these quantities are specified by TMM Dte.. Small Track Machine Committee (STMC) shall review these quantities from time to time and submit its recommendations for changes, if any.
 - c) A minimum period of 12 months has elapsed from the date of first successful supply to zonal railway before consideration by STMC committee.
 - d) No adverse report attributable to unsatisfactory quality/workmanship or performance of the product has been received from the Railways and assessed prima facie substantiated by RDSO till time of consideration for up-gradation or such report, if any, has been disposed off after satisfactory compliance.
 - e) Approval of firm is still valid.
- (ii) After being satisfied with the above criteria, the case shall be put up to ensuing meeting of STMC for its deliberations and recommendations to Railway Board.

16.0 Change in name of the vendor:

- 16.1 If a firm intends to change name of the firm, it shall make available an undertaking by the new firm for liability of the old firm, resolution by Board of Directors, partnership deed etc. which will be scrutinized by RDSO / Lucknow. In this connection inspection of the firm may also be carried out by RDSO/Lucknow, if considered necessary.
- 16.2 If change of name is done as a result of bifurcation of the existing works premises, in addition to checking of documents , re-assessment will also be carried out by RDSO official before effecting the change in name of firm.
- 16.3 The same policy as mentioned above shall also be applicable in case of the change in name of the production co-units of the approved vendor, the approved vendor shall be responsible for necessary formalities and submission of for new location related documents.
- 16.4 Competent authority shall grant approval for change of name and necessary change of name shall be advised to all copy holders of vendor's list.

17.0 Change of location/address of works/firm:

- 17.1 On receipt of request from the vendor for change of work-site, the RDSO official shall verify that.
- 17.2 The office of Works, Plant, establishment etc. has been totally shifted.
- 17.3 The Machinery & Plants have been totally shifted, set up and commissioned.
- 17.4 The testing and laboratory facilities have been shifted totally setup and commissioned.
- 17.5 The certificate from Small Scale Industries / registrar of companies or equivalent authority is available for new location of works.
- 17.6 The name of the firm is same.
- 17.7 Certificate for power connection from State Electricity Board is available.

Note:

Vendors on approved list will inform Executive Director, Track Machine & Monitoring Directorate of RDSO regarding changes in correspondence address, telephone numbers, Fax Nos. and E-mail at the earliest.
