

ISO9001:2015	Document No:QO-D-8.1-11	Version No: 3.5	Date Effective: 23.07.2025
Document Title: Vendor - Changes in approved status			



## RESEARCH DESIGNS& STANDARDS ORGANIZATION Manak Nagar, Lucknow– 226011

QO-D-8.1-11  
Vendor - Changes in approved status

### 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-7.1-11 Ver 15.1 of 9001:2008 QMS.
2.	08.05.2019	1.1	In whole document 'ADG/RDSO' replaced by 'ADG/RDSO (who is head of LTRR (SRESTHA))'. These changes are based on recommendation of "Standing Committee on Vendor Development and Approval Issues " at NP-26 to NP-28 of Computer Wing's file No. Comp/1.55.07.01 (Pt-I) Vol-III, which is approved by DG/RDSO on date 29.04.2019. Copy is placed at SN-23 of ISO Cell File no. "MR/ISO 9001/App/Vendor Interface Vol-III"
3.	22.06.2020	1.2	Special DG VD (Vender Development) has joined RDSO and looking after vendor development work. All proposal for ISO procedure related to vendor development, where it was earlier required to get the approval of DG/RDSO, now to be put up to Spl.DG/VD who is now designated as final authority in vendor development matters.  DG's note no. DG/Misc. dated 15.Jun.2020 and 16 June 2020 to ED /VDG RDSO/LKO
4.	01.07.2020	1.3	New para 4.1.3 added, based on recommendations of standing committee at NP-22 & Correspondence side SN-108 in eoffice file no. RDSO-RES0LKO(ISO)/1/2020 O/o Director /ED/RDSO, duly approved by the competent authority Spl.DG VD at NP-17.
5.	08.10.2020	1.4	Word 'D.G.' replaced by Spl. DG/VD in clause 2.0 and 4.1.1 c, based on recommendation of Standing committee on Note#17 in e-office file no. RDSO-MR0ISO(VDA)/1/2020-O/o MR/ISO/RDSO.
6.	04.12.2020	1.5	New para 4.4 added, based on recommendations of standing committee duly approved by Spl. DG/VD at Note#17 on date 01.12.2020 in e-office file no. RDSO-MR0ISO(VDST)/1/2020-O/o MR/ISO/RDSO . recommendations are placed at SN 20 in abaoe e-office file.
7.	18.01.2021	1.6	Modification in Para 5.1.1 & 5.1.2 and Deleted para 5.1.1.1 based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 27 on 12.01.2021 in the e-office file no.RDSO-MR0ISO (VDST)/1/2020-O/o MR/ISO/RDSO-Part (1) . Recommendations are placed at SN 53-58 in above e- office file.

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8.	22.01.2021	1.7	New paras 4.1.3 & 4.1.4 added and existing para 4.1.3 renumbered as para 4.1.5 based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 47 on 12.01.2021 and further clarification given by Standing committee at Note# 57 on 21.01.2021 in the e-office file no.RDSO-MR0ISO (VRQ)/1/2020-O/o MR/ISO/RDSO-Part (1) . Recommendations are placed at SN 2 in above e- office file.
9.	02.08.2021	1.8	Para 5.0, & 5.1.1 modified, based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 29 on 29.07.2021 in the e-office file no. RDSO-QA/M/2/2021-ED/QAM-. Recommendations are placed at SN 307-308 in above e- office file.
10.	24.09.2021	2.0	Para 4.11(f), 4.2.1.1 , 4.2.2, 4.2.2.2, & para 5.0, modified, based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 103 on 07.09.2021 in the e-office file no. SO-MR0ISO(VRQ)/1/2020-O/o MR/ISO/RDSO-Part(1) . Recommendations are placed at SN 81-88 in above e- office file.
11.	01.04.2022	2.1	Para 4.1 & 4.2.3 have been modified, based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 109 on 28.03.2022 in the e-office file no. RDSO-QA/M0HQ(ISO)/2/2020-ED/QAM/RDSO/HQ (Computer no. 9703). Recommendations are placed at SN 483-486 in above e- office file.
12.	11.07.2022	2.2	Modification in para 4.1.1 (a) based on recommendation of standing committee duly approved by Spl. DG/VD at Note # 31 & 37 on 15.09.2021 & 02.12.2021 respectively in the e-office file no. RDSO-QA/M0HQ(ISO)/1/2020-ED/QAM/RDSO/HQ (Computer no. 9699 from Note#27). The para 4.1.1 (a) which has to be modified has been further clarified by newly constituted 'Standing Committee' and same is placed at Note#61 on date 07.07.2022 in the above file.
13.	28.07.2022	2.3	Replaced word 'Directorate Head, or Head of Directorate' with 'ED controlling the item ( when final decision is taken at ED level)/ PED of Vertical ( where final decision is taken at PED level)' and Responsible authority for 'Requirement of deviation from directive' under the sub head 'Responsibility and Authority' in existing ISO documents with "PED of the concerned Vertical". These changes are based on recommendation of Standing Committee and duly approved by Spl. DG/VD on date 19.07.2022 at Note#14 in e-office file no. RDSO-MR0ISO(VD-C)/1/2020-O/o ED/Res/RDSO-Part(2) (Comp. No 123324). Recommendations of Standing Committee is placed at Note#11 in the above e-office file.  Para 4.2.1.1 (ii), 4.2.5 (i) has been changed as per recommendation of Standing Committee duly approved by Spl. DG/VD on date 21.07.2022 at Note#38 in e-office file no. RDSO-QA/M0HQ(ISO)/2/2021-ED/QAM/RDSO/HQ (Comp. No 193080). Recommendations of Standing Committee is placed at SN 89-94 of this file.
14.	22.09.2022	2.4	Modified para 4.1.1 (b), (c), (d) & (e) ,para 4.1.2 and deleted para 4.1.1 (f) & 4.1.1 (g). Changes has been done as per recommendation of Standing Committee duly approved by Spl. DG/VD on date 22.09.2022 at Note#15 in e-office file no. RDSO-UT0LKO(OS)/16/2022-O/o ED/UT/RDSO (Comp. No 137031). Recommendations of Standing Committee is placed at Note#11 of this file.

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15.	30.11.2022	2.5	Modified para 4.1.1, 4.1.1 (a) & 4.11(a) (i) and addition of another para in Note of Para 4.1.1 has been done as per recommendation of Standing Committee duly approved by Spl. DG/VD on date 28.11.2022 at Note#181 in e-office file no. RDSO-MW0POLI(GENL)/1/2020-O/o PED/SW/RDSO (Comp. No 13174). Recommendations of Standing Committee is placed at Note#180 of this file.
16.	07.07.2023	2.6	Added another Note:3 in para 4.1.1 after note:2. This revision of Document is based on recommendation of Standing Committee duly approved by Spl. DG/VD on date 06.07.2023 at Note#32 in e-office file no. RDSO-MR0ISO(VD-E)/1/2020-O/o MR/ISO/RDSO-Part(3) (Comp. No 84802). Recommendations of Standing Committee is placed at Note#31 of this file.
17.	05.02.2024	2.7	Modified clause 4.1.1 (V), based on recommendation of Standing Committee duly approved by Spl. DG/VD on date 02.02.2024 at Note#72 in e-office file no.RDSO-RDSO/1550/2023-O/o PED/TI/ RDSO (Comp. No 181339). Recommendations of Standing Committee is placed at Note#68 of this file.
18.	16.07.2024	2.8	Modification in clause 4.3 & 6.0 based on recommendation of Standing Committee duly approved by Spl. DG/VD on date 15.07.2024 in e-office file no. RDSO-MR0ISO(VDA)/1/2020-O/o MR/ISO/RDSO (Computer no. 16678) at Note#33 on the recommendation of Standing committee in e-office file no. RDSO-MR0ISO (VD-M)/ 1/2020-O/o MR/ISO/RDSO-Part(2) (Comp.No.82704) at Note#82 (Spl.DG/VD approval on date 22.03.2024.Recommendations of Standing Committee is placed at SN 290 in E-office file no. 82704 .
19.	14.10.2024	3.0	Para 4.0, 4.1, 4.1.1, 4.1.1(a), (b) (c), (d) (e) , 4.1.2, & 4.1.5 modified , deleted para 4.1.3 & 4.1.4 and added para 4.1.1 (f) & (g), based on recommendations of ISO Standing Committee placed at SN 79-83 & acceptance of Spl. DG VD, vide their note no. nil dated 09.10.2024 placed at SN 84-88 of e-office file no. RDSO-RDSO/1372/2024-O/o ED/STORES/RDSO (computer no. 244644).
20.	20.11.2024	3.1	Deleted sub para (i)-(vi) under para 4.1.1 (a), deleted notes (1,2&3) at the end of para 4.1.1, corrected roman numbering under para 4.1.1 (d) based on spl.DG(VD) note no. SPL.DG/VD/ISO dated 15.10.2024 and approval at Note No. #31 of eoffice file No RDSO-RDSO/1372/2024-O/o ED/STORES/RDSO (computer no. 244644)
21.	11.12.2024	3.2	Added para 5.1.3(b) (iii) & para 5.3 as per recommendations of Standing committee duly approved/modified by Spl DG/VD on E Office file no. RDSO-MR0ISO(VRQ)/1/2020-O/o MR/ISO/RDSO (computer no. 17167) at Note# 114 Recommendations are placed at S.N. 178-184 in the above file.
22.	02.01.2025	3.3	Modified para 4.1.1(b) & 4.1.1(d) as per recommendations of Standing committee duly approved/modified by Spl DG/VD on E Office file no. RDSO-SIG0ISO(ISOP)/1/2024-SIGNAL DIRECTORATE (computer no. 265348) at Note# 4 and E Office file no. RDSO-SIG0ISO(ISOP)/2/2024-SIGNAL DIRECTORATE (computer no. 265726) at Note# 2. Recommendations are placed at S.N. 6-11 & S.N. 1-2 in the above files respectively.

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23.	18.03.2025	3.4	“ED controlling the item (when final decision is taken at ED level)/ PED of Vertical ( where final decision is taken at PED level)” & “Concerned Vendor Approving Authority” in whole document has been replaced with “Concerned Vendor Approving Authority i.e. Vertical head (which is normally the PED concerned, except in case when there is no PED posted/looking after, the senior most officer of the Directorate). The changes has been approved by Spl. DG/VD on 13.03.2025 (Placed at SN-314 ) in e-office file no. RDSO-MR0ISO(VD-M)/1/2020-O/o MR/ISO/RDSO-Part(2) (Computer no. 82704)
24.	23.07.2025	3.5	<ul style="list-style-type: none"> <li>Modified Para 7.0 as per recommendations of standing Committee duly approved by Spl. DG/VD at Note#3 in ED/Stores e office file No.300971.</li> <li>“Vendor Approving Authority i.e. Vertical head (which is normally the PED concerned, except in case when there is no PED posted/looking after, the senior most officer of the Directorate)” has been replaced by” Vendor Approving Authority” in whole document. Placed at Note #14 in ED stores e-file 303042.</li> <li>Change in clause 10.0 (Requirement of deviation) approval placed at Note#9 of ED stores e-file 303042. All recommendations placed at SN 1-70 in e-office Master file no.306234.</li> </ul>

## 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 approved status i.e upgradation / down gradation, de-listing and re-listing etc.

A set of related documents create the full set of directives for vendor registration process at RDSO. These are listed under para 7.0.

## 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 Upgradation of fresh vendors from ‘List of RDSO Vendors for developmental order’ posted on IREPS website (UVAM) to ‘List of Approved Vendors.’

### 4.1 Prerequisites

4.1.1 The vendors who are in the ‘List of RDSO Vendors for developmental order’ posted on IREPS website ( UVAM) shall be upgraded to List of ‘Approved Vendors’ only after compliance of all the following conditions-

- The vendor has applied on UVAM to RDSO for upgradation from “ List of RDSO Vendors for developmental order “ posted on IREPS website ( UVAM) to “ List of Approved Vendors”.
- Vendor shall be considered for up-gradation to regular approved category after successful supply of the upgradation quantity and satisfactory completion of Field Trial period (Field Trial to be done for upgradation quantity) for upgradation stipulated for that item in the ‘Item Master’ of UVAM portal.

The Concerned Vendor Approving Authority shall define the Quantity and duration of Field Trial for each item for upgradation of vendor in the ‘ Item Master’ on UVAM.

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- c) The Concerned Vendor Approving Authority shall ensure transparency and competition through standardized vendor upgradation criteria. Various timelines for upgradation of the vendor to approved category for each item/group of items shall be decided and entered into 'Item Master' on UVAM.
- d) The Concerned Vendor Approving Authority shall keep the objective in mind to include maximum approved vendors in minimum time without compromising the quality aspect. For field trial period, items /group of items should be categorized as items requiring -
- (i) No field trial.
  - (ii) 03 months trial.
  - (iii) 06 months trial.
  - (iv) one-year trial and
  - (v) 18 months trial.

The Concerned Vendor Approving Authority shall ensure that there should be very few selected items requiring more than 06 months field trial and only rare items under category requiring field trial for 01 year or more. There should not be any item which takes more than 02 years for approval as Approved Vendor from the date of application by vendor, discounting the time taken by the vendor.

Items for which field trial period for upgradation is to be stipulated as more than 06 months and upto 01 year, approval of concerned PED shall be obtained.

For items, requiring field trial beyond 01 year, the justification shall be furnished by the Concerned Vendor Approving Authority for obtaining Railway Board's approval (routing it through DG/RDSO) as per Railway Board's policy letter No. 2021/RS(G)/779/7 dated 18.01.2022.

- e) Vendor should possess valid ISO 9001 Certificate for manufacture of same / similar item at his Works address. This is a mandatory requirement for all vendors.
- f) In exceptional circumstances, where waiver of laid down conditions for upgradation of firm is required, the same will require prior approval of concerned Special DG / Special DG(VD) / RDSO as the case may be.
- g) Once the application for upgradation has been rejected, the firm may apply only after rectifying all the reasons of rejection. However, if application is rejected again on same reasons or part thereof, then the firm's application may be entertained only after a minimum period of 02 months from date of second rejection of vendors application.

**4.1.2** After successful supply of Upgradation Quantity and satisfactory completion of Field Trial period for upgradation as specified in the Item Master on UVAM for the item applied for, the firm may apply, as mentioned in Para 4.1.1 (a), immediately for upgradation with documents in support of 'Receipt and Acceptance' of Upgradation Quantity supplied by the firm and any rejection/replacements made.

#### **4.1.3 Deleted**

#### **4.1.4 Deleted**

**4.1.5** All foreign firms, applying for upgradation as "Approved vendor" to note conditions in Para 4.2.4 of document QO-D-8.1-5 for compliance.

The Vendor Approving Authority shall review and ensure that provisions of the above para have been complied by the foreign firms so as to keep them in the Vendor Directory.

## **4.2 Penal Actions**

Following penal actions can be taken against the vendors:

- i) Downgradation from 'List of Approved Vendors' to 'List of RDSO Vendors for developmental order'.
- ii) Temporary delisting
- iii) Delisting
- iv) Outright Delisting
- v) Banning of business

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#### **4.2.1 DOWNGRADATION of vendor from 'List of Approved Vendors' to 'List of RDSO Vendors for developmental order' posted on RDSO website and DELISTING of vendor**

##### **4.2.1.1 Prerequisites**

The vendors can be downgraded from 'List of Approved Vendors' to 'List of RDSO Vendors for developmental order' posted on RDSO website list or de-listed from 'List of Approved Vendors' or 'List of RDSO Vendors for developmental order' posted on RDSO website directly in case of one or more of the below mentioned conditions considering the seriousness & nature of deficiencies and its effects on quality of 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/ STR/Specifications (Standards).
- 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.
- 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 Spl. DG/VD.
- ix) if any of the RDSO vendor forms JV or enters into MoU with any other RDSO vendor of the same item.

##### **4.2.1.2 Notice and time bound reply**

Down-gradation 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.

##### **4.2.1.3 Duration of downgradation**

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

##### **4.2.1.4 Communicating downgradation**

Down-gradation 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 under rec-ref(1).

##### **4.2.1.5 Reinstatement of vendor after downgradation**

###### **Reinstatement from 'List of RDSO Vendors for developmental order' posted on RDSO website to 'List of Approved Vendors':**

- 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 Concerned Vendor Approving Authority 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.

#### **4.2.2 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

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- 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.
- 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 Concerned Vendor Approving Authority

- i) If change in the name, address, work place and ownership not intimated to RDSO within one month.
- j) If sample picked up by an investigating agency (CBI/Vigilance) (as per prescribed procedure of sampling) fails in testing.
- k) If the vendor does not participate in any of the Railway tender between two consecutive quality audits or in last five years, whichever is earlier.
- l) Any other serious reason.

#### 4.2.2.1 Notice and time bound 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 Concerned Vendor Approving Authority shall record the reasons for dispensing with the show cause notice.

#### 4.2.2.2 Duration of Temporary delisting

The temporary delisting shall be until the compliance of non-conformities advised by vendor & same has been verified by RDSO through any means such as Quality audit/requisite inspections / documentary proofs.. If temporary delisting continues for more than one year due to non-compliance confirmation by the firm then process for delisting shall be initiated and completed within next six months.

#### 4.2.2.3 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 under rec-ref(1).

#### 4.2.2.4 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.

#### 4.2.2.5 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 non-conformities which may be verified by any means such as quality audit etc.

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### 4.2.3 DELISTING

Prerequisites for delisting from “List of Approved Vendors” or “List of RDSO Vendors for developmental order” posted on IREPS website (UVAM) are mentioned in para 4.2.1.1. The action of delisting can be taken considering the seriousness & nature of deficiencies and its effects on quality of products. If the vendor itself gives its application that he is no more interested to continue as RDSO Vendor for a particular item than his name can be deleted with the approval of the Concerned Vendor Approving Authority. Such vendor shall not be considered for reregistration for that item up to the next Five Years.

#### 4.2.3.1 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.

#### 4.2.3.2 Duration of Delisting

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

#### 4.2.3.3 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 under rec-ref(1).

#### 4.2.3.4 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.

#### 4.2.3.5 Re-instatement after delisting:

- 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.
- 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.

### 4.2.4 OUTRIGHT DELISTING

#### 4.2.4.1 Prerequisites

The vendors can, Outrightly de-listed in case of following:

- Tampering/forging of documents based on which approval/upgradation/ has been sought from RDSO.
- In case of any malafide, unethical practices being adopted by the firm.
- Any other reason considered serious by Concerned Vendor Approving Authority with approval of Spl. DG/VD.

NOTE: Delisting of vendor shall not be done for error in the updated list of approved sources or 'List of Vendors for Development Orders'/'List of Approved Vendors' at any time, for an item for which approval has not been issued by RDSO.

#### 4.2.4.2 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.

#### 4.2.4.3 Duration of Outright Delisting

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

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#### 4.2.4.4 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 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 under rec-ref(1).

#### 4.2.4.5 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.

#### 4.2.4.6 Reinstatement after Outright Delisting

- The vendor shall be considered for reinstatement to original status after due verification of QAP/STR.
- Reinstatement shall be considered only after minimum two years from the date of outright delisting and after conducting quality audit.

#### 4.2.5 BANNING OF BUSINESS

- If a vendor is black listed /or the business dealing with it are banned by Ministry of Railway itself or communicated by Railway Board based on the recommendations of any Ministry / Office, then delisting will be done by RDSO without issuing a show cause notice to the firm.
- Whenever proposal for banning of business is sent to board the firm should be DELISTED without mentioning the word permanent delisting/temporary delisting.

##### 4.2.5.1 Re-instatement after delisting due to Banning of business

For cases of delisting due to Banning of business dealing,

- The vendor shall be considered for restoration only when the time period of banning of business is over.
- The Original Status of Vendor shall be restored after due verification of QAP/STR

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

The firm can appeal to Concerned Spl. DG within 60 days of communication of the impugned order.

Following are the concerned special DGs.

- Spl. DG/Engg/RDSO for Appeals related with items pertaining to all Engineering Directorates
- Spl. DG/S&T/RDSO for Appeals related with items pertaining to all Signal and Telecom Directorates.
- Spl. DG/VD/RDSO for Appeals related with items pertaining to all other Directorates.

#### 4.4 De-control/de-listing of item from Vendor Directory by RDSO:

i. Once an item is approved for de-control/de-listing by Railway Board/RDSO from the Vendor Directory, a letter shall be issued from concerned Directorate of RDSO informing all the registered vendors (Approved/Developmental Vendor) of the item, that the registration of firm has been discontinued from the Vendor Directory w.e.f date, due to the item been de-controlled/de-listed by RDSO.

ii. The decision of RDSO on de-control/de-listing of any item and hence, Discontinuation of concerned registered vendors from the Vendor Directory shall be final and binding on all the vendors and no appeal can be made against such decision of RDSO.

iii. In case of de-control/de-listing of any item, PO's placed within 6 months of decontrol (Counting from uploading of amendment of RDSO website), inspection is to be undertaken by RDSO, if it is stipulated in PO as the inspecting agency. However, in case of any specific instructions issued by Railway Board to any of the directorate, same will have precedence over these instructions.

iv. Refund of Fee to the Vendor, in case of decontrol of items by RDSO shall be as per ISO Apex Document No. QO-D-8.1-14 (Para 4(10)).

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## 5.0 Picking and Testing of Samples from the lot already passed by the inspecting agency in the vendor premises or from consignee end/field.

In the above cases, the following shall be ensured during picking and testing of samples.

- (a) Representative of QA or Design directorates of RDSO or Railway investigating agency shall pick up samples jointly with the field unit representative, in case the sample is picked up from the field units/consignee end and with the firm's representative in case the sample is picked up at the firm's premises (after the LOT has been passed by the inspecting agency, but before despatch). In case, the firm does not cooperate in joint picking up of samples in firm premises, then a report to be put up by Railway Official to Concerned Vendor Approving Authority for penal action.

Authorized representative of RDSO shall not be from the Directorate which controls the lab where the sample is to be tested. Wherever possible the samples shall be suitably coded as per the procedure of concerned QA/Design directorate of RDSO as applicable, to ensure that the identity of the field unit/firm is not disclosed to the lab.

Authorised representative of RDSO shall not be from the Directorate which controls the lab where the sample is to be tested.

Wherever **possible** the samples shall be suitably coded by QA/Design directorate of RDSO as applicable, to ensure that the identity of the field unit/firm is not disclosed to the lab.

### (b) Number of samples to be picked up:

**Normally TWO samples shall be picked. 'FIRST' sample is for testing and 'SECOND' sample shall be 'Standby' sample** which shall be tested in case of any complaint or if directed by Spl. DG/VD. The **'Standby' sample** shall be kept in a newly created Section, designated as **'STANDBY SAMPLE STORE'**, located in Old Auditorium Building in RDSO. The concerned directorate shall through a **COMMON letter** send **'first'** sample to RDSO lab for testing and the second sample (i.e. **'Standby'** sample) to:

**Supervisor**

**Standby Sample Store**

**Old Auditorium Building**

**Opposite State Bank of India,**

**RDSO**

The **'standby' sample** shall be duly received by the supervisor posted in **'Standby Sample Store'**.

The second sample shall be **'standby' sample** which shall be kept in safe custody up to 6 months from the **date of issue** of letter by the lab intimating the test results of the **'first'** sample to the concerned directorate through a **COMMON letter** with a copy to:

**Supervisor**

**Standby Sample Store**

**Old Auditorium Building**

**Opposite State Bank of India,**

**RDSO**

In the **COMMON letter** addressed to the Lab, it shall be clearly stated that the Lab shall send the results to the concerned directorate with a **COPY** to:

**Supervisor**

**Standby Sample Store**

**Old Auditorium Building**

**Opposite State Bank of India,**

**RDSO**

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giving **reference of directorate's letter** (vide which sample was sent to lab) for proper linking.

The supervisor deputed in the **Standby Sample Store** shall stack the '**standby**' samples in **numbered rack/location** for quick retrieval and make entry in the register. Complete details of receipt /despatch/location, date of destruction etc. shall be maintained in the register.

The testing of '**standby**' sample shall be undertaken only with the approval of CVO/RDSO if deemed necessary, based on the complaint from Railways/Railway Board etc. or if directed by Spl. DG/VD/RDSO.

In case, it is decided by CVO/RDSO (within 6 months of issue of letter by the lab intimating test results of '**first**' sample) that the '**standby**' sample has to be tested, the same shall be handed over to the concerned directorate representative for taking it to the lab for testing under supervision of nominated official by CVO/RDSO. In no case, the '**standby**' sample shall be taken to any other place other than the RDSO lab where it has to be tested.

In case it is decided that the '**standby**' sample is to be tested in any outside lab then the '**standby**' sample shall be properly sealed and signed jointly by the representative of Design or QA directorate or CVO's representative and supervisor of **Standby Sample Store** in standby sample store, before dispatch by QA/Design directorate.

In case, no directive for testing of '**standby**' sample received from Vigilance within 6 months from the date of issue of letter by the lab intimating test results of the '**first**' sample, the '**standby**' sample shall be destroyed/disposed off and this date shall be recorded in the register maintained by the supervisor of Standby Sample Store.

## 5.1 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 before dispatch.

**5.1.1** RDSO can decide to send the samples for testing to M&C Lab RDSO or any other independent lab which will be either NABL/NABCB/any Govt. lab due to non-availability of facilities in M&C Lab RDSO. RDSO can also decide to send the samples for testing to any other Lab which has been accredited by an accreditation agency (which meets the criteria mentioned in para 4.5.3.1.1 Of QO-D-8.1-10) because of the capacity constraint in Govt. Lab/ NABL/NABCB Labs or decided by Spl. DG/VD because of any specific reason.

**5.1.2** In only those cases where neither the **RDSO lab** nor **Government lab** nor any accredited lab as per para 4.5.3.1.1 of QOD- 8.1-10 is available, the testing shall be done:

- i. In firm's lab (if facilities available) in presence of firm's and QA or Design directorate/ RDSO representatives.
- OR
- ii. In any other lab in presence of firm's and QA or Design directorate/RDSO representatives.

### Note: Definition of Government Labs

1. All Govt. Labs and testing houses Fully Owned by Govt. and registered as Lab and carrying out Tests for Private Agencies.
2. All Govt. PSU,s Labs and testing houses , carrying out Tests for Private Agencies.
3. All Labs of Govt. Research Organizations and Govt. Autonomous Bodies, carrying out Tests for Private Agencies.

## 5.1.3 Action to be taken based on test results.

- (a) In case, the '**first**' sample passes, the same shall be intimated by the Design or QA directorate to the field office from where the sample was picked up.
- (b) If the '**first**' sample fails following action to be taken:

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- i. In case, sample fails marginally in maximum two parameter by less than 5% from the prescribed values (i.e. for example if prescribed limit is 5-10 then marginal failure limit shall be 4.75-10.5) then RDSO shall intimate the consignee/ inspecting agency to take action for rejection of lot as per clause 5.2 given below.
- ii. In case sample fails in more than two parameters or in two parameters by more than 5% from the prescribed values then besides action for rejection of lot as per para i. above, PENAL action shall also be taken as per clause 4.2 of this document.
- iii. In case sample fails in one parameter by a large margin ( $\geq 10\%$ ) from the prescribed value then besides action for rejection of lot as per para (i), penal action also to be taken as per clause 4.2 of this document.

However, the severity of penal action shall be based on the degree of non-conformity i.e. :

- Criticality of the parameter in which sample failed.
- Percentage deviation of non-conformance from the acceptable limits in each failed parameter.
- Total number of parameters in which the samples failed.
- Past record of - number of **consignee end** samples inspected and % failed etc. shall be maintained and taken into consideration as it reflects the overall quality of the vendor over a wider time spectrum.

Note: Specific comments and quantified details have to be given against all four criteria to establish degree of non-conformity while deciding the quantum of penal action.

(c) The '**standby**' sample if:

- i. Tested in RDSO lab shall normally be under close supervision of the nominated official by CVO/RDSO from any directorate (other than the directorate which controls the lab where sample is to be tested).
- ii. In case, the '**STANDBY**' SAMPLE is to be tested in any Govt. lab or any lab as stated in para 5.1.1.1, no representative shall be deputed.
- iii. In case, where lab as stated in i. & ii. above, are not available, the '**standby**' sample shall be:
  - a. Tested in firm's lab (if facility is available) in presence of firm's and CVO/RDSO's nominated representative.
  - b. In case, the '**standby**' sample is to be tested in any other lab other than those stated in para i. ii & iii. (a) above, it shall be in presence of firm's and CVO/RDSO's nominated representative (if permitted by that lab). Otherwise, testing shall be done in absence of any representative of firm and RDSO.

The directorate while sending the '**standby**' sample to the Lab shall clearly state in their letter:

- i. The test results to be intimated through a **common** letter to design/ QA Directorate and Director/Vigilance/RDSO.
- ii. **Reference of the directorate's letter** vide which the sample was sent to the Lab to be mandatorily indicated in the letter for proper linking.

Test result of '**standby**' sample shall be send by the Lab to Design/QA directorate with a copy to Director/Vigilance/RDSO through a **COMMON** letter for further action, giving **reference of the letter** vide which the '**standby**' sample was sent to the Lab.

**5.2** In case of failure of sample, procedure to be followed for rejection of the lot shall be as per Railway Board's letter 2000/RS/(G)/379/2 dated 13.03.2009 and 7.8.2015 or any other letter/ instructions

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issued 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.

Penal action shall also be additionally taken in case failure of the '**first**' sample falls under clause 5.1.3 (b) ii. above.

### 5.3 Time period for disposal of penal action :-

In case of failure of samples picked as per para 5.0 above, penal action may be concluded within 03 months from the date of issue of Show Cause Notice to Vendor.

## 6.0 Appellate Authority and time period for appeal

The appeal against the order shall be addressed to concerned Spl. DG, as indicated in para 4.3. The appeal must be given in writing along with the statement of details and reason for the appeal within 60 days of communication of the impugned order.

## 7.0 Referenced Documents

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

Ref. SNo.	Document Number	Document Name
1.	QO-D-8.1-5	Application 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-8.1-10	Vendor sample type testing
6.	QO-D-8.1-11	Vendor changes in approved status
7.	QO-D-8.1-12	Vendor changes in vendor entity
8.	QO-D-8.1-13	Quality Audit of Approved Vendor
9.	QO-D-8.1-14	Vendor registration schedule of charges

## 8.0 Referenced Documents of External Origin

None

## 9.0 Associated Records

Rec-Ref SNo	Document Number	Document Name
1.	QO-F-8.1-3	Down-gradation/de-listing of approved vendor

As required by directorate documentation.

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## 10.0 Responsibility and Authority

Activity	Responsible	Approver	Supporting	Consulted	Informed
Creation, maintenance of this document	MR/ISO Cell	Spl. DG/VD	Staff of ISO Cell		All directorates through intranet
Compliance of directives contained in this document.	Director In-charge of Directorate	Concerned Vendor Approving Authority	Directorate Staff		
Requirement of deviation from directive.	Executive Director of concerned directorate	Vendor Approving Authority	Director In-charge	MR/ISO Cell	Spl. DG/VD & MR/ISO for discussion during MRM in agenda point-4
Change of vendor status.	Officer of respective directorate	Concerned Vendor Approving Authority	Directorate Staff	Spl. DG/VD shall be consulted on file at start of process in case vendor status changes due to causes other than those specified in this document.  Spl. DG/VD is not required to be consulted for normal changes which follow the norms prescribed in this document.	All directorates through intranet.

The Vertical Head shall approve deviations, if necessary, based on a fair and transparent procedure to be defined by the Directorates in their Directorate level documents/ procedures. Record of deviations permitted by the verticals shall be maintained by them.

## 11.0 Abbreviations

None

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