Title: Selection and control of vendor having technical capability to supply loco, engine and electrical items

S.No.	Date of Amendment	Page No.	Version	Reason of amendments
1.	16.10.2002	4 of 6	1.1	To enlist vendors of repute where ever there is need/ shortage of vendors
2.	25.02.2003	6 of 6	1.2	Upward and downward linkages provided
3.	07.01.2004	2 of 6 6 of 6	1.3	Para 3.4 and para 9.3 modified.
4.	01.05.2004	All pages	2.0	The monthly supplement of Vendor Directory modified to as and when required, incorporating serial numbers of supplements to vendor directory. Inclusion of procedure for putting a vendor directory in Cat A. Change of approving authority for QSP-Vendor Control from CDE to CME
5.	31.08.2005	All pages	3.0	Unification of vendor directory.
6.	30.05.2007	All pages	4.0	Modification
7.	14.06.2007	6 of 6	4.1	Effective date of supplement
8.	05.07.2007	6 of 6	4.2	Reinstatement of deleted/ relegated firm.
9.	21.10.2008	All pages	5.0	Modification
10.	27.03.2009	All pages	6.0	Modification
11.	08.09.2010	All pages	7.0	Modification
12.	14.02.2011	9 of 14, 11 of 14	7.1	Provision of delisting notice is added.
13.	15.03.2012	All pages	8.0	Para 4.2, 4.4, 5.1, 5.2, 6.1, 6.3, 6.6, 6.8 revised. Other paras updated.
14.	27.06.2013	All pages	9.0	Para 4.3(b) removed. Para 5.1, 5.2, 5.3, 5.4 and 6.1, 6.2, 6.3 revised. Other paras updated.
15.	26.07.2013	Page 8	9.1	Para 5.3.2 revised
16.	16.08.2013	Page 14	9.2	Para 9.0 added
17.	25.10.2014	All pages	10.0	Revised, approval delegated to CME
18.	04.08.2017	All pages, Annexure A, B, C,D, E& F	11.0	1. As per Rly Bd's letter no. 99/Rs(G)/709/1, dtd:18.11.2016, Part-I & Part-II Categories of vendors are merged as "Approved Vendors". 2. MSE status, including whether they belongs to SC/ST category of entrepreneur, including in the proposed VD
19.	04.05.2018	Page 2	11.1	Para 1.3 revised (period revised)
20.	02.05.2019	All pages	12.0	Activity 4 & 5 Modified. ISO/TS 22163 added wherever any certificate required by supplier.
21.	04.11.2020	All pages	13.0	Name of Diesel Locomotive Works (DLW) has been changed to Banaras Locomotive Works (BLW) vide Railway Board letter No. 2020/Elect.(TRS)/225/2, Dated:30.10.2020
22.	18.11.2021	All pages	14.0	Revised
23.	14.05.2022	All pages	15.0	Revised as per Railway Board Letters No. 2021/RS(G)/779/7 dated. 18/01/2022&2021/RS(G)/7 dated 08.02.2022
24.	16.12.2022	Page 2 to 6	16.0	Revised
25.	26.03.2025	All pages	17.0	Revised

Signature	
Approved by	**PCME**

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1. Purpose & Scope:

1.1 This QSP-Vendor Control is issued in supersession of the earlier QSP-Vendor Control Version 16.0.

1.2 Purpose is to evaluate, enlist, review and control vendors having necessary capability to supply spares/items required for manufacture and maintenance of diesel locomotives (ALCO and HHP), as per specified requirements including electrodes etc.

1.3 Vendor directory would be available in real time basis in U-VAM module on IREPS website.

1.4 BLW will propose subsequent additions/deletions/changes in the standard list of the items in the present VD, if so required for consideration of Railway Board. Such additions/deletions/changes would be done only after approval of Railway Board.

2. Responsibility:

2.1 Vendor evaluation, enlistment, review and control are to be dealt with, in accordance with the procedure given in this QSP.

SN	Activity	Description	Responsibility
3.	**Definitions**	**3.1 Vendor Directory (VD):** Vendor directory covering Diesel loco items / spares and electrodes etc. required for manufacture / in-service maintenance of diesel locomotives available on UVAM. **3.2 Developmental order:** Purchase order for supply of any item, which has normally not been supplied earlier by the vendor to BLW. However, sometimes repeat developmental orders are also issued simply as developmental orders. **3.3 (a)Approved vendor:** A source (manufacturer) approved in accordance with QSP-Vendor control eligible for placement of bulk orders for the spare/item, as per pre-defined tender Conditions. **3.3 (b) Developmental vendor**: Firms which have undergone successful Capability & Capacity assessment (CCA) (including QAP) and prototype approval with satisfactory field performance of 01 loco set for 03 months will be placed in Developmental vendor category. **3.4** PCME would be the approving authority of VD. **3.5** "PO" means Purchase Order placed.	
4	Awareness about vendors for online registration form	**4.1** BLW becomes aware of vendors based on their online registration in U-VAM module / participation in a tender/ recommendation of Diesel Shed, Zonal Railway or through other relevant source/method. **4.1.1** New firms / Vendors (only OEMs / manufacturers) have to submit their application online through U-VAM (Unified Vendor Approval Module) portal which is available on IREPS website (https://www.ireps.gov.in/) for vendor registration.	Concerned Design/Prod/Purchase Officer

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<tr><th>SN</th><th>Activity</th><th>Description</th><th>Responsibility</th></tr>
<tr><td></td><td></td><td>4.1.2 Authorized agents/representatives/traders shall not be enlisted as approved vendors. Only OEMs / Manufacturers would be enlisted as an approved vendor in vendor directory.

4.2 Vendor application fee will be applicable as under:

<table><tr><td>Category of vendor</td><td>Application Fee</td></tr><tr><td>MSME</td><td>Rs. 10000</td></tr><tr><td>Non MSME</td><td>Rs. 15000</td></tr><tr><td>Foreign</td><td>$ 500</td></tr></table>
4.2.1 Fee once paid will not be returned in any case.</td><td>Concerned Design/Prod. Officer</td></tr>
<tr><td>5.</td><td>Process to be followed for enlistment / / delisting / restoration of vendors in VD/Vendor classification/ Supplier evaluation/ Product, processes or service approval and verification after release</td><td>5.1 Nominated scrutiny official would examine the information provided by the firm in/along with filled-up application forms. If major deficiencies are found, then firm has to submit complete compliance online within 30 days. In case of non-compliance, case is forwarded further for closure.

5.2 After closure of case, if firm wishes to re-register, then it needs to submit compliance within 06 months with applicable payment (50% of Initial Registration Fee). Otherwise firm has to apply afresh.

5.3 On satisfactory scrutiny of the online vendor application, Design/Production official (as the case may be) will be nominated to visit the firm for capacity-cum-capability assessment (including QAP). Intimation will also be given to the firm to make the necessary preparations for the CCA and QAP well in advance.

5.4 CCA and QAP report along with STR compliance is done by the nominated officer and report is put up to CDE/D-Loco for approval / rejection / re-assessment. After acceptance of CCA report, prototype quantity i.e. 01 loco set shall undergo field performance trial for 03 months before placement of the firm in Developmental vendor category.

Clearance for balance supply against developmental purchase order to the vendor is normally given after successful fitment of prototype quantity either at BLW / ZR / Diesel Shed. However, in case of non-fitment of prototype quantity either at BLW / ZR / Diesel Shed, clearance for balance supply shall be given to vendor under following condition:

i) If item has to be fitted at BLW & doesn't get fitted within 6 months from date of Receipt of prototype quantity at BLW, clearance for balance supply shall be given to vendor to expedite the development.</td><td>Concerned Design/Prod. Officer

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		ii) If item is sent to ZR / Diesel Shed for fitment & doesn't get fitted within 7 months from date of receipt of prototype quantity at BLW (1 month for transit plus 6 months for fitment), clearance for balance supply shall be given to vendor to expedite the development. The performance report of the required qualifying period and quantity, (As mentioned in UVAM) received from zonal railways out of total supply made by the vendor shall be considered for enlisting the vendor in Developmental / Approved category in BLW VD.	
		5.5 Availability of valid Quality Management System (QMS) as per ISO:9001, TS16949 or ISO/TS 22163 or any equivalent QMS certification is mandatory for enlistment of all new vendors in the VD, except under special circumstances where waiver is granted in accordance with procedure specified at Para 5.7 & 5.8. Vendor's QMS as per ISO:9001/ ISO: 22163 or any equivalent QMS certification would be considered only if the scope of certification includes manufacturing of the item under consideration/ similar product(s)/relevant type of manufacturing e.g. steel forging, steel casting, heavy fabrication, heavy sheet metal fabrication, precision machining, electrical rotating machines etc., as the case may be.	Concerned Design/Prod. Officer
		5.6 Vendor status of the existing vendors whose QMS are not certified to ISO: 9001, TS 16949 or ISO/TS 22163 any equivalent QMS certification but approved in the vendor directory, may be reviewed and delisted (only, if at least three other indigenous approved vendors are available) from VD and they are advised to obtain the same. Their vendor status may be restored as approved, once they submit proof of having obtained valid ISO:9001, TS16949, ISO/TS 22163 or equivalent certificate to CDE/D-loco /CME (P), BLW (as the case may be).	Concerned Design/Prod. Officer
		5.7 If QMS Certificate of an International vendor is not available, waiver may be granted with the approval of CDE/D-Loco / CME (P) (as the case may be).	Concerned Design/Prod. Officer
		5.8 Vendors already registered with some reputed units like Metro Rail Corporations, Power Grid Corporations, Ordinance Factories or DFCCL, PSUs etc for the same item for which application has been submitted, may be considered for direct registration as a Developmental Source without going into the formalities of CCA.	Concerned Design/Prod. Officer

SN	Activity	Description	Responsibility
		5.9 Vendors already registered for different item having same STR requirements, should be considered for direct enlistment of vendor for the item as a Developmental vendor with qualifying remark.	Concerned Design/Prod. Officer
		5.10 BLW shall complete the process, from receipt of application to giving developmental vendor status with qualifying remarks after completing the CCA, to the vendor within 60 days.	Concerned Design/Prod. Officer
		5.11 The information available in U-VAM application may also be referred during technical evaluation of vendor's offers in tender cases.	Concerned Design/Prod. Officer
		5.12 Upgradation of a firm from 'Developmental Vendors' to 'Approved Vendors' category (Applicable for those items for which Vendors are in Developmental Category): 'Developmental Vendors' will be upgraded to 'Approved Vendors' after compliance of all the following conditions – a) The name of the firm should appear in Vendor Directory as "Developmental Vendor" for particular Item for which upgradation is sought. b) The vendor has applied for upgradation. The firm can apply for upgradation maximum One month in advance of the date due for upgradation. c) Vendor should possess valid certificate as per para 5.9 for manufacture of same/similar item at his works address. This is a mandatory requirement for all vendors. d) Service Performance - The performance of the firm should be satisfactory.	Concerned Design/Prod. Officer
		5.13 Suo Moto Upgradation of The developmental Vendors: Upgradation module' to initiate Suomoto the process of upgradation of the developmental vendor as Approved vendor, and initiate a Notice to the Vendor to approach the approving Unit with all requisite Documents including those for enhanced Capacity/ Capability and the vendor to be in readiness for Bidding/Supplying larger quantities as expected from an Approved Vendor for that item.	Concerned Design/Prod. Officer
		5.14 Evaluation of vendors for upgradation/ enlistment in BLW Vendor Directory as Approved vendor will be done by concerned Dy.HOD. All such proposals will be put up to CDE/D-Loco / CME (P) (as the case may be). Then with their recommendation, it would be sent to PCME for final consideration and approval. The above process of review and approval of vendor status for any item shall be followed for the purpose of enlisting, delisting and restoration of approved vendor in VD.	Concerned Design/Prod. Officer

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		5.15 Successful supply to BLW / zonal railways of item quantity as specified on U-VAM with satisfactory service as specified in para 5.4 as well as on U-VAM shall make a vendor eligible for consideration for inclusion as a developmental / approved vendor for the particular item. Field performance from Zonal Railways duly signed by Shed in-charge/JAG or above level officer of HQ is mandatory for enlisting of any vendor in VD as developmental / approved vendor. If developmental, then field performance of 01 loco set for 03 months will be required.	Concerned Design/Prod. Officer
		5.16 For up-gradation to Approved category, the supplied quantity of an item would be "deemed to complete" for the qualifying service life criteria specified on UVAM, in case of items which have not been fitted on locos / whose fitment details are not available would be deemed to have completed qualifying service life on UVAM after a period of "T+6 months" from the date of accepted supply i.e. date of receipt note (where T is the qualifying service life of that item).	Concerned Design/Prod. Officer
		5.17 If there is any approved Overseas (Foreign)vendor(s) for any item and that vendor(s) starts manufacturing the same item in India as well under same vendor name, the Indian facility of the vendor(s) may also straight away be considered as Approved vendor(s) for the item subject to following: a) Certificate from their principals ensuring quality standard at their Indian facilities. b) Capacity-cum-Capability Assessment of their Indian facility / facilities. c) Approval of QAP. d) Prototype test as per relevant specifications. e) Conditions like - Field trial period for prototype, quantity and period of satisfactory Field Service criteria etc. shall not be applicable.	Concerned Design/Prod. Officer
6.	Review of vendor status for inclusion/ delisting/Penal action in VD	**6.1** After seven-year period as Developmental Vendor status (without any quantity restriction), if the firm fails to comply with the stipulated up-gradation requirements, the firm will be delisted from the list of developmental vendors.	Concerned Design/Prod. Officer
		6.2 Penal Actions: Following penal actions to be taken against the defaulting vendors, as and when required, as recommended by CDE/D-Loco / CME(P) (As the case may be) with the approval of PCME: a) Down-gradation from "List of Approved Vendor" to "List of Vendors for Developmental order". b) Temporary delisting c) Delisting	Concerned Design/Prod. Officer

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		d) Outright Delisting e) Banning of business For re-instatement of vendor after taking penal actions, approval of PCME is to be obtained. **6.2.1Down-gradation** **6.2.1.1** Down-gradation of vendor from 'List of Approved Vendors' to 'List of Vendors for developmental order' A vendor may be Downgraded 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) Complaints regarding poor performance related to quality of product, reported by RDSO/Railways directly or through Railway Board or BLW Shop or warranty failure through BLW SIG Cell or non-Railway Customers (including foreign Railway customers) through marketing or through Vendor Rating process where ever applicable, if considered serious in nature as decided by Approving Authority. b) Major non-compliance of the approved QAP. c) Withdrawal of ISO-9001 Certification of the firm by certifying agency. d) Premature withdrawal of support/collaboration by the collaborator/OEM. e) Repeated rejection of material during inspection done by RITES/ PUs / Railways. f) Any other situation leading to adverse effect on the quality of production. g) Information provided in the application is found to be incorrect. h) 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). **6.2.1.2 Procedure for Down-gradation** a) Notice and time bound reply Down-gradation shall be considered after serving a show cause notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice. b) Duration of Down-gradation The Down-gradation shall be for a period of minimum one year. c) Communication of Down-gradation Down-gradation shall be communicated to the vendor and all concerned as per distribution of the vendor list immediately. Necessary modifications to the Vendor Status shall be done in UVAM Portal	

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		6.2.1.3 Reinstatement of vendor after Down-gradation Reinstatement from 'List of Vendors for developmental order' 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 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. **6.2.2 Temporary Delisting of a Vendor** **6.2.2.1**Temporary delisting of vendors may be resorted to under the following conditions : a) Cases where repeated failures are noticed in the items supplied b) Direction from law enforcing agencies c) If quality audit is refused by the firm or BLW is not allowed by the firm to perform quality audit, the firm shall be temporarily delisted and shall be removed from the vendor list, 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/drawing 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, with approval of PCME. i) If change in the name, address, work place and ownership not intimated to BLW within one month. j) Non-participation in Tenders floated by Production Unit/Railways for 05 years (for foreign sources without Indian subsidiaries, non-participation in Global Tenders floated by Production Unit/Railways for 05 years).	

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		k) If vendor has not updated the change (if any) in their infrastructure and M&P list on U-VAM module that affect compliance of STR. l) Any other serious reason in the opinion of the Approving Authority. **6.2.2.2 Procedure for Temporary Delisting:** a) Notice and time bound reply Temporary delisting shall be considered after serving a show cause 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 Approving Authority shall record the reasons for dispensing with the show cause notice. b) Duration of Temporary delisting The temporary delisting shall be for a period until compliance of non-conformities advised by vendor & same has been verified by any means such as Quality Audit etc. If temporary delisting continues for more than one year due to non-compliance confirmation by the firm then process for delisting shall be initiated. c) Communication of Temporary delisting Temporary delisting shall be communicated to the vendor and all concerned as per distribution of the vendor list, immediately. Necessary modifications to the Vendor Status shall be done in UVAM Portal d) 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 **6.2.2.3Re-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. **6.2.3Delisting of a Vendor** **6.2.3.1**Prerequisites for delisting from "List of Approved Vendors" or "List of Vendors for developmental order" are same	

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		as para 6.2.2.1 above, the action of delisting can be taken considering the seriousness & nature of deficiencies and its effects on quality of products. **6.2.3.1** Punitive action of Delisting may also be taken under the following conditions: a) The supplier fails to abide by the terms and conditions or to maintain the required technical/ operational staff/ equipment or there is change in its production/ service line affecting its performance adversely, or fails to cooperate or qualify in the review for registration. b) If the firm ceases to exist or is acquired by or merged with another firm, or ceases to operate in the category of requirements for which it is registered. This condition is to be applied only in cases wherein the change in entity/name has not been done following procedures prescribed in para 7. c) Bankruptcy or insolvency on the part of the supplier as declared by a court of law. d) Employs a government servant within two years of his retirement, who has had business dealings with him in an official capacity before retirement. e) Any other ground, based on which the registering authority considers, that continuation of registration is not in public interest. **6.2.3.2 Procedure for Delisting:** a) Notice and time bound reply Delisting shall be considered after serving a show cause notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice. b) Duration of Delisting The delisting shall be for a period of minimum one year. c) Communication of Delisting Delisting shall be communicated to the vendor and all concerned as per distribution of the vendor list, immediately. Necessary modifications to the Vendor Status shall be done in UVAM Portal d) 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. **6.2.3.3Re-instatement after delisting:** a) Once the firm is delisted as a penal action, the firm shall be considered for reinstatement only when it applies for restoration giving the corrective & preventive action which	

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		shall be verified by means of Quality audit. Firm can be restored in original status after due verification of QAP/STR. b) Reinstatement shall be considered only after a period of Minimum one year. However, the firm may apply for reinstatement, 3 months before the expiry of penalization period giving details of corrective action taken. **6.2.4 Outright Delisting of Vendor** **6.2.4.1 Prerequisites:** The vendors can be outrightly de-listed in case of following or any other criterion adopted by the BLW with the approval of PCME: a) Tampering/forging of documents based on which approval/up-gradation has been sought from Approving Authority. b) In case of any malafide, unethical practices being adopted by the firm c) Any other reason considered serious by Approving Authority d) Sufficient evidence of cartel formation with other vendors. e) Establishment of frauds committed in supply of materials. f) False information and misrepresentation of facts by firms. g) If the Central Bureau of investigation/CVC/C&AG or Vigilance Department of Procuring Entity or any other investigating agency recommends such a course in respect of a case under investigation. **6.2.4.2 Procedure for outright delisting** a) Notice and time bound reply Outright Delisting shall be considered after serving a show cause notice on the firm seeking time bound reply of 30 days and considering the response of the firm to the notice. b) Duration of Outright Delisting The outright delisting shall be for a period of minimum two years. c) Communication of Outright Delisting Outright delisting shall be communicated to the vendor and all concerned as per distribution of the vendor list, immediately. Necessary modifications to the Vendor Status shall be done in UVAM Portal. d) 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. **6.2.4.3 Reinstatement after Outright Delisting** a) The reinstatement of a firm after outright delisting is to be carried out after due verification of authentic documents,	

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		corrective and preventive measures submitted by the firm and verification of latest QAP/STR. b) Reinstatement shall be considered only after minimum two years from the date of outright delisting and after conducting quality audit. **6.2.5 Banning of Business** **6.2.5.1 Banning of business with the vendor can be resorted to in the following cases:** a) The vendor is black listed/or business dealing is banned by Govt. of India or its offices on communication by Railway Board. In such cases, no show cause notice to the firm is required before delisting b) Whenever proposal for banning of business is sent to Board the firm should be DELISTED without mentioning the word permanent delisting/temporary delisting. **6.2.5.2 Re-instatement after delisting due to Banning of business** For cases of delisting due to Banning of business dealing, a) The vendor shall be considered for restoration only when the time period of banning of business is over. b) The Original Status of Vendor shall be restored after due verification of QAP/STR **6.2.6 Appeal against imposition of penalty of Down-gradation/ Deletion/ Temporary Delisting/Outright Delisting** The firm can appeal to competent authority within 60 days of communication of the impugned order. Appeal if any, against Down-gradation/ Temporary Delisting/ Delisting/Outright Delisting shall be put up to competent authority for review and orders, with remarks of the authority, who approved the penalty.	Concerned Design/Prod. Officer
		6.3 Weeding out of non-participating/ poor performing vendors shall be done through a JAG/SG/NF-SAG level committee consisting of Technical (concerned Dy.CDE/Design), Stores and Finance members (as specified in WI/DES/103) for identifying non-participating/ poor performing vendors. This will be an annual exercise.	Concerned Design/Prod. Officer
		6.4 Withholding/suspension of inspection: At any time, depending upon adverse feedback from user Railway(s)/PUs, on noticing extremely poor-quality supply lot, any discrepancy observed during Quality Audits, or any other compelling reason which comes to light, immediate action of suspension of inspection can be initiated to prevent further supply/proliferation. Suspension of inspection may be revoked	Concerned Design/Prod. Officer

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		after verification of corrective & preventive action taken by the firm by any means such as Quality Audits etc. Approval of CDE/DL is required for withholding/ suspending Inspection. **6.5** VD is updated on real time basis in U-VAM module.	
7	Change in name / Work Address of the vendor/ addition of Another works:	**7.0** The Vendor will be required to modify his profile on the IREPS as per his requirement before initiating his request but the change in Vendor Directory will take place only after the approval of competent authority in following manner. **7.1 Change in name of Vendor** **7.1.1. Request by Vendor:** On receipt of request from the interested vendor for change of name in the Vendor directory, the same is to be addressed as per follows: a. For firms registered under Companies Act – Approving agency to check the fresh registration documents as issued by the Registrar of Companies (ROC) as per the procedure for changing name of a registered company prescribed under section 13 (chapter II) of the Companies Act 2013.Approving agency shall verify the certificates issued by the ROC for the new entity (firm) for confirming the validity. b. For Sole proprietary/ partnership firms, not registered under Companies Act - As these firms are not registered under company act, they need to submit all those documents which were submitted earlier by them at the time of original registration, bearing same PAN no., GSTN, Factory license no. for the new entity also. Otherwise, the firm should submit an affidavit on non-judicial stamp paper that the original PAN no., GSTN, Factory license has been surrendered and are no more in existence. c. Visit to firm should generally be not required. **7.1.2. Scrutiny:** a) Scrutiny of documents submitted by vendor as above. b) It should be ensured that the ownership of the firm / company is the same. Competent authority for change in name of vendor will be CDE/D-Loco /CME(P) (as the case may be). **7.2 Change in name in case of bifurcation of works**: If change of name is done as a result of bifurcation of existing work premises, in addition to checking of documents like factory license / SSI / MSME certificate, GST certificate, NSIC certificate (if any), QAP with changed name, memorandum of article of association, undertaking by the new firm for liability of old firm,	Concerned Design/Prod officer. Concerned Design/Prod. Officer Concerned Design/Prod officer. Concerned Design/Prod officer.

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		resolution by Board of Directors, Partnership deed etc., the Capacity cum capability assessment will also be carried out by official before effecting the change of name of firm. Competent authority for change in name of vendor will be CDE/D-Loco /CME(P) (as the case may be). **7.3 Request of a vendor for change in address:** **7.3.1** On receipt of request from the vendor for change of works address, the nominated official shall visit the new work address and verify that, a) The work establishment has been shifted completely 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 with changed work address can be implemented as it is or more effectively, in the new premises. e) Factory License, ISO 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 the Approving Agency, as in Quality Audit. Competent authority for change of vendor address will be CDE/D-Loco /CME (P) (as the case may be). **7.3.2 Partial Shifting of Works** The procedure laid down above will 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. ***7.4* Request of vendor for enlistment of their additional works:** **7.4.1 Prerequisite:** a) Vendor shall inform the Approving Agency regarding setting up of 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 official shall verify that the Machinery and 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 dearly brought out in the QAP.	Concerned Design/Prod officer. Concerned Design/Prod officer.

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SN	Activity	Description	Responsibility
		b) Operations being performed in the original works and operations 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 certificate and SSI/NSIC certificate (if applicable) are available for the additional works. f) The ownership of entity & name is same.	
		7.4.2 Status of Vendor for Additional Works: The status of approval of the vendor of additional works shall be same as that of the original works. Competent authority for enlistment of vendor's additional works will be CDE/D-loco/CME (P) (as the case may be).	Concerned Design/Prod. officer.
		7.5 Communication to Vendor: After approval of competent authority, Change of name / address/enlistment of additional works shall be updated on U-VAM module on IREPS website.	Concerned Design/Prod. Officer
		7.6 Change of both name and address shall not be permitted at the same time.	Concerned Design/Prod. Officer
		7.7 Actions as per Para 7.1 to 7.4 may be taken in consultation with the Legal cell of BLW, if there is any shortcomings in the documents with the approval of CDE/DL.	

Reference: Apex Manual: Purchasing
ISO/TS 22163 clause no. 8.4
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