

Document No.: QSP- Vendor Control of Electric Loco Items

Page 1 of 57

Date of Origin: 16.06.2020

Version No: 3.0

Effective Date: 04.11.2020

Issued by : MR

**INDIAN RAILWAYS**  
**Banaras Locomotive Works**

**PROCEDURE FOR VENDOR DEVELOPMENT**  
**FOR PURCHASED PRODUCTS**  
**USED IN ELECTRIC LOCOMOTIVES**

Signature	
Approved by	PCEE



Document No.: QSP- Vendor Control of Electric Loco Items

Page 2 of 57

Date of Origin: 16.06.2020

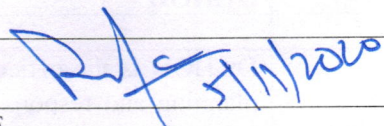
Version No: 3.0

Effective Date: 04.11.2020

Issued by : MR

**REVISION STATUS**

Sl No.	Date of Amendment	Revision	Page No.	Reason	Proposed By	Approved By
1	10.09.20	2.0	All	Reverting to CLW WI with minimum change, strictly inline with Rly. Bd. letter dtd.02.06.2020	CDE/E- Loco	PCEE
2	04.11.20	3.0	All	Name Diesel Locomotive Works has been changed to Banaras Locomotive Works vide Railway board letter no. 2020/Elect.(TRS)/25/2 dt. 30.10.2020	CDE/E- Loco	PCEE

Signature	
Approved by	PCEE

<b>1.0</b>	<b>Purpose</b>
	To specifically define the procedure to develop, evaluate and approve suppliers for purchased products including raw materials, components and sub-assemblies used in the production of electric locomotives currently manufactured by Banaras Locomotive Works (BLW) and its maintenance carried out in Zonal Railways. The final outcome is the issue of master list of approved suppliers/ vendor directory of approved suppliers for use by CLW, BLW, DMW and Zonal Railways for purchase of BLW/CLW controlled items. This procedure is not applicable for RDSO controlled items used in the electric locomotives.
<b>2.0</b>	<b>Scope</b>
	This procedure includes steps for evaluating a new supplier for financial and technical capabilities, periodical evaluation of approved suppliers for renewal, approval of status, delisting and reinstatement. Master list of approved suppliers / vendor directory shall be prepared covering Electric Loco items. CLW, BLW, DMW and Zonal Railways shall use this Master list of approved suppliers/ vendor directory of approved suppliers for procurement.
<b>3.0</b>	<b>Definitions</b>
<b>3.1</b>	<b>Category of Vendor</b>
	The Vendors are categorized as approved sources
<b>3.2</b>	<b>BLW</b>
	BLW means Banaras Locomotives Works, a production unit under Ministry of Railways, presently engaged in the production of Electric Locomotives.
<b>3.3</b>	<b>Delisting</b>
	Delisting means striking off the name of the vendor from the Master list of approved suppliers/ vendor directory of Approved Suppliers due to any reason including penal action.
<b>3.4</b>	<b>Dy.HOD</b>
	Dy.HOD is the officer directly in-charge of design, development, procurement planning and responsible for its reliability and maintenance of quality files for items allocated to / dealt by him.

<b>3.5</b>	<b>Fresh Approval</b>
	A prospective vendor, who has been considered for development of a product / got a developmental order, whether through a tender or otherwise, will be assessed for its capacity cum capability.
<b>3.6</b>	<b>FRPCPY</b>
	FRPCPY is Failure Rate Per Cent Per Year and is the failure rate of a specified make of equipment in one year, expressed as a percentage considering the total population of equipment in service in all railways. <b>FRPCPY = <math>F \times 100 / A</math></b> , where, ' <b>F</b> ' is the number of failures normalized for one year and ' <b>A</b> ' is the total population of the specified make of equipment in service for which, the failures ' <b>F</b> ' has been considered. In case the number of failures available is for less than an year, say ' <b>a</b> ' months, then normalized yearly failure rate <b>F</b> will be <b><math>F \times 12 / a</math></b> . In case the number of failures ' <b>F</b> ' considered is for more than one year, say for ' <b>b</b> ' months, then normalized yearly failure is <b><math>F \times 12 / b</math></b> .
<b>3.7</b>	<b>FYFR</b>
	FYFR is the first year failure rate of a particular make of a produce in service in all the railways put together, expressed as a percentage. Example <b>FYFR = <math>F \times 100 / A</math></b> , where ' <b>A</b> ' is the number of equipment of a specified make which has been in service for a period of one year from its first introduction and ' <b>F</b> ' is the total number of failures reported for such equipment during the first one year period.
<b>3.8</b>	<b>GM</b>
	GM means General Manager of BLW
<b>3.9</b>	<b>PCEE</b>
	PCEE means Principal Chief Electrical Engineer of BLW.
<b>3.10</b>	<b>PU</b>
	PU means production units under Ministry of Railways, for example, CLW, BLW, DMW, ICF, RCF, MCF etc.
<b>3.11</b>	<b>CDE/Elect. Loco</b>

	development, procurement planning and performance monitoring of a segment of products used in electric locomotives.
<b>3.12</b>	<b>MSG</b>
	MSG means Maintenance Study Group, which meets periodically to review the performance of electric locomotives in service.
<b>3.13</b>	<b>Quality Cell</b>
	A separate Cell created under CDE/Elect. Loco having expertise for undertaking firm's assessment and advising PCEE on matter of technical specification, quality, field performance, contract performance etc. The Quality Cell will be the nodal agency for liaison with various functional disciplines involved in the process.
<b>3.14</b>	<b>Quality File</b>
	Quality file is the subject file maintained by the concerned Dy.HOD for the item under development and approval. Quality file will contain the basic information like specification, approved sources, records of feedback from Railways of quality and delivery performance of the vendors and any other relevant information.
	Minimum quantity criteria will also be specified in the Quality File, defining (i) Minimum quantity of supply of the equipment, (ii) Minimum quantity in service and (iii) Minimum field trial period required, in order to establish the performance of the vendor for the subject item.
	One quality file shall be maintained for each item and will provide basic input for vendor status review.
<b>3.15</b>	<b>Quality Manual of Vendor</b>
	Documents submitted by Vendor consisting of design details, prototype test results, agreed Quality Assurance Plan & Bill of Material, having all pages numbered and jointly signed by vendor's representative and the concerned Dy.HOD. This will form an input to the Quality File.
<b>3.16</b>	<b>Railways</b>
	Railways mean various Zonal Railways, which have been electrified and maintain electric locomotives.
<b>3.17</b>	<b>RDSO</b>

	RDSO is Research Designs & Standards Organization, located at Manak Nagar, Lucknow-226 011, and a unit under Ministry of Railways.	
<b>3.18</b>	<b>Reinstatement</b>	
	Reinstatement means restoring the name of the delisted firm in the Master list of approved suppliers/ vendor directory of Approved Suppliers.	
<b>3.19</b>	<b>Sub Vendors</b>	
	Firm to whom a vendor outsources parts of the item and material for which he is approved or from whom the vendor procures the items and/or services. Items supplied by sub vendors will part of the Bill of material of the primary Vendor.	
<b>3.20</b>	<b>Vendors</b>	
	The firm/ manufacturer who are approved source for any or all of undertaking design, manufacture and supply of specific item to BLW directly, for which they are approved by BLW.	
<b>4.0</b>	<b>Responsibility &amp; Authority</b>	
	4.1	Establishment of the Vendor Approval Procedure PCEE
	4.2	Amendments to Vendor Approval Procedure PCEE
	4.3	Maintenance of the Vendor Approval Procedure PCEE
	4.4	Vendor status review PCEE
	4.5	Maintenance of register for “Fresh Approvals” Dy.HODs
	4.6	Issue of Form ‘A’ to vendors CDE/Elect. Loco
	4.7	Nomination of Officer for Capacity-cum-capability assessment of the vendor CDE/Elect. Loco
	4.8	Capacity-cum-capability assessment of the vendor and preparation of Form ‘B’ Nominated officer
	4.9	Approval of QAP Dy.HODs
	4.10	Approval of Quality Manual Dy.HODs
	4.11	Signing of Quality Manual Dy.HODs
	4.12	Maintenance of Quality Manual Dy.HODs
	4.13	Maintenance of Quality File Dy.HODs
	4.14	Preparation of check list for fresh approval Dy.HOD
	4.15	Processing for fresh vendor approval Dy.HOD
	4.16	Maintenance of Assessment Report Dy.HOD
	4.17	Approval of Assessment Report PCEE

	4.18	Prototype approval	PCEE
	4.19	Approval for listing in Master list of approved suppliers/ vendor directory of Approved Suppliers	PCEE
	4.20	Preparation of checklist for status review	Dy.HOD
	4.21	Initiation & Processing for vendor status review for delisting / approval	Dy.HOD
	4.22	Approval for Delisting	PCEE
	4.23	Approval for re-instatement	PCEE
	4.24	Advice sent to CLW for enlistment of Vendors in Master list of approved suppliers/ vendor directory	CDE/Elect. Loco
	4.25	Change in the name and address of approved suppliers	PCEE
	4.26	Issue of Work Instruction for Vendor Development BLW VD/EL/WI	CDE/Elect. Loco
<b>5.0</b>		<b>Procedure for Approval</b>	
5.1		Fresh entry of any firm in CLW Master list of approved suppliers/ vendor directory is possible normally by participating in a tender issued by BLW for three phase electric locomotives manufactured at BLW.	
		Capacity-cum-capability assessment can also be done in the event of Railway Board or Zonal Rly. seeking BLW's assistance in this regard. Such vendor will also be dealt with according to the provision of clause 5.3 applicable for the other vendors	
5.2		In case an unapproved vendor participates in a tender issued by BLW for such item, the offer is scrutinized based on criteria like (i) Need for developing additional sources, (ii) Manufacturing & testing capability, (iii) Technical capability including design, (iv) Financial capability and (v) Other details as per bid documents. Prima facie, if the supplier is satisfying the requirements, a developmental order may be issued on the acceptance of the tender by the accepting authority of the tender. For initiating the physical assessment of capability/capacity and quality assurance approval of CDE/E-Loco is to be taken. After approval of CDE/E-Loco assessment and approval action shall be initiated as detailed in clause 5.3. The competent authority for approval of CCA is PCEE of BLW.	
5.2.1		In addition, with a view to introduce competent firms expeditiously due to the need of multi-sourcing, technological development, innovations and where normal process of approaching through tender is likely to entail such delay which cannot be afforded by BLW, assessment may be suo moto initiated by the concerned Dy HOD with the approval of CDE/E-Loco.	
5.2.2		“General mandatory qualifying criteria of Firms: ISO 9001 or any equivalent certification: Vendor shall possess valid ISO 9001 or any equivalent certificate for his works address, covering the general scope of items seeking registration with BLW. Scope may not include specific item but should include the broad category of the items such as forging, casting, fabrication, machining, electrical equipment,	

Issued by : M...

	insulating items etc.			
<b>5.2.3</b>	<b>Vendor Application Fees</b>			
	1	Micro/Small Enterprises	Rs. 15000/-	<ul style="list-style-type: none"> <li>• Fees shall be levied at the time of submission of Form-A for vendor approval.</li> <li>• Firm shall submit proof of being a Micro/Small scale industry, whenever applicable.</li> <li>• Applicable GST to be paid additionally. Currently applicable GST is 18%</li> <li>• Payment shall include Application fee and applicable GST. Payment shall be made through Demand Draft in favour of PFA/BLW payable at Varanasi</li> </ul>
	2	Other than Micro/Small Enterprises	Rs. 25000/-	
	3	Overseas Firms	\$ 1000/-	
	4	Registration For additional items	Rs. 5000/-	
<b>5.3</b>	<b>Vendor assessment procedure</b>			
5.3.1 (a.)	For new applications, when a vendor applies for vendor registration process at any PU, which will include CCA, prototype approval and enlistment in the master lists of Approved Suppliers / vendor directory, they will have to submit an undertaking that they have not applied for registration at any other PU (CLW) for that particular item. Based on the undertaking of the vendor, the process of vendor approval may be started.			
5.3.1 (b.)	The PU where firm will apply for registration shall reserve the right to verify the status from the other PU. Any such verification or lack of such verification by the PU shall not be relieve the vendor of its obligation. If the undertaking / declaration is found to be wrong at any stage, then the application of the vendor shall be liable for rejection and approval given by the PU, if any , will be withdrawn. The vendor may also be barred for participating in tenders for one year.			
5.3.1 (c.)	Vendor identified for assessment shall be issued with Application Form (Form 'A' i.e. format <b>BLW/ VD/EL/F/01</b> ) by the CDE/Elect. Loco. They will be given latest version of all relevant specification, Schedule of Technical Requirements and drawings, in case of assessment outside a tender. The vendor will have to return the Form-A duly filled up to the CDE/Elect. Loco within a period of 1 month from the date of acknowledgement of such documents; otherwise, further processing will not be taken up.			



5.3.2	A register in Format <b>BLW/ VD/EL/F/02</b> shall be maintained by CDE/Elect. Loco for recording the details of such firms taken up for assessment. Date of issue of Form-A and other details shall be recorded and acknowledgement obtained from the firm's representative on the register. In case Form-A and other details are sent by post, firm's acknowledgement shall be taken and referenced in the register.
	The register shall have various columns to monitor the complete assessment progress till approval and successful development of prototypes including field trials.
5.3.3	The vendor will submit the QAP in duplicate along with Form 'A'. Receipt of Form-A and other details shall be acknowledged in the format <b>BLW/ VD/EL/F/03</b> . Desired aspects to be covered in QAP to be submitted by the firm will be in Format <b>BLW/ VD/EL/F/04</b> .
5.3.4	The concerned Dy. HOD shall scrutinize Form 'A'. Salient points to be observed during scrutiny are as follows:
5.3.4.1	Documentary evidence of purchase/collection of latest versions of relevant specifications/drawings.
5.3.4.2	QAP of the firm in duplicate.
5.3.4.3	Form 'A' in duplicate.
5.3.4.4	All columns duly filled up.
5.3.4.5	Clause by clause comment of agreement with the specification and IRS conditions of contract.
5.3.4.6	All the <b>Annexures</b> referred have been enclosed.
5.3.4.7	All the required documents have been enclosed.
5.3.4.8	All required information has been furnished.
5.3.4.9	No ambiguous document or information is enclosed.
5.3.4.10	Any missing, incomplete, vague, inadequate or, contradictory information must be marked.
5.3.4.11	Basis of information supplied regarding infrastructure and manufacturing

Issued by :

	practices shall be screened.																																													
5.3.4.12	Undertaking from the vendor declaring that the vendor will not indulge in <b>cartel formation</b> (Part-IV of Form ‘A’) during the overall period of registration.																																													
5.3.4.13	Documentary evidence of the vendor’s registration with RDSO, CLW, BLW or any other PUs if already registered for supply of any item, if any.																																													
5.3.5	<b>Submission of legal documents</b>																																													
	Lists of documents to be submitted by the vendors at the time of Registration.																																													
	<table><tr><th>SN</th><th>Head</th><th>Legal Document</th><th>Format</th></tr><tr><td>1</td><td colspan="3"><b>Status of Vendor</b></td></tr><tr><td rowspan="5"></td><td>a) for sole proprietorship concern</td><td>Self–declaration/ Affidavit on non-judicial paper of appropriate stamp duty</td><td rowspan="5">Part-V of Form-‘A’</td></tr><tr><td>b) for partnership firm</td><td>Latest partnership deed as per act.</td></tr><tr><td rowspan="3">c) for registered company</td><td>Memorandum of association</td></tr><tr><td>Article of association</td></tr><tr><td>Ownership details/ shareholdings of directors (with name) as on the date of registration.</td></tr><tr><td>d) for joint venture</td><td>MOU/ Registered agreement</td><td></td></tr><tr><td>2</td><td colspan="3"><b>Declarations/Undertakings</b></td></tr><tr><td></td><td>a) IPR infringement</td><td></td><td>Part-VI of Form-‘A’</td></tr><tr><td></td><td>b) confidentiality c) Changes in the name and address ownership d) Abiding with legal/ Statutory compliances and handing over of legal documents. e) Plant &amp; Machinery</td><td></td><td>Part-VII of Form-‘A’</td></tr><tr><td></td><td>f) Sister concern</td><td></td><td>Part-VIII of Form-‘A’ &amp; Annexure-III &amp; IV</td></tr><tr><td>3.</td><td colspan="3"><b>Statutory compliances</b> (as deemed necessary on case to case basis)</td></tr><tr><td></td><td>a) Factory registration b) National small industries corporation (NSIC)</td><td></td><td></td></tr></table>	SN	Head	Legal Document	Format	1	<b>Status of Vendor</b>				a) for sole proprietorship concern	Self–declaration/ Affidavit on non-judicial paper of appropriate stamp duty	Part-V of Form-‘A’	b) for partnership firm	Latest partnership deed as per act.	c) for registered company	Memorandum of association	Article of association	Ownership details/ shareholdings of directors (with name) as on the date of registration.	d) for joint venture	MOU/ Registered agreement		2	<b>Declarations/Undertakings</b>				a) IPR infringement		Part-VI of Form-‘A’		b) confidentiality c) Changes in the name and address ownership d) Abiding with legal/ Statutory compliances and handing over of legal documents. e) Plant & Machinery		Part-VII of Form-‘A’		f) Sister concern		Part-VIII of Form-‘A’ & Annexure-III & IV	3.	<b>Statutory compliances</b> (as deemed necessary on case to case basis)				a) Factory registration b) National small industries corporation (NSIC)		
	SN	Head	Legal Document	Format																																										
	1	<b>Status of Vendor</b>																																												
		a) for sole proprietorship concern	Self–declaration/ Affidavit on non-judicial paper of appropriate stamp duty	Part-V of Form-‘A’																																										
		b) for partnership firm	Latest partnership deed as per act.																																											
		c) for registered company	Memorandum of association																																											
			Article of association																																											
			Ownership details/ shareholdings of directors (with name) as on the date of registration.																																											
	d) for joint venture	MOU/ Registered agreement																																												
	2	<b>Declarations/Undertakings</b>																																												
		a) IPR infringement		Part-VI of Form-‘A’																																										
		b) confidentiality c) Changes in the name and address ownership d) Abiding with legal/ Statutory compliances and handing over of legal documents. e) Plant & Machinery		Part-VII of Form-‘A’																																										
		f) Sister concern		Part-VIII of Form-‘A’ & Annexure-III & IV																																										
	3.	<b>Statutory compliances</b> (as deemed necessary on case to case basis)																																												
		a) Factory registration b) National small industries corporation (NSIC)																																												

		c) Micro/ Small scale industry (SSI) registration	
	<b>4</b>	<b>Other documents</b>	
		a) Power of attorney for authorized signatory in case of proprietorship concern/ resolution of the partners or board of directors for authorized signatory in case of partnership firm or registered company as the case may be. b) ISO certification c) Digital signature certificate d) Electricity bill	
		e) Authorization letter	Part-IX of Form-‘A’
5.3.6	All legal documents are to be resubmitted in case of change of name and address.		
5.3.7	Based on the above observations will be done, if any clarification is required, it must be communicated to the firm by Dy.HOD in writing through SMS / E-mail within 45 days.		
5.3.8	If the infrastructure / manufacturing facilities and QAP etc. are prima-facie considered inadequate / insufficient / unsatisfactory, the application may be rejected, altogether and the decision communicated to the firm in writing by CDE/Elect. Loco without delay, intimating the deficiencies therein.		
5.3.9	If the deficiencies are complied and CDE/Elect. Loco is satisfied the application may be reconsider for further processing normally within six months from the date of issue of rejection advice.		
5.3.10	On satisfactory scrutiny of the details submitted, CDE/Elect. Loco directs the Quality Cell to visit the firm for assessment of capability-cum-capability and hands over all documents received from the vendor in a case file, duly numbered and registered. Firm will be advised by Quality Cell to make the preparations for the assessment well in advance.		
5.3.11	Capacity-cum-capability assessment report will be prepared by quality cell based on result of the inspection of infrastructure / manufacturing facilities /QAP by filling up Form ‘B’ i.e. format <b>BLW/VD/EL/F/05</b> annexing all relevant documents.		
5.3.12	The nominated officers of Quality Cell shall ensure that QAP, technical capability for manufacturing of quality product test equipment for maintaining quality standard, capacity and financial status are adequate. The requirements of manufacturing process, stage inspection, inspection procedure and facilities		

	considered necessary to maintain quality shall also be ensured by the nominated officer. The Quality Cell shall maintain data regarding minimum infrastructure needed for a product or a group of similar products, in order to ensure quality supply. The officers shall also check the criteria like design capability and product maintenance support system of the vendor under assessment.
5.3.13	Quality Cell shall put up the results of the final scrutiny in Format BLW/VD/EL/F/05 (i.e. Form 'B') with all relevant documents to PCEE through the CDE/Elect. Loco along with remarks / recommendations for perusal and approval.
5.3.14	After approval by PCEE, necessary Certificate of Registration shall be issued.
5.3.15	The CDE/Elect. Loco can recommend for waiver of assessment in the following cases:
(i)	The firm's credentials have already been assessed by BLW/CLW for other items requiring similar infrastructure.
(ii)	The firm is already an approved BLW/CLW supplier for items, which are similar or more complex in nature than the subject item and if their quality and delivery is satisfactory and consistent.
(iii)	The firms, which are approved for the subject item by Railway Board or other Railway Production Units or RDSO
(iv)	The OEM and approved vendor as ToT partner for the item under consideration and / or their duly authorized agent.
(v)	The firms which are of International / National repute.
(vi)	In all such cases, PCEE shall consider the recommendations on individual merit and decide on the waiver of the assessment.
5.4	The approval will be communicated to the Vendor in writing by the Quality Cell, duly informing the CDE/Elect. Loco in Format <b>BLW/ VD/EL/F/11</b> .
<b>6.0</b>	<b>Procedure for approval of the Vendor in Master list of Approved Suppliers/ vendor directory of approved vendors</b>
6.1	A vendor is considered for listing as approved source of the Master list of approved suppliers/ vendor directory of Approved Suppliers List, if the prototype testing has been successfully done and approved, bill of material approved, Quality Assurance Plan approved, required field trials have been

	successfully carried out and the performance of the equipment in service is to the desired level for a minimum period and quantity in service, as specified for the item.
6.1.1	The firm shall be eligible for approval based on the performance against development orders and repeat development orders particularly consisting of:
6.1.2	The prototype testing of the product has been successful as per the current product specification.
6.1.3	The vendor has adhered to all the contractual requirements such as delivery schedule, specification and IRS condition of contract. For this purpose, the contract performance of a Vendor for a product will be as per details available in iMMIS system at BLW. In exceptional cases like of failure of iMMIS system etc. it will be issued by Stores / depot officer at BLW on demand by Dy.HOD
6.1.3.1	The performance of the product has been satisfactory against the development and repeat development orders (where applicable) and associated trials. <b>FYFR</b> and <b>FRPCPY</b> maintained by Dy.HOD shall be used as the inputs for performance evaluation.
6.1.3.2	FYFR is derived by Dy.HOD based on the failure report received from Zonal Railways and also commissioning failures in shop. The report received from Zonal Railways shall be maintained in Format <b>BLW/VD/EL/F/08</b> and the shop commissioning failures shall be maintained in format <b>BLW/VD/EL/F/09</b> , which becomes basic inputs for working out FYFR.
6.1.3.3	Dy. HODs concerned shall also get the consolidated FRPCPY for each make of equipment from Railway/RDSO and shall be maintained in the Format <b>BLW/ VD/EL/F/07</b> .
6.1.3.4	Besides, inputs from the recorded minutes of MSG meeting (Loco) shall also be considered. Dy.HOD shall maintain and upkeep the MSG meeting minutes.
6.1.4	The response of the firm has been positive in respect of warranty replacements, investigation and analysis of failures and initiating corrective action. Reports from Railways regarding warranty response of firms, maintained by Dy.HODs, shall be considered for this purpose. Besides, shop-commissioning failures shall also be treated as warranty failures and the corresponding response of the firms shall also be considered. The data maintained in Formats <b>BLW/VD/EL/F/08</b> and <b>BLW/VD/EL/F/09</b> will provide inputs for the warranty response. In addition, QAP compliance also may be audited.



6.1.5	The firm has fulfilled criteria of supply viz. (i) minimum quantity of supply of the equipment, (ii) Minimum field trial period as laid down in the 'Minimum Quantity Criterion' as per Annexure-I for the item. However, placement of order shall be governed by Annexure -II
6.1.6	A checklist for approval in Format <b>BLW/ VD/EL/F/10</b> will be prepared and signed by Dy.HOD and routed through CDE/Elect. Loco and Quality Cell for recommendation of PCEE.
6.2	In case of delisted vendor, approval can be granted in following conditions:
6.2.1	The vendor has implemented all corrective measures and compliance to the deficiencies, on which it has been delisted, has been found in order.
6.2.2	The vendor has completed minimum one year from the date of issue of advice for delisting
6.2.3	The performance of the item/equipment cleared after implementation of improvement measures, has been found to be satisfactory, and the quality is not below the level considered necessary for approval.
6.3	Cases for approval may be initiated at the request of the firm. Dy.HOD concerned will put up the case for review of the status of the vendor to PCEE through CDE/Elect. Loco and Quality Cell along with the Check List keeping in view the requirements indicated at clause no. 6.1 and 6.2. It will be the responsibility of CDE/Elect. Loco to ensure timely review of vendor's status.
<b>7.0</b>	<b>Vendor Status:</b>
7.1	Vendors approved by BLW, will be advised to CLW to place in one category in the <b>Master list of approved suppliers / vendor directory of Approved Suppliers</b> for the manufacture and supply of an item.
7.2	Vendor Status shall be communicated to the Vendor by Quality Cell in the Format <b>BLW/ VD/EL/F/11</b> .
<b>8.0</b>	<b>Delisting of the vendor, approved by BLW</b> (advise for de-listing to CLW can be given only for those vendor whose approval was granted by BLW).
8.1	Conditions for delisting of the vendors
8.1.1	Information provided in the initial application (Form "A") is found to be incorrect.

8.1.2	<b>Malpractice</b> : whenever any malpractice or unethical practice adopted by the firm comes to the notice of Dy HOD or Railways, the case for delisting of firm's name from the approved list may be initiated.
8.1.3	Whenever any case of submission of forged or fake documents in support of their firm at any stage, comes to the notice, the case for delisting of the firm's name from the approved list may be initiated.
8.1.4	After receiving information from Railway Board / Railways / Production Units regarding and involvement of any firm in <b>cartel formation</b> , the name of such firm may be delisted with immediate effect.
8.1.5	No response to Railway against deficiency and quality related issues for 06 months.
8.1.6	The vendor must inform the Dy.HOD concerned immediately if any change in design, specification, manufacturing process, raw material, plant and machinery takes place, failing which , on detection of such changes
8.1.7	Whenever the purchaser revises a specification and the revision does not involve major changes in the design, the status will continue to be the same. Any additional tests, if required, shall be completed within a reasonable time, failing which the vendor may be delisted.
8.1.8	Premature withdrawal of support/collaboration by the collaborator or, the technology has not been fully absorbed by the vendor to the satisfaction of BLW.
8.1.9	Withdrawal of ISO certification of the firm by certifying Agency.
8.1.10	Frequent non-conformities during regular purchase inspections.
8.1.11	Non-compliance of approved QAP
8.1.12	Requirements of the revised/amended specification are not met within the time frame specified in the notice for submitting proto as per the revised specification.
8.1.13	Complaint of poor quality, poor performance or adverse feedback.
8.1.14	The entire factory or part of it is reported closed, shut down or locked out for duration of more than one year.
8.1.15	Non-participation in tenders floated by Railways and non supply of spares/ complete item to Zonal railways against the purchase orders of Zonal railways.
8.1.16	<b>Irregular supply or non-supply over a long period.</b> If the firm is not able to supply the product on a regular basis or, found to be not supplying the material over a long period and the user is put into inconvenience, case can be taken up for delisting of the firm's name from the list
8.1.17	Depending upon the severity of the complaint, a quick investigation shall be undertaken by the Dy.HOD. Representative of the firm may also be associated if considered necessary. If the fault in design is established then the firm may be given adequate opportunity to improve upon the design. Based on the response from the firm the decision regarding delisting of the firm's name from the approved list will be taken.
8.2	Delisting shall be considered after communicating appropriate technical

	reasons with reasonable notice period to the firms for compliance. In cases where firms are not in a position to overcome the shortcomings in a reasonable given time, it will be advised to CLW for delisting.
8.3	For reinstating a delisted firm, procedure given in para 9.0 will be followed.
8.4	The delisting will be for a minimum period of <b>one year</b> from the date of approval of the delisting.
8.5	PCEE's approval will be taken for delisting of a firm.
8.5.1	After Approval for de-listing by PCEE, advised to CLW will be sent for de-listing from Master list of approved suppliers.
8.6	Delisting shall be communicated in writing by Quality Cell to the Vendor and all the concerned to whom the Approved Vendor List is distributed.
8.7	Vendor shall be advised to submit a periodic feed back on the corrective & preventive action being taken. Such feedback shall be considered at the time of re-instatement.
8.8	<b>Withholding/suspension of inspection:</b>
8.8.1	<p>Inspection at the vendors' premises can be withheld/suspended in case of one or more of the below mentioned conditions considering the seriousness and nature of complaints and its effects on quality of products:</p> <ul style="list-style-type: none"> <li>a) The BLW/Railways/User reports any adverse performance.</li> <li>b) The critical machine essential for manufacturing &amp; testing is under repair or defective.</li> <li>c) Deficiencies/discrepancies are observed during Quality Audit/Inspection of materials.</li> <li>d) Firm is under investigation for violation of statutory and mandatory laws by any law enforcing agency of central or state government.</li> <li>e) Firm is under investigation for malpractice or unethical behaviour such as submission of forged/ fake documents, cartel formation by BLW/CLW /Railways.</li> <li>f) A process of delisting has been initiated</li> </ul>
8.9	<b>Suspension of Business:</b>
8.9.1	<p>Firm can be suspended for doing any business with BLW or Railways in case of one or more of the below mentioned conditions:</p> <ul style="list-style-type: none"> <li>a) Firm is under investigation for violation of statutory and mandatory</li> </ul>

	laws by any law enforcing agency of central or state government. b) Firm is under investigation for malpractice or unethical behaviour such as submission of forged/ fake documents, cartel formation by BLW/ Railways. c) A process of delisting has been initiated.
<b>9.0</b>	<b>Re-instatement of the status of the vendor penalized as in Clause 8.0</b>
<b>9.1</b>	<b>Re-instatement of the firm which has been delisted by BLW</b>
9.1.1	Action for re-instatement of the delisted vendor shall be considered on merit only after the vendor applies for the same giving all the relevant information.
9.1.2	Reinstatement shall be considered after a period of one year only which may be relaxed for new items.
9.1.3	Verification of the corrective & preventive action taken by the firm may be done by resorting to the method of quality audit, random testing of the item, detailed investigation of the failure cases or, feed back from the purchaser or end user.
9.1.4	PCEE's approval will be taken for reinstatement.
9.1.5	Whenever the name of the vendor is delisted for any of the reasons cited in Clause 8.0 and its sub-clause, the case of such vendor for re-instatement shall be considered for Fresh Registration only.
9.1.6	In case of delisting due to lack of or withdrawal of ISO 9001 or any equivalent certification, submitted at the time of approval, by the certifying agency, if the vendor obtains the ISO certification within a period of <b>one year</b> , the vendor status will be restored immediately as soon as ISO 9001 or any equivalent certification is granted.
<b>10.0</b>	<b>Vendors approved by RDSO</b>
10.1	RDSO controlled items used in the locomotives shall be mentioned in the <b>Master list of approved suppliers/ vendor directory of Approved Suppliers</b> , but will be mentioned as "Refer RDSO's Approved Supplier's List". The name of the vendors shall not feature against such items.
<b>11.0</b>	<b>Changes in the name of the vendor:</b>

11.1	On request from the approved vendor about the change in name the Dy. HOD shall verify the same by visit to the firm's premises, if considered necessary. Documents of Company Registrar will also be verified to authenticate the change in the name.
11.2	Dy. HOD shall scrutinize the documents like memorandum of article of association, list of tools, plants and machinery, undertaking by the firm for liability of the old firm, resolution of the Board of directors of the firm and partnership deeds etc. After satisfying himself and vetting from legal cell of BLW, Dy.HOD will recommend the change of name of the firm for the approval of PCEE through CDE/Elect. Loco and Quality Cell.
11.3	If the change of name is done as a result of bifurcation of existing work premises, the capability-cum-capacity will be reassessed.
11.4	Acceptance of the change of name will be communicated to the vendor by Quality Cell under concerned Dy. HOD and the same will be advised to CLW for amendment in the Master list of Approved Vendors.
<b>12.0</b>	<b>Change in address of the manufacturing unit of the vendor:</b>
12.1	On request from the approved vendor about the change of address of the manufacturing unit the Dy.HOD shall verify the same by visit to the firms premises and establish the following facts: <ul style="list-style-type: none"> <li>• The office establishment has been shifted totally.</li> <li>• The machinery and plant have been shifted totally.</li> <li>• The testing and laboratory facilities have been shifted totally.</li> <li>• The approved QAP is implemented effectively at the new address.</li> <li>• The certificate from competent Government Agency for establishment of the works at new address is available.</li> <li>• The name of the firm has not changed.</li> <li>• Approval of the additional works address will be granted only after assessment of new works address and successful prototype testing of the item at additional works address. Status of the additional works address will remain same as the original works after granting of approval.</li> </ul>
12.2	Dy. HOD will finalise the report for the same.
12.3	If all requirements are satisfied the Dy. HOD will put up the report to the PCEE through CDE/Elect. Loco and Quality Cell.
12.4	On approval by PCEE, the acceptance of the change of address shall be



Issued by : 1

	communicated to the firm and the same will be advised to CLW for amendment in the Master list of Approved Vendors.		
12.5	<b>Additional works setup by approved vendor:</b>		
12.5.1	Firm has to apply for inclusion of additional works like a fresh registration case.  a) Dy. HOD shall verify that the Machinery & Plants are similar to the works already approved. However, the vendor may use some of the facilities of the original works, as required. b) The testing and laboratory facilities required for the final inspection of the product shall be available in the additional works. c) QAP shall clearly indicate the operations performed at additional works and support taken from original works. d) Factory license, ISO 9001 or any equivalent certificate and SSI/NSIC certificate (if applicable) are available for the additional works. e) The ownership of entity is same. f) Approval of the additional works address will be granted only after assessment of new works address and successful prototype testing of the item at additional works address. Status of the additional works address will remain same as the original works after granting of approval.		
13.0	<b>Sub-vendor</b>		
13.1	Item supplied by Sub-vendor will form part of the Bill of Material of the primary vendor.		
13.2	Ensuring quality of material supplied by the sub-vendor to the primary vendor will be the responsibility of the Primary Vendor.		
14.0	<b>Distribution Matrix of Works</b>		
	<b>Designation</b>	<b>3Phase Locomotives equipments &amp; quality Cell</b>	<b>Traction Motor &amp; Static Equipment</b>
	<b>Dy HOD</b>	Dy CDE-I, Dy CDE/ Elect. , Dy CDE/Mech.	
	<b>HOD</b>	CDE/E-Loco	
15.0	<b>General</b>		
15.1	CDE/Elect. Loco & Dy. HODs concerned will be responsible for using the correct version of the <b>Master list of approved suppliers/ vendor directory of</b>		

	<b>Approved Suppliers</b> in their official work.	
15.2	Master list of approved suppliers/ vendor directory will be revised twice in a year by CLW and will be issued on the first working day of January and July.	
15.3	A draft approved suppliers list will be uploaded on CLW website 10 days before publishing the final list to enable suppliers to register observation/complaints, if any.	
15.4	All communication to the vendor regarding approval shall necessarily be made through registered post. In order to provide advance notice CLW / BLW may send advance communication through email also.	
<b>15.5</b>	<b>Provision of Appeal (for Vendor De-listed by BLW)</b>	
	The appeal can be made in case of de-listing only and within 30 days of issue of letter for de-listing. Whenever the vendor is not satisfied the action taken, he may appealed to GM who, after seeing the merit of the case, may decide or dispose off or refer the case to the committee consisting of PCEE / BLW, PFA/BLW and PCMM/BLW. The committee gives their observation and recommendation. The committee will verify that the case has been dealt with as per the procedure or otherwise. The same will be put-up to GM for disposal of the appeal.	
15.6	BLW is IRIS certified production Unit. It is desirable that existing approved and new vendors and their sub-vendors make effort to obtain IRIS certification.	
<b>16.0</b>	<b>Associated Documentation</b>	
16.1	BLW/VD/EL/F/01 – Vendor Registration Application Form ‘A’	Appendix-1
16.2	BLW/ VD/EL/F/02- Register for monitoring fresh registration	Appendix-2
16.3	BLW/VD/EL/F/03- Acknowledgement of having received Form-‘A’	Appendix-3
16.4	BLW/ VD/EL/F/04- Desired aspects in QAP	Appendix-4
16.5	BLW/ VD/EL/F/05- Vendor Assessment Form ‘B’	Appendix-5
16.6	BLW/VD/EL/F/07- Format for maintaining FRPCPY from Railways	Appendix-6
16.7	BLW/VD/EL/F/08 - Format for maintaining warranty failures & first year failures	Appendix-7
16.8	BLW/VD/EL/F/09 - Format for maintaining shop failures	Appendix-8
16.9	BLW/VD/EL/F/10 – Check List for Approval of Vendor	Appendix-9
16.10	BLW/VD/EL/F/11 – Format for advising the approval	Appendix-10
16.11	BLW/VD/Electric Loco– Master list of approved suppliers/ vendor directory of Approved Suppliers for Electric Locomotive will be issued separately as	

	defined in clause 17.0
<b>17.0</b>	<b>Cross References</b>
17.1	RDSO work instruction No. EL-WI-7.1-1 guideline for Vendor approval (Registration)
17.2	Railway Board's letter No. 99/RS(G)/709/1 dated 18.11.2016 regarding <b>Ordering on Approved/Registered Sources</b>
17.3	Railway Board's letter No. 2001/RS(G)/79/7 dated 07.12.2016 regarding <b>Vendor Approval/Registration for Safety/Vital Items</b>
17.4	Railway Board's letter No. 2001/RS(G)/779/7 dated 01.02.2017 regarding <b>Vendor Approval/Registration for Safety/Vital Items</b>
17.5	Railway Board's letter No. 97/Elect(TRS)/113/4 dated 02.06.2020 regarding <b>Widening of vendor base of items of electric loco</b>
17.6	CLW Work Instruction No. CLW/MLSA/EL/WI guideline for Vendor approval

[illegible]

**Format: BLW/ VD/EL/F/01.....Appendix-1 (2/19)****PART –I                      GENERAL**

1.	Name of the firm	:	
2.	<b>Address:</b>		
	<b>a) Registered Office</b>	:	
	<b>b) Factory/Works</b>	:	
3.	<b>Contact Information:</b>		
	<b>Phone No (O)</b>	:	
	<b>Phone No (F)/Works</b>	:	
	<b>Contact Person</b>	:	
	<b>Mobile No.</b>	:	
	<b>Email</b>	:	
	<b>Fax No.</b>	:	
4.	Nature of Business	:	Manufacturer/Sole selling Agent/ Dealer/ Trader/ Project Engineer/Agent/Assembler.
5.	Nature of the Company	:	Proprietary/ Partnership/ Private Limited/ Public Ltd.
	a	In case of a proprietary, Co. Name, Address , Telephone Nos., <b>Mobile No. and Email ID</b> of the Proprietor.	:
	b	In case of Partnership, Co. Name and Address of the Partners with Telephone Nos.	:
	c	In case of Public/Private Limited Co. Name, Address, Telephone Nos., <b>Mobile No. and Email ID</b> of the Chief Executive.	:



Format: BLW/ VD/EL/F/01.....Appendix-1(3/19)						
6.	For clarifications, persons to be contacted		:			
	Name		:			
	Designation		:			
	Phone No.		:			
	<b>Mobile No.</b>		:			
	<b>Email</b>		:			
	Address					
	a) Office		:			
	b) Residence		:			
7.	Total area of the factory		:			
	a) Covered		:			
	b) Uncovered		:			
8.	Details of Manpower					
	a)	<b>Manpower:</b>		<b>Production</b>	<b>Quality Control</b>	<b>Total</b>
	(i)	<b>Total No. employed</b>	:			
	(ii)	<b>Managerial</b>	:			
	(iii)	<b>Supervisory</b>	:			
	(iv)	<b>Skilled Artisan</b>	:			
	(v)	<b>Unskilled Artisan</b>	:			
		<b>Total</b>	:			

Format: BLW/ VD/EL/F/01.....Appendix-1 (4/19)				
	b)	<b>Working Hours:</b>	:	
		<b>Daily Hours of working</b>	:	
		<b>Weekly closing (if any)</b>	:	
	c)	Are minimum requirements of experience & qualification laid down for production manager & Supervisory staff? (If Yes, give details)	:	<input type="checkbox"/> Yes <input type="checkbox"/> No
	d)	Are minimum requirements of experience & qualification laid down for quality control Manager & Inspection Staff? If Yes, give details	:	
9.	Type of Industry		:	Small Scale/Medium Scale/Large Scale.
	a)	In case of small scale Industry Registration No. and date with the Director of Industries	:	
	b)	In case of Medium Scale/Large Scale Industry, Factory No. Allotted by the Director General of Technical Development	:	
10.	Whether firm is registered under Indian Factories/Companies Act.			
11.	Registration No. if any with DGS&D or any Railway		:	
12.	Year of commencement of manufacture		:	

Format: BLW/ VD/EL/F/01.....Appendix-1 (5/19)						
13.	Annual turnover during last 3 years (The financial year adopted by the firm should be indicated and estimated value also given for current year)		:			
14.	Electric Power		:			
	Sanctioned		:			
	Installed		:			
15.	Whether adequate facilities are available for:-					
	a)	Water Supply	:			
	b)	Fire fighting	:			
	c)	Security	:			
16.	Any other office? If yes, please give details with address and Telephone No.		:			
17.	Agencies and Authorized dealership, if any.		:	<table border="1"> <tr> <td>Product</td> <td>OEM</td> </tr> </table>	Product	OEM
Product	OEM					

**Format: BLW/ VD/EL/F/01.....Appendix-1 (6/19)****PART – II TECHNICAL**

1.	Manufacturing capacity as approved by the Govt.		:			
	Industrial License No. and Date		:			
				Sl. No. of License	Products	Qty. Licensed
2.	Brief details of products manufactured		:			
	Sl.No	Type	Description	Annual Production for last three years.		
3.	a)	Capacity for production of item applied for, if entire capacity is utilized on that item.		:		
	b)	Net available capacity for the items under reference keeping in view the existing load on hand as declared by the firm.		:		
4.	Whether unit/factory of the firm is already approved with BLW for supply of any other item. (If yes, please give details)		:			
5.	If the product being applied for has been tested by any agency. Details may be furnished (copies of quality approval/Test Certificates/Test Reports may be enclosed).		:			
6.	Whether the firm has full facilities for manufacturing all components of item under reference, If not-		:			
	a)	Details of components not manufactured in-house.		:		
	b)	Name & Address of the Sub-contractor/Suppliers		:		

Format: BLW/ VD/EL/F/01.....Appendix-1 (7/19)						
	c)	Whether the Sub-contractor/ Supplier is registered with DGS&D/Railways.	:			
	d)	Whether Sub-contractor/ Supplier is registered under Indian Factories/Companies Act.	:			
	e)	Status of QMS as per ISO 9001/ISO 22163 or any other equivalent certification of Sub-contractor/ Supplier	:			
	f)	Status of IRIS certification of Sub-contractor/ Supplier	:			
7.	Foreign collaboration, if any		:			
Product		Name & Address of the collaborator		Year of collaboration	Whether current or not	
8.	Are imported raw material used, if yes , details thereof may be furnished		:			
Brief Description of Product/ Raw Material		Estimated CIF Value		%of Foreign Exchange content in finished		
9.	Details of plants & machinery (Description, rating, make & Qty.)		:			
Format: BLW/ VD/EL/F/01.....Appendix-1 (8/19)						
10.	Details of laboratory and drawing office facilities		:			

11.	Inspection facilities for inwards goods and quality control of raw materials	:	
a)	Available test equipment and facilities in the Factory, (Description, rating, make & quantity)	:	
b)	Assistance from external agencies (Description of the test, name of the agency carrying out the test)	:	
12.	Whether manufacturing with ISI mark or to some other specification	:	
13.	Inspection and quality control of finished products	:	
a)	QMS as per ISO 9001/ISO 22163 or any other equivalent Certification Of Works		
	Date of obtaining QMS as per ISO 9001/ISO 22163 or any other equivalent certification first time		
	Certification agency		
	Whether the scope cover the item under approval (Extract may be quoted)		
b)	Status of IRIS certification		
	Date of obtaining IRIS certification first time		
	Certification Agency		
<b>Format: BLW/ VD/EL/F/01.....Appendix-1 (9/19)</b>			
c)	Other certificates pertaining to Quality / environment / health / safety etc. (if any)	:	

	d)	Available test equipment & facilities in the factory	:	
	e)	Assistance from external agencies	:	
14.	Principal Customers		:	
	Name & Address of the Customer	Product Supplied	Value supply(Rs.)	Year of Supply
15.	Future Plans		:	
	a)	Diversification programme	:	
	b)	Installation of new machinery	:	
	c)	Additional test facilities	:	
	d)	Any other relevant information	:	

**Format: BLW/ VD/EL/F/01.....Appendix-1 (10/19)****PART – III FINANCIAL/ COMMERCIAL**

1.	Name(s) & Address(s) of your bankers	:	
2.	Financial Status as per latest relevant records. *All information to be furnished as per balance sheet.	:	
	a) Net fixed assets	:	
	b) Current assets	:	
	c) Current liabilities (A copy of the last annual accounts should also be enclosed)	:	
3.	a) Sources of Finance	:	
	b) Borrowing limits as sanctioned by bank, if any	:	
4.	Income tax returns with current number and date	:	
5.	<b>Excise/GST registration No.</b>		
6.	GST registration certificates number and date	:	
	a) State	:	
	b) Central	:	
7.	Brief terms & conditions for supply will be as per extant IRS conditions of contract.	:	
7.	Terms of payment	:	
8.	Are your products covered by warranty? If so, indicate Warranty should be as per Bid Documents.	:	
	a) Period	:	
	b) Scope of warranty	:	



**Format: BLW/ VD/EL/F/01.....Appendix-1 (11/19)**

9.	Would you provide after sales service? If yes, give details	:	
----	--	---	--

Enclosures: Please give below the list of enclosures  
and the number of copies.

1.

2.

3.

We confirm that the information furnished is correct to the best of our knowledge.

Seal:

Signature :

Name in Capitals :

Designation :

Date :

**Format: BLW/ VD/EL/F/01.....Appendix-1 (12/19)**

**PART – IV**

**DECLARATION AGAINST CARTEL FORMATION**

We, M/s.....  
hereby undertake that we will not indulge in any sort of cartel formation in future with respect to any of the orders to be placed by BLW. We further know that in case of any such cartel formation noticed, BLW can take panel action including delisting from the Master list of approved suppliers/ vendor directory of Approved Suppliers.

(S/d)

M/s.....

**Format: BLW/VD/EL/F/01.....Appendix-1 (13/19)**

**PART — V**

**(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective State and duly notarised & witnessed)**

**AFFIDAVIT**

I, son of ..... aged about .  
..... Years, resident of .  
..... do hereby solemnly affirm  
as under —

1. That the deponent is the sole Proprietor of the Concern which runs in the name and style of.....  
.....
3. That the aforesaid Proprietorship Concern deals in **(here mention the details of business)**.
4. That the deponent gives an undertaking that the Proprietorship Concern abides by all the statutory obligations required to run his business.

**DEPONENT**

**VERIFICATION**

I declare that the contents of para 1 to 4 above are true as per my knowledge and nothing has been hidden.

**DEPONENT**

**Format: BLW/ VD/EL/F/01.....Appendix-1 (14/19)**

**PART – VI**

**(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed)**

**Undertaking for Infringement of IPR for All the Items/Products Developed by the Vendors Which are in the Process of Approval**

I, son of . ..... aged about .  
..... years resident of .  
..... do hereby solemnly affirm as  
under —

1. That the deponent is the Authorised signatory of ..... ***(Name of the Sole Proprietorship Concern/Partnership Firm/ Registered Company/ Joint Venture).***

2. That the deponent declares on behalf of . ..... **(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company/Joint Venture)** that:

a) The development' product/process is original and there is no infringement of Patent Rights. Indian Railways shall not be responsible for infringement of patent rights arising due to similarity in design, manufacturing process, use of similar components in the design & development of this item and any other factor not mentioned herein which may cause such a dispute. The entire responsibility to settle any such disputes/matters lies with the manufacture/supplier.

b) Details/design/documents given are not infringing any IPR and we are responsible in absolute and full measure instead of railways for any such violations. Data, specifications and other IP as generated out of interaction with railways shall not be unilaterally used without the consent of Railways and right of Railways on such IP is acceptable to firm.

**VERIFICATION**

I declare that the contents of para | to 2 above are true as per my knowledge and nothing has been hidden.

**DEPONENT**

**Format: BLW/ VD/EL/F/01.....Appendix-1 (15/19)**

## **PART - VII**

**(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed)**

### **Undertaking Regarding:**

- (i) Confidential Information**
- (ii) Changes in the Name, Address, Work Place and Ownership**
- (iii) Legal/Statutory Compliances and Handing Over of Legal Documents**
- (iv) Plant and Machinery**

I, son of .....0.  
..... aged about .  
..... years resident of .  
..... do hereby solemnly affirm  
as under —

1. That the deponent is the Authorised signatory of ..... **(Name of the Sole Proprietorship Concern/Partnership Firm/ Registered Company/ Joint Venture).**

2. That the deponent declares on behalf of ..... **(Name of the Sole Proprietorship Concern/Partnership Firm/ Registered Company/Joint Venture)** that:

- a) No confidential information has been provided to BLW and as such no claim shall be made against BLW for infringement or leakage of any information.
- b) that any change in the name, address, work place and ownership of the **(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company)** shall be done as far as possible with prior intimation to BLW. If prior intimation regarding aforesaid changes is not given, then the same shall be intimated to BLW forthwith and in any case not later than one month, failing which BLW shall have the right to temporarily delist **(Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company alongwith address)** without assigning any reasons and the delisted vendor shall have no claim in consequence thereof against BLW whatsoever.
- c) All statutory requirements/obligations are being abided with, including the following:
  - (i) Sale Tax Registration
  - (ii) Income Tax Return
  - (iii) Labour Laws — Minimum Wages Act, Workman's Compensation Act, and Prohibition of Child Labour etc.
  - (iv) Any other legal/statutory compliance.

**Format: BLW/ VD/EL/F/01.....Appendix-1 (16/19)**

- e) We are aware that if at any time after approval is accorded, some M&P is found deficient without intimation to BLW along with reasons for the same, then action may be initiated by BLW including delisting and withdrawal of approval of the firm without giving any further opportunity.

**VERIFICATION**

I declare that the contents of para 1 to 2 above are true as per my knowledge and nothing has been hidden. .

**DEPONENT**

**Format: BLW/ VD/EL/F/01.....Appendix-1 (17/19)**

## **PART – VIII**

**(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and duly notarised & witnessed)**

### **Undertaking Regarding Allied/Sister Concern**

I, son of ..... aged about ..... years resident of .  
..... do hereby solemnly affirm  
as under —

1. That the deponent is the Authorised Signatory/ Sole Proprietor / Partner / Directors of ..... ***(Name of the Sole Proprietor Concern/Partnership Firm/ Registered Company alongwith address).***
2. The particulars viz name, father's name, age and address of the . ..... (Sole Proprietor of the Proprietorship Concern / Partners of the Partnership Firm/ Directors of the Registered Company) are as per **ANNEXURE-III**.
3. That the deponent declares that he is aware of the provisions regarding sister/allied concerns which are reproduced below:
  - a) ***For Proprietary Firms:*** *In case of Proprietary firms, the firms qualifying the following criteria shall be categorized as sister concerns:*
    - *All the firms owned by the same person shall be considered as allied / sister concerns.*
  - b) ***For Partnership Firms:*** *In case of partnership firms, the firms qualifying the following criteria shall be categorized as sister concerns:*
    - *All firms having the same set of partners.*
    - *In case, any one or more partners, who has a profit sharing ratio of 20% or more in the applicant firm as well as has any of the firms already registered for the same item with BLW, both the firms shall be considered as sister concerns.*
  - c) ***For Companies:*** *In case of companies established under the Companies' Act, the firms qualifying the following criteria shall be categorized as sister concerns*
    - *All companies having — “majority” of Directors common*
    - *Any one or more Directors, or any of his/her close relatives (father, mother/ stepmother, husband, wife, brother/step-brother, \_ sister/step-sister, son/step-son, daughter/step-daughter, son's wife, daughter's husband, brother's wife and sister's husband), has 1/3rd or more share holding in the applicant company as well as in any of the companies already registered for the same item with BLW, both the companies shall be considered as sister concerns.*

**Format: BLW/ VD/EL/F/01.....Appendix-1 (18/19)**

- Common share holder having 1/3rd shares.
- d) **Other Conditions:** In addition to this, the firms/companies operating from same office or having same manufacturing works shall be treated as allied/sister concern.
4. That the deponent declares that under provisions mentioned in para 3 above (*mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company*) **is not a** sister/ allied concern of any other *Sole Proprietorship Concern/ Partnership Firm/ Registered Company registered* as vendor in BLW

OR

That the deponent declares that under provisions mentioned in para 3 above (*mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company along-with address*) is a sister/allied concern of (*mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company registered as vendor in BLW along-with address*) and further declares that the details of name, address, workplace, ownership and business of the aforesaid sister/ allied Concern are as per ANNEXURE-IV.

**VERIFICATION**

DEPONENT

I declare that the contents of para 1 to 4 above are true as per my knowledge and nothing has been hidden.

DEPONENT



**Format: BLW/ VD/EL/F/01.....Appendix-1 (19/19)****PART — IX**

**(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed)**

**Authorization Letter**

I, son Of .....4.. aged about ..... years Sole Proprietor / Partner / Director of  
(Name of the Sole Proprietor Concern/Partnership Firm/ Registered Company alongwith address) do  
hereby authorize following persons to sign the documents on behalf of the firm :

SI. No.	Name of the person alongwith father name	Designation	Signature

**DEPONENT**

**Format: BLW/ VD/EL/F/02.....Appendix-2 (1/1)****VENDOR REGISTRATION MONITORING**

Sl.No.	Name of Firm	Tender No & Date of opening	Equipment	Equipment UL No./ Specification	Date of Issue of Form 'A'	Date of return of Form 'A'	Date of assessment	Approved or Not?	Dev. Order No. & Date & Qty	Date of approval of prototype	Dt. Of completion of field trial	Final Status successful or Not ?

\* In case the assessment is taken up outside the tender, this column will be marked as “Outside Tender”.

\*\* In case Form-A is sent by post, date of acknowledgement from the firm shall be sought and recorded in this column.

**Format: BLW/ VD/EL/F/03.....Appendix-3 (1/1)**

**Acknowledgement for receipt of Application form (i.e. Form 'A')**

No. EL/.....

Date: .....

M/s.....

.....

.....

.....

**Sub: Application (i.e. Form 'A') for registration.**

The application (i.e. Form 'A') for registration as an approved vendor for manufacture and supply of ..... to BLW has been received for processing. The registration number for further communication in this regard is .....

For PCEE/BLW

Not to be printed:

The registration number for further communication will be the running serial number in the Register  
**(BLW/VD/EL/F/02)**

**Format: BLW/ VD/EL/F/04.....Appendix-4 (1/1)**

**Desired Aspects in QAP to be approved by Dy HOD**

QAP to be submitted by the vendor in duplicate along with the application from (i.e. Form 'A') shall cover the following aspects:-

1. Organization Chart clearly bringing out the quality control set-up.
2. Qualification Log Sheets of the personnel manning the quality control set-up.
3. Process flow chart indicating the process of manufacture of on item or a family of items for which the process is same.
4. Details of Sub-vendors:
  - The name of the item for which sub-vendor is approved.
  - The name of the approving agency.
  - Inspection criteria of the sub-vendor.
  - The sub-vendor has QMS as per ISO 9001/ISO 22163 or any other equivalent certification
  - Status of IRIS certification of sub-vendor
  - QAP of the sub-vendor is approved by the Primary vendor.
  - Sub-vendor has submitted the Quality Manual to the Primary Vendor.
  - The sub-vendor has all the requisite infrastructure of manufacturing and testing facilities, preferably under one roof.
  - Periodical inspection schedule for sub-vendor is being followed strictly by the Primary vendor.
5. Quality Assurance System – Inspection and testing plan. This shall cover the following:-
  - Incoming Material
  - Process control
  - Product control
  - System control
  - Gauging scheme in the format for each operation gauges should be mentioned. If used.

**Format: BLW/ VD/EL/F/05.....Appendix-5 (1/4)****Vender Assessment Form-‘B’****(To be filled in by the inspecting official)****CAPACITY ASSESSMENT REPORT FOR GRANTING APPROVAL**

<b>Part-I</b>	
<i>(* Information to be jointly signed by Inspecting Officer and Authorized representative of the firm)</i>	
1.	Firm Detail
	a) Name of Firm
	b) Works Address visited:
2.	a) Date of visit
	b) Name and Designation of Inspecting Officer
	c) Name of item for which inspection has done
	d) Specification No.
	e) STR No.
3.	Have the details given in the three parts of Proforma ‘A’ been verified. If yes, any observation or discrepancy noted. *
4.	Condition of the plant and Machinery held by the firm. *
5.	How are management-labour relations? Any labour problem occurred in the past 3 years. *
6.	Details of R&D department *
	a) Funds for the current year *
	b) Man Power. *
	c) Head of the R&D Dept, his name & qualification. *
	d) On going projects.
7.	Does the firm purchase raw materials on suppliers guarantee or get it tested? If tested, name of the agency. *
8.	Does the firm has separate Inspection agency of their own or they get it tested from outside for inspection and acceptance of purchase items? (In case of outside inspection agency, please give details). *
9.	Details of warehousing and storage facilities for: *
	a) Raw materials (inputs)
	b) Finished products.

<b>Format: BLW/ VD/EL/F/05.....Appendix-5 (2/4)</b>		
<b>10.</b>	Indicate the details of material handling and finished product handling equipment. *	
<b>11.</b>	Does the firm has separate in-charge of Quality Control & production? *	
<b>12.</b>	Does the firm have facility/provision for training of staff where applicable? *	
	Does the firm follow any quality control program? Is there any evidence of scientific quality management by way- *	
	a) Quality Manuals	
	b) Quality Plans	
	c) Check lists	
	Does the documents such as SSI/NSIC/Factory license, Latest electricity Bill, QMS & IRIS certificate etc. been verified with original? *	
	Does the firm maintain record of calibration of measuring instruments & test equipment? *	
<b>16.</b>	Is the calibration record upto date? Please give details. *	
	If the design of the product is firm's original design or borrowed from some other agency. If borrowed, give details. *	
<b>18.</b>	Does the firm maintain satisfactory quality control record for: *	
	a) Material control	
	b) Process control	
	c) Finished product control	
	Are non-conformities properly identified and action taken accordingly? *	
<b>20.</b>	What is the network of after sale services? (as per doc.) *	
<b>21.</b>	Brief mention of other items manufactured & supplied by the firm *	:
	Major Customers of the firm. *	
Signature		Signature
Name:		Inspecting Officer:
Designation:		Designation:
Firm's Name:		Banaras Locomotive Works
Date:		Place:

Format: BLW/ VD/EL/F/05.....Appendix-5 (3/4)		
Part-II		
(** Personal report of the Inspecting Official to be attached)		
	Do the firm purchase raw materials on suppliers guarantee or get it tested? If tested, name of the agency. **	
	Does the firm maintain goods inward records (Acceptance & Rejection)? **	
	Does the firm has separate in-charge of Quality Control & production? **	
26.	Does the firm have facility/provision for training of staff where applicable? **	
	Does the firm follow any quality control program? Is there any evidence of scientific quality management by way- **	
	a) Quality Manuals	
	b) Quality Plans	
	c) Check lists	
	Does the documents such as SSI/NSIC/Factory license, Latest electricity Bill, ISO certificate etc. been verified with original? **	
	Does the firm maintain record of calibration of measuring instruments & test equipment? **	
	If the design of the product is firm's original design or borrowed from some other agency. If borrowed, give details. **	
	Does the firm maintain satisfactory quality control record for: **	
	a) Material control	
	b) Process control	
	c) Finished product control	
	Is the environment conducive to the production of quality goods (order lines, lighting, cleanliness in-and-around working conditions etc.) **	
33	Are non-conformities properly identified and action taken accordingly? **	
	-going jobs satisfactory? **	
	What is the network of after sale services? (as per doc.) **	

**Format: BLW/ VD/EL/F/05.....Appendix-5 (4/4)**

<b>3</b>	Is the firm able to produce satisfactory evidence that the orders executed by them in the last -3 years where within the stipulated delivery period? Where the suppliers made without considerable rework/deviation? Are you satisfied with the existence? **	
	Is the firm prompt in correspondence and attending rejection rework satisfactory? **	
	General Remarks: (General opinion concerning management policies of firm towards quality, maintenance of delivery schedules, labour relations, no. of years in particulars business etc.) **	
	Brief mention of other items manufactured & supplied by the firm **	
	Major Customers of the firm **	
	Any other remarks/observation concerning to participate item under reference.	

**Recommendation**

It is certified that the requirements of Capability assessment of the firm are met/not met with as detailed above. Therefore, It is recommended that firm

M/s.....  
with ..... works ..... address  
at.....

.....  
may/may not be considered capable of manufacturing & supply  
of.....

Date:	Signature:
Place:	
	Name:
	Designation:



## REGISTER FOR MAINTAINING FRPCPY

		SL.NO.	
		Equipment Name	
		Equipment UL No/ Spec	
		Make of Equipment	
		CR	
		NR	FRPCPY
		NCR	
		NER	
		NFR	
		NWR	
		ECR	
		ECoR	
		ER	
		SCR	
		SCoR	
		SER	
		SECR	
		SWR	
		SR	
		WCR	
		WR	
		Remarks	

## REGISTER FOR MAINTAINING WARRANTY FAILURES & FYFR

		SL. No.
		Name of Equipment Failed
		Make of Equipment
		Equipmt. UL No./Spec
		Date of Failure
		Nature of Failure
		Loco Number
		Date of Loco commissioning
		Reporting Railway/Shed
		Date Of reporting to firm
		Date of warranty replacement/ repair
		Date of expiry of equipment warranty

[illegible]

**Format: BLW/ VD/EL/F/10.....Appendix-9 (1/2)****Check List for Approval of Vendor**

Sl. No.	Parameter to be checked	Description
1.	Name of the firm	
2.	Name of the item	
3.	Capacity cum Capability Assessment	
	Form "A" submitted and scrutinized for all the points	Yes/No. If yes details.
	Name/Designation of the nominated Officer	
	Date of visit of the firm	
	Clarification sought from the firm	
	Deficiencies noticed & communicated to the firm	Yes/No. If yes details.
	Deficiencies taken care by the firm within 6 Months	Yes/No.
	Date of approval of Capacity cum Capability Assessment	
4.	Undertaking against Cartel formation submitted	Yes/No
5.	QMS requirements	
	Class of QMS certification	
	Name of Certifying agency	
	Date of certification	
	Validity of certification	
	Certificate submitted	Yes/No
6.	Prototype testing	
	Testing Agency	
	Date of testing	
	Venue of testing	
	Specified requirements met	Yes/No. If 'No' the details of deficiencies noticed.
	Date of prototype clearance	

<b>Format: BLW/ VD/EL/F/10.....Appendix-9 (2/2)</b>		
7.	QAP approval	
8.	QAP compliance Satisfactory	Yes/No. If 'No' details
9.	Quality Manual Submitted	Yes/No. If 'No' the details.
3.	Date of application for Approval	
5.	Minimum supply quantity criterion fulfilled	Yes/No. If 'No' details.
	Details of order	
	Order placing authority	
	Purchase Order / Contract Details	
	Validity of the order	
	Details of supply made	
6.	Minimum performance criterion fulfilled	Yes/No. If 'No' details.
8.	Warranty failures and replacement details	
7.	Customer service performance Satisfactory	Yes/No. If 'No' details.
10.	Rate of rejection during service and inspection	
11.	Complaints from the Railways	

**Remarks by Dy. HOD**

.....

.....

.....

.....

.....

Signature .....

(Name/Designation of Dy.HOD)

**Format: BLW/ VD/EL/F/11.....Appendix-10 (1/1)**

**CERTIFICATE OF REGISTRATION / APPROVAL**

M/s..... Registration No.....

Office Address .....

Factory Address..... has

been registered as an approved vendor for manufacture and supply of (Item)

..... as per the specification

No..... to CLW or BLW. This registration is valid

from ..... to ..... subject to the following conditions:

1. The supply should meet the requirement of the specification.
2. No design change or the change in Bill of Material shall be made without the prior approval of Unit Officer.
3. Notwithstanding this approval, vendor is wholly and completely responsible for quality, on line performance, reliability and life of the item/items supplied by him.
4. Complete compliance to the conditions given in Purchase Order of CLW/BLW/DMW/Zonal Railways.
5. All future changes in equipment, facilities and establishment at your works should be promptly communicated to BLW.
6. No change in location of any activity except with prior consent/approval of BLW.

Signature with Seal

**Criteria for approval as Approved Source**

#		Minimum Qty. (L/Sets)	Service period with Satisfactory performance (Year)
1.	All minor items.	5	6 months
2	a) All medium items. b) All small, medium & large fabricated items.	10	01 Yr.
3.	All major items and extra large fabricated items (except given Sl.No.2)	20	01 Yr.
4.	a) Main transformer for locos. b) Vehicle Electronics/Control Unit for electric rolling stock. c) IGBT/GTO based traction, aux. & hotel load converters for rolling stock. d) Asynchronous Traction Motors.	20	02 Yrs.
5.	Items for critical applications w.r.t. wear Viz. All gears, pinions.	20	03 Yrs.

**Annexure-II**

**Left Blank Purposely**



**Annexure-**

**III PARTICULARS OF (SOLE PROPRIETERS/ PARTNERS/  
DIRECTORS)**

*(Tick any one)*

SN	Name		Age	Address	Profit sharing Ratio / % Share

**DEPONENT**

**Annexure-IV**

---

SN	Name of the firm along with type of firm i.e. (partnership/registered company etc.)	Address	Work place	Ownership details i.e. Name & % Share	Business Details

DEPONENT