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INDIAN RAILWAYS

CHITTARANJAN LOCOMOTIVE WORKS

PROCEDURE FOR VENDOR DEVELOPMENT FOR PURCHASED PRODUCTS USED IN ELECTRIC LOCOMOTIVES

WORKS INSTRUCTION (W.I.) NO. CLW/MLSA/EL/WI (REV.3)

...30... December, 2017

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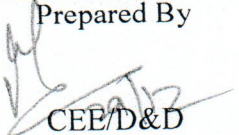
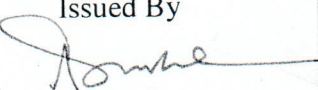
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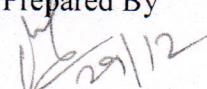
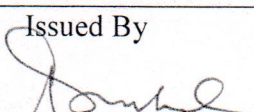
REVISION STATUS

Sl. No.	Date of Amendment	Revision	Page No.	Reason	Proposed By	Approved By
1.	1.8.2015	1	Clause 5.2.1, 8.10, 12.5 and 15.4 added. Also minimum quantity & service period criteria defined for upgradation as Annexure-I.	Quality procurement of materials	PCEE	GM
2.	10.03.2017	2	Clause 3.4, 4.0, 5.0, 6.0 modified. Also minimum quantity & service period criteria defined for approval as Annexure-I.	RB directive under referred under clause no. 17.2, 17.3, 17.4	PCEE	GM
3.	29.12.2017	3	Clause 5.2.3, 5.3.5, 8.1.8, 8.1.9, 8.1.11, 8.9 added.	For Vendor Approval Fee, submission of legal documents and additional criteria for delisting	PCEE	GM
			Clause 5.3.13, 8.1.12, 8.8.1 modified.	Addition criteria for delisting and other minor changes		
			Clause 15.5 modified.	Time limit for appeal added		
			Annexure-II	Fast Track Vendor Base Broadening - Criteria for Interim Approval for Placement of Regular Order		
			PART-V to IX and Annexure-III & IV added	Format for legal documents		
			All clauses	Correction of general in nature.		

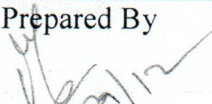
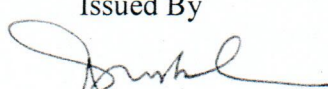
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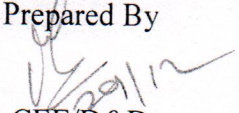
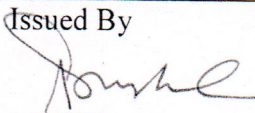
1.0	Purpose
	The purpose of this Works Instructions (W.I.) is to specifically define the procedure to develop, evaluate and approve suppliers of purchased products including raw materials, components and sub-assemblies used in production of electric locomotives currently manufactured by Chittaranjan Locomotive Works (CLW) and its maintenance carried out in Zonal Railways. The final outcome is the issue of vendor directory of approved suppliers for use by CLW and Zonal Railways for purchase of CLW controlled items. This procedure is not applicable for RDSO controlled items used in the electric locomotives.
2.0	Scope
	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. Two Master Lists of Approved Suppliers shall be prepared. List-I (CLW/MLAS/CONV) covering tap-changer locomotives (WAG7 & WAP4 class), DC traction motors (HS-15250A) and static equipment. List-II (CLW/MLAS/3-PHASE) covering three phase locomotives (WAP5, WAG9H & WAP7 class) and two types of traction motors (6FRA6068 & 6FXA7059). CLW and Zonal Railways shall use this master list of approved suppliers for procurement.
3.0	Definitions
3.1	Category of vendor
	The Vendors are categorized as approved sources.
3.2	CLW
	CLW means Chittaranjan Locomotive Works, a production unit under Ministry of Railways, presently engaged in the production of electric locomotives of WAG9H, WAP5 & WAP7 class and its sub-systems.
3.3	Delisting
	Delisting means striking off the name of the vendor from the "Master List of

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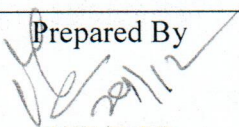
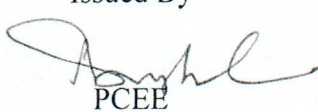
	Approved Suppliers” due to any reason including penal action.	
3.4	Dy.HOD	
	Dy.HOD is the officer directly in-charge of design, development, procurement planning, responsible for its reliability and maintenance of quality files for items allocated to/dealt by him as per the distribution matrix at clause 14.0	
3.5	Fresh Approval	
	A prospective vendor, who has been considered for development of a product, whether through a tender or otherwise, will be assessed for its capacity cum capability and if found suitable, may be issued with a developmental order.	
3.6	FRPCPY	
	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. $FRPCPY = F \cdot 100 / A$, where, ‘F’ is the number of failures equated for one year and ‘A’ is the total population of the specified make of equipment in service for which, the failures ‘F’ has been considered. In case the number of failures available is for less than an year, say ‘a’ months, then normalized yearly failure rate F will be $F \cdot 12 / a$. In case the number of failures ‘F’ considered is for more than one year, say for ‘b’ months, then normalized yearly failure is $F \cdot 12 / b$.	
3.7	FYFR	
	FYFR is the First Year Failure Rate of a particular make of a product in service in all the railways put together, which is ratio of failures to total supply expressed as a percentage. Example $FYFR = F \cdot 100 / A$, where ‘A’ is the number of equipment of a specified make which has been in service for a period of one year from its commissioning in locomotive and ‘F’ is the total number of failures reported for such equipments during the first one year period.	
3.8	GM	
	GM means General Manager of CLW	
3.9	HOD	
	HOD is the officer responsible for over all coordination of design, development,	
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	procurement planning and performance monitoring of a segment of products used in electric locomotives as per the distribution matrix at clause 14.0.	
3.10	MSG	
	MSG means Maintenance Study Group, which meets periodically to review the performance of electric locomotives in service.	
3.11	PCEE	
	PCEE means Principal Chief Electrical Engineer of CLW.	
3.12	PU	
	PU means Production Units under Ministry of Railways, Viz., CLW, DLW, ICF, RCF, RWF, MCF, DMW.	
3.13	Quality Cell	
	A separate Cell created under HOD's 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.	
3.14	Quality File	
	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 feed back 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.	
3.15	Quality Manual of a Vendor	
	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	
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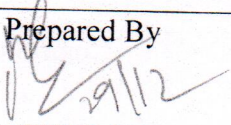
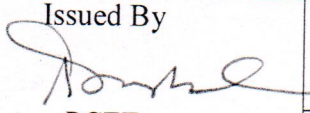
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	an integral part of the Quality File.		
3.16	Railways		
	Railways mean various Zonal Railways, who have been maintaining electric locomotives.		
3.17	RDSO		
	RDSO is Research Designs & Standards Organisation, a unit under Ministry of Railways, located at Manak Nagar, Lucknow-226 011.		
3.18	Reinstatement		
	Reinstatement means restoring the name of the delisted firm in the “Master List of Approved Suppliers”.		
3.19	Sub Vendor		
	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 the sub-vendor will form part of the Bill of Material of the primary vendor.		
3.20	Vendor		
	The Firm/manufacturer who are approved for any or all of undertaking design, manufacture and supply of the specific items to CLW directly, for which they are approved by CLW.		
4.0	Responsibility & Authority		
	4.1	Establishment of the Vendor Approval Procedure	GM
	4.2	Amendments to Vendor Approval Procedure	GM
	4.3	Maintenance of the Vendor Approval Procedure	PCEE
	4.4	Vendor status review	GM
	4.5	Maintenance of register for “Fresh Approvals”	Dy.HODs
	4.6	Grant of permission to upload or issue of Form ‘A’ to vendors	HODs
	4.7	Capacity-cum-capability assessment of the vendor and preparation of Form ‘B’	Dy.HODs
	4.8	Approval of QAP	HODs
	4.9	Approval of Quality Manual	HODs
	4.10	Signing of Quality Manual	Dy.HODs

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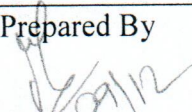
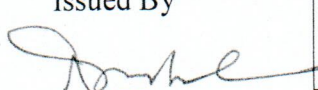
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4.11	Maintenance of Quality Manual	Dy.HODs
4.12	Maintenance of Quality File	Dy.HODs
4.13	Preparation of check list for fresh approval	Dy.HOD
4.14	Processing for fresh vendor approval	Dy.HOD
4.15	Maintenance of Assessment Report	Dy.HOD
4.16	Approval for first listing in Master List of Approved Suppliers	GM
4.17	Preparation of checklist for status review	Dy.HOD
4.18	Initiation & Processing of vendor status review for delisting/approval	Dy.HOD
4.19	Approval for Delisting	GM
4.20	Approval for re-instatement	GM
4.21	Issue of master list of approved suppliers	PCEE
4.22	Change in the name and address of the vendor	PCEE
4.23	Issue of Work Instruction for Vendor Development	PCEE
	CLW/MLAS/EL/WI	
5.0	Procedure for Approval	
5.1	Fresh entry of any firm in CLW Vendor Directory is possible normally by participating in a tender issued by CLW for 3-phase locomotive items manufactured at CLW. For conventional locomotives, reference to CLW by Zonal Railways may also be considered, if there is a need to develop more sources.	
	Capacity-cum-capability assessment can also be done in the event of Railway Board or Zonal Railways seeking CLW's assistance in this regard. Such vendors will also be dealt with according to the provisions of clause 5.3 as applicable for the other vendors.	
5.2	In case an unapproved vendor participates in a tender issued by CLW 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, the details of such suppliers are advised to respective HODs based on the acceptance of the tender by the Accepting Authority of the tender, for initiating the physical assessment of their capability/capacity and quality assurance. On receipt of such advice, the HOD shall initiate assessment and approval action as detailed in clause 5.3.	
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 CLW, assessment may be suo moto initiated by the concerned Dy.HOD with the approval of the concerned HOD.	
5.2.2	General mandatory qualifying criteria of Firms: ISO 9001 certification: Vendor shall possess valid ISO 9001 certificate for his works address, covering the general scope of items seeking registration with CLW. Scope may not include	

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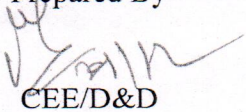
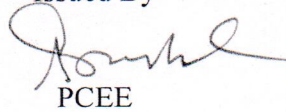
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	specific item but should include the broad category of the items such as forging, casting fabrication, machining, electrical equipment, insulating items etc.		
5.2.3	Vendor Application Fee		
	1.	Micro/Small Enterprises	Rs.15000/-
	2.	Other than Micro/ Small Enterprises	Rs.25000/-
	3.	Overseas Firms	\$ 1000/-
	4.	Registration for additional Item	Rs.5000/-
	<ul style="list-style-type: none"> • Fee shall be levied at the time of submission of Form-A for vendor approval. • Firm shall submit proof of being a Micro/Small Scale Industry, whenever applicable. 		
5.3	Vendor assessment procedure		
5.3.1	Vendor identified for assessment shall be issued with Application Form (Form 'A' i.e. format CLW/MLAS/EL/F/01) by the concerned HOD. They will be given latest version of all relevant specifications, 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 HOD 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 CLW/MLAS/EL/F/02 (Section-I or Section-II or Section-III) shall be maintained by concerned HOD 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 details will also be available and maintained with the online approval procedure.		
	Section-I of this register shall be for tap-changer locomotives, Section-II shall be for three phase locomotives and Section-III shall be for traction motors and static equipments. The register shall have various columns to monitor the complete assessment progress till approval and placement of educational order, 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 CLW/MLAS/EL/F/03 . Desired aspects to be covered in QAP to be submitted by the firm will be in Format CLWMLAS/EL/F/04 .		
5.3.4	The concerned Dy.HOD shall scrutinize Form 'A'. Salient points to be observed during scrutiny are as follows:		

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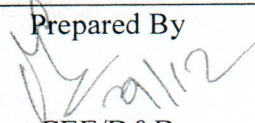
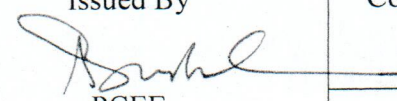
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	5.3.4.1	Documentary evidence of purchase/collection of latest versions of relevant specifications/drawings.		
	5.3.4.2	QAP of the firm in duplicate.		
	5.3.4.3	Form 'A' in duplicate.		
	5.3.4.4	All columns duly filled up.		
	5.3.4.5	Clause by clause comment of agreement with the specification and IRS conditions of contract.		
	5.3.4.6	All the Annexures 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 practices shall be screened.		
	5.3.4.12	Undertaking from the vendor declaring that the vendor will not indulge in cartel formation (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 or any other PUs if already registered for supply of any item, if any.		
5.3.5	Submission of legal documents			
	List of documents to be submitted by the vendors at the time of Registration:			
	SN	Head	Legal Document	Format
	1.	Status Of Vendor		
		a) for sole proprietorship concern	Self-declaration/Affidavit on non-judicial paper of appropriate stamp duty	Part-V of Form 'A'

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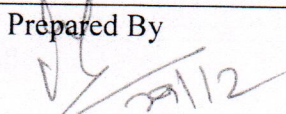
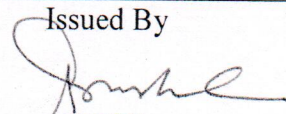
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		b) for partnership firm	latest partnership deed as per act	
		c) for registered company	Memorandum of association Article of association Ownership details/ shareholdings of directors (with name) as on the date of registration	
		d) for joint venture	MOU/ registered agreement	
	2.	Declarations/Undertakings		
		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.	Statutory compliances (as deemed necessary on case to case basis)		
		a) Factory registration b) National small industries corporation (NSIC) registration c) Micro/Small scale industry (SSI) registration		
	4.	Other documents		
		a) Power of attorney for authorised signatory in case of proprietorship concern/resolution of the partners or board of directors for authorised 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 evaluation will be done, if any clarification is			

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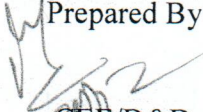
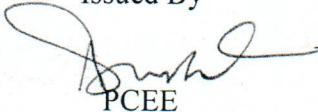
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5.3.7	Based on the above observations evaluation will be done, if any clarification is required, it must be communicated to the firm by Dy.HOD in writing through SMS/E-mail within 45 days.
5.3.8	If the infrastructure / manufacturing facilities and 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 HOD without delay, intimating the deficiencies therein.
5.3.9	If the deficiencies are complied and concerned HOD is satisfied the application may be reconsidered for further processing normally within the six months from the date of issue of rejection advice.
5.3.10	On satisfactory scrutiny of the details submitted, respective HOD 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 the Quality Cell based on the result of the inspection of the infrastructure/manufacturing facilities / QAP by filling up the Form 'B' i.e., Format CLW/MLAS/EL/F/05 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 produce and 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 CLW/MLAS/EL/F/05 (i.e. Form 'B') with all relevant documents to PCEE through the concerned HOD along with remarks / recommendations for perusal and approval.
5.3.14	After recommendation by PCEE, approval of General Manager shall be obtained for listing of the vendor in the Master List of Approved Suppliers.

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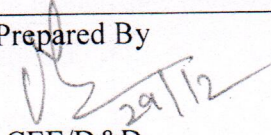
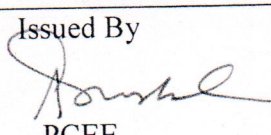
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5.3.15	The concerned HOD can recommend for placement of development order on a firm without assessment in the following cases:	
	(i)	The firm's credentials have already been assessed by CLW for other items requiring similar infrastructure.
	(ii)	The firm is already an approved 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 same/similar item by Railway Board or other Railway Production Units, Zonal Railways and RDSO.
	(iv)	The OEM and approved vendor as ToT partner for the item under consideration and/or their duly authorized agents
	(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. However, the approval of GM will be taken before listing the vendor as approved.
5.4	The approval will be communicated to the Vendor in writing by the Quality Cell, duly informing the concerned HOD in Format CLW/MLAS/EL/F/11 .	
6.0	Procedure for inclusion of the Vendor in master list of approved vendors	
6.1	A vendor is considered for being listed as approved in the Master List of Approved Suppliers, 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, specification and IRS condition of contract. For this purpose, the contract performance of a Vendor for a product will be issued by Stores depot officer at CLW on demand by Dy.HOD.
	6.1.3.1	The performance of the product has been satisfactory against the

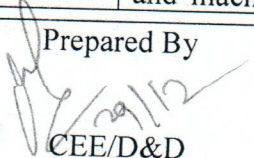
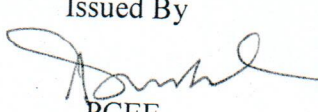
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		development and repeat development orders (where applicable) and associated trials. FYFR and FRPCPY maintained by Dy.HOD shall be used as the inputs for performance evaluation.
	6.1.3.2	FYFR is derived by Dy.HOD based on the failure report received from Zonal Railways and also commissioning failures in shop. The report received from Zonal Railways shall be maintained in Format CLW/MLAS/EL/F/08 and the shop commissioning failures shall be maintained in format CLW/MLAS/EL/F/09 , 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 CLW/MLAS/EL/F/07 .
	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 CLW/MLAS/EL/F/08 and CLW/MLAS/EL/F/09 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 as per Annexure-II .
	6.1.6	A checklist for approval in Format CLW/MLAS/EL/F/10 will be prepared and signed by Dy.HOD and routed through HOD 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.

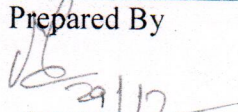
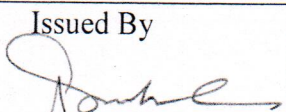
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	6.2.2	The vendor has completed minimum one year from the date of issue of advice for delisting.
	6.2.3	The performance of the item/equipment cleared after implementation of improvement measures, has been found to be satisfactory, and the quality is 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 HOD and Quality Cell keeping in view the requirements indicated at clause no. 6.1 and 6.2. It will be the responsibility of concerned HOD to ensure timely review of vendor's status.	
7.0	Vendor Status:	
7.1	Approved Vendors will be placed in one category namely approved source in the " Master List of Approved Suppliers " for the manufacture and supply of an item.	
7.2	Vendor Status shall be communicated to the Vendor by Quality Cell in the Format CLW/MLAS/EL/F/11 .	
8.0	Delisting of the vendor:	
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	Malpractice: Whenever any malpractice or, unethical practices adopted by the firm comes to the notice of Dy.HOD or Railways, the case for delisting of the 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 the Railway Board / Railways / Production Units regarding the involvement of any firm in cartel formation , 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

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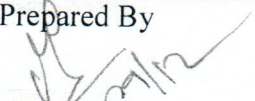
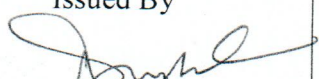
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8.1.7	Whenever the purchaser revises a specification and the revision does not involve major changes in the design, the status will continue to be the same. Any additional tests, if required, shall be completed within a reasonable and given time, failing which the vendor may be delisted.
8.1.8	Premature withdrawal of support/collaboration by the collaborator if such collaboration was the basis of approval or, the technology has not been fully absorbed by the vendor to the satisfaction of CLW.
8.1.9	Withdrawal of ISO certification of the firm by the certifying agency.
8.1.10	Frequent non-conformities during regular purchase inspections.
8.1.11	Non-compliance of the 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-supplies of spares/complete item to Zonal Railways against the purchase orders of Zonal Railways.
8.1.16	Irregular supply or non-supply over a long period
	If the firm is not able to supply the product on a regular basis or, found to be not supplying the material for more than one year 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 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 delisted.
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 one year from the date of approval of the delisting.
8.5	GM's approval will be taken for delisting of a firm.

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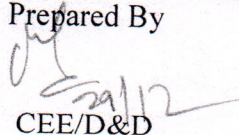
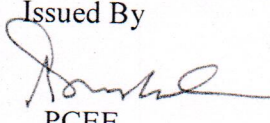
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8.6	Delisting shall be communicated in writing by Quality Cell to the Vendor and all the concerned to whom the Approved Vendor List is distributed.
8.7	Vendor shall be advised to submit a periodic feed back on the corrective & preventive action being taken. Such feedback shall be considered at the time of re-instatement.
8.8	Withholding/suspension of inspection:
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"> a) The CLW/Railways/User reports any adverse performance. b) The critical machine essential for manufacturing & testing is under repair or defective. c) Deficiencies/discrepancies are observed during Quality Audit/Inspection of materials. d) Firm is under investigation for violation of statutory and mandatory laws by any law enforcing agency of central or state government. e) Firm is under investigation for malpractice or unethical behaviour such as submission of forged/fake documents, cartel formation etc. by CLW/Railways. f) A process of delisting has been initiated.
8.9	Suspension of Business:
8.9.1	<p>Firm can be suspended for doing any business with CLW or Railways in case of one or more of the below mentioned conditions:</p> <ul style="list-style-type: none"> a) Firm is under investigation for violation of laws by law enforcing agencies of central or state government. b) Firm is under investigation for malpractice or unethical behaviour such as submission of forged/fake document, cartel formation etc. by CLW/Railways. c) A process of delisting has been initiated.
9.0	Re-instatement of the status of the vendor penalized as in Clause 8.0
9.1	Re-instatement of the firm which has been delisted
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

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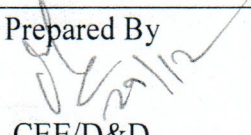
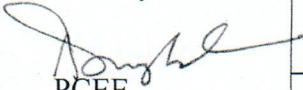
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	9.1.2	Reinstatement shall be considered normally after a period of one year only which may be relaxed for new items.
	9.1.3	Verification of the corrective & preventive action taken by the firm may be done by resorting to the method of quality audit, random testing of the item, detailed investigation of the failure cases or, feed back from the purchaser or end user.
	9.1.4	GM'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 as Fresh Approval only and necessitates provision of Para 5.
	9.1.6	In case of delisting due to lack or lapse or withdrawal of ISO 9000 certification by the certifying agency, if the vendor obtains the ISO certification within a period of one year , the vendor status will be restored immediately as soon as ISO 9000 certificate is granted.
10.0	Vendors approved by RDSO	
10.1	RDSO controlled items used in the locomotives shall be mentioned in the Master List of Approved Suppliers , but will be mentioned as "Refer RDSO's Approved Supplier's List". The name of the vendors shall not feature against such items.	
11.0	Changes in the name of the vendor:	
11.1	On request from the approved vendor about the change in name the Dy.HOD shall verify the same by visit to the firms premises, if considered necessary. Documents issued by 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 CLW, Dy.HOD will recommend the change of name of the firm for the approval of PCEE through HOD 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.	

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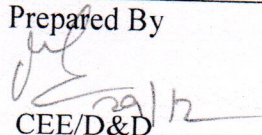
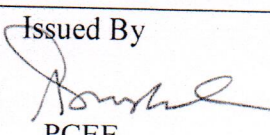
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11.4	Acceptance of the change of name will be communicated to the vendor by Quality Cell under concerned Dy.HOD. Amendment in the "Master List of Approved Vendors" will be distributed to the controlled copyholders by Quality Cell.
12.0	Change in address of the manufacturing unit of the vendor:
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"> • The office establishment has been shifted. • The machinery and plant have been shifted totally. • The testing and laboratory facilities have been shifted totally. • The approved QAP is implemented effectively at the new address. • The certificate from competent Government Agency for establishment of the works at new address is available. • The name of the firm has not changed. • 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.
12.2	Dy.HOD will finalize the report for the same.
12.3	If all requirements are satisfied the Dy.HOD will put up the report to the PCEE through HOD and Quality Cell.
12.4	On approval by PCEE, the acceptance of the change of address shall be communicated to the firm and all the controlled copyholders by Quality Cell.
12.5	Additional works setup by approved vendor:
12.5.1	Firm has to apply for inclusion of additional works like a fresh registration case. <ul style="list-style-type: none"> a) Dy.HOD shall verify that the status and availability of Machinery & Plants as per STR 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 certificate and SSI/NSIC certificate (if applicable) are available for the additional works.

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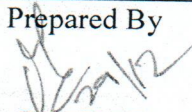
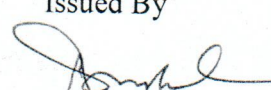
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	e) The ownership of entity is same. f) Approval of the additional works address will be granted only after assessment of new works address and successful prototype testing of the item at additional works address. Status of the additional works address will remain same as the original works after granting of approval.		
13.0	Sub-vendor		
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.	Distribution Matrix of Work		
	Designation	Conventional & 3-Phase Locomotives Equipments & Quality Cell	Traction Motor and Static Equipment
	Dy.HOD	Dy.CEE/D-I, Dy.CEE/D-II, Dy.CEE/D/Conv, Dy.CEE/D&D	Dy.CEE/TMD
	HOD	CEE/D&D	CEE/TM
15.0	General		
15.1	HODs & Dy.HODs concerned will be responsible for using the updated and latest versions of the Master List of Approved Suppliers in their official work.		
15.2	Master list will be revised twice in a year and will be issued on the first working day of January & 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 observations/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 may send advance communication through e-mail also.		
15.5	Provision of Appeal		
	The appeal can be made in case of delisting only and within 30 days of issue of letter for delisting. Whenever the vendor is not satisfied with the action taken, he may		

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	appeal to the GM who, after seeing the merit of the case, may decide or dispose off or refer the case to the Committee consisting of PCEE/CLW, PFA/CLW and PCMM/CLW. The Committee will give 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.		
16.0	Associated Documentation		
16.1	CLW/MLAS/EL/F/01	Vendor Registration Application Form 'A'	Appendix-1
16.2	CLW/MLAS/EL/F/02	Register for monitoring fresh registration	Appendix-2
16.3	CLW/MLAS/EL/F/03	Acknowledgement of having received Form-'A'	Appendix-3
16.4	CLW/MLAS/EL/F/04	Desired aspects in QAP	Appendix-4
16.5	CLW/MLAS/EL/F/05	Vendor Assessment Form 'B'	Appendix-5
16.6	CLW/MLAS/EL/F/07	Format for maintaining FRPCPY from Railways	Appendix-6
16.7	CLW/MLAS/EL/F/08	Format for maintaining warranty failures & first year failures	Appendix-7
16.8	CLW/MLAS/EL/F/09	Format for maintaining shop failures	Appendix-8
16.9	CLW/MLAS/EL/F/10	Check List for Approval of Vendor	Appendix-9
16.10	CLW/MLAS/EL/F/11	Format for advising the approval	Appendix-10
16.11	CLW/MLAS/CONV	Master List of Approved Suppliers for Conventional Locomotive will be issued separately as controlled copy as defined in clause 19.0	
16.12	CLW/MLAS/3-PHASE	Master List of Approved Suppliers for 3-Phase Locomotive will be issued separately as controlled copy as defined in clause 19.0	
17.0	Cross References		
17.1	RDSO's 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 Ordering on Approved/Registered Sources		
17.3	Railway Board's letter No. 2001/RS(G)/79/7 dated 07.12.2016 regarding Vendor Approval/Registration for Safety/Vital Items		
17.4	Railway Board's letter No. 2001/RS(G)/779/7 dated 01.02.2017 regarding Vendor Approval/Registration for Safety/Vital Items		

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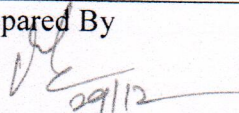
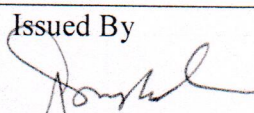
17.5	RDSO's Work Instruction No. QO-F-7.1-7 List of Documents to be Sought from Vendor at the time of Registration & Annexures/forms
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18.0 DISTRIBUTION MATRIX OF CONTROLLED COPY HOLDERS OF WORK INSTRUCTION FOR VENDOR DEVELOPMENT -CLW/MLAS/EL/WI

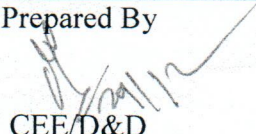
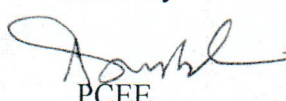
Copy Holder	Copy No.
Master Copy (with CEE/D&D)	01
GM	02
PCEE	03
PCMM	04
PFA	05
CEE/Loco	06
CEE/TM	07
CEE/D&D	08
CEE/P&I	09
CME/SF	10
CME/Loco	11
CME/Mfg	12
CMM/CRJ	13
CMM/E/Kol,	14
CMM/M/Kol.	15
FA&CAO/P	16
Dy.CEE/D-I	17
Dy.CEE/TMD	18
Dy.CEE/D-II	19
Dy.CEE/D&D	20
Dy.CEE/D/CONV	21

19.0 DISTRIBUTION MATRIX OF CONTROLLED COPY HOLDERS OF MASTER LIST OF APPROVED SUPPLIERS' LIST - CLW/MLAS/CONV & CLW/MLAS/3-PHASE

Copy Holder	Copy No.
Distribution in CLW	
GM	02
PCEE	03
PCMM	04
PFA	05
PCME	06
CEE/Loco	07
CEE/TM	08

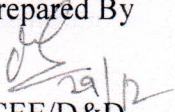
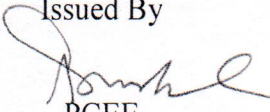
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CEE/D&D	09
CEE/P&I	10
CME/Loco	11
CME/Mfg	12
CME/SF	13
CMM/CRJ	14
CMM/E/Kol,	15
CMM/M/Kol.	16
FA&CAO/P	17
Dy.CEE/D-I	18
Dy.CEE/TMD	19
Dy.CEE/D&D	20
Dy.CEE/D-II	21
Dy.CEE/D/CONV	22
CQAM	23
Distribution to Railway Board	
MTR	23
DGRS	24
AML	25
AM(PU)	26
Advisor Elect./RS	27
EDEE/Dev	28
Distribution to RDSO	
DG/RDSO	29
Sr.EDSE/RDSO	30
Distribution to Railways	
CAO(R)/DMW	31
DG/NAIR	32
GM/CR	33
GM/DLW	34
GM/ECOR	35
GM/ECR	36
GM/ER	37
GM/NCR	38
GM/NER	39
GM/NR	40
GM/NWR	41
GM/SCR	42
GM/SECR	43
GM/SER	44

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GM/SWR	46
GM/WCR	47
GM/WR	48

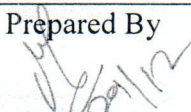
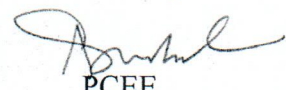
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Format: CLW/MLAS/EL/F/01.....Appendix-1 (1/19)

Vendor Registration Application Form 'A'
(To be filled in by the firm seeking approval)

CAPACITY – REPORT FOR OBTAINING APPROVAL

Note:	1.	Information furnished in this form will be treated as confidential.
	2.	The information to be furnished should be the latest, correct to the best of knowledge of the firm, complete and should not conceal any relevant material.
		Name and Address of the firm:
	
	
	
	
	
	
	

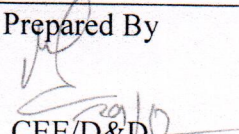
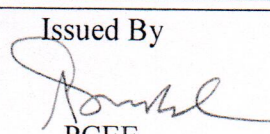
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Format: CLW/MLAS/EL/F/01.....Appendix-1 (2/19)

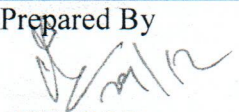
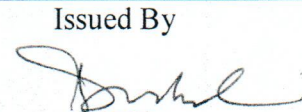
PART -I GENERAL

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

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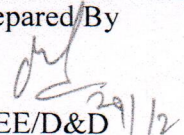
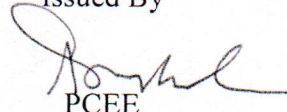
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Format: CLW/MLAS/EL/F/01.....Appendix-1(3/19)					
6.	For clarifications, persons to be contacted		:		
	Name		:		
	Designation		:		
	Phone No.		:		
	Mobile No.		:		
	Email		:		
	Address		:		
	a) Office		:		
	b) Residence		:		
7.	Total area of the factory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

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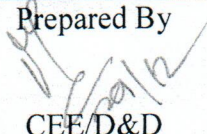
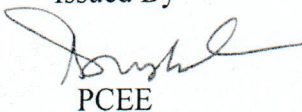
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Format: CLW/MLAS/EL/F/01.....Appendix-1 (4/19)			
b)	Working Hours:		
	Daily Hours of working	:	
	Weekly closing (if any)	:	
c)	Are minimum requirements of experience & qualification laid down for production manager & Supervisory staff? (If Yes, give 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. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
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	:	

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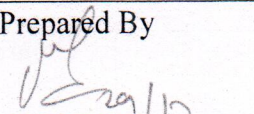
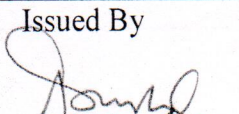
Format: CLW/MLAS/EL/F/01.....Appendix-1(5/19)			
13.	Annual turn over during last 3 years (The financial year adopted by the firm should be indicated and estimated value also given for current year)	:	
14.	Electric Power	:	
	Sanctioned	:	
	Installed	:	
15.	Whether adequate facilities are available for:-		
	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.	:	Product OEM

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Format: CLW/MLAS/EL/F/01.....Appendix-1 (6/19)

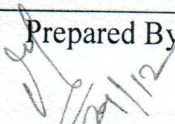
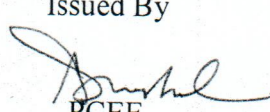
PART – II TECHNICAL

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	Average 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 CLW 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		:		

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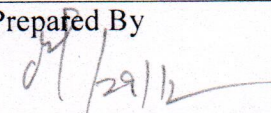
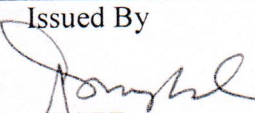
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c)	Whether the Sub-contractor/ Supplier is registered with DGS&D/Railways.	:		
d)	Whether Sub-contractor/ Supplier is registered under Indian Factories/Companies Act.	:		
e)	Whether Sub-contractor/ Supplier has ISO 9001 certification.	:		
7.	Foreign 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 product	
9.	Details of plants & machinery (Description, rating, make & Qty.)	:		

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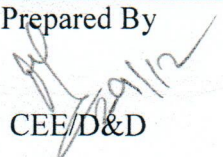
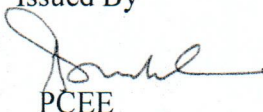
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Format: CLW/MLAS/EL/F/01.....Appendix-1 (8/19)																				
10.	Details of laboratory and drawing office facilities		:	<table border="1"> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> </table>																
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)	ISO Certification Of Works	:																	
		Date of obtaining ISO:9001 certification first time	:																	
		Certification agency	:																	
		Whether the scope cover to the item under approval (Extract may be quoted)	:																	

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Format: CLW/MLAS/EL/F/01.....Appendix-1 (9/19)				
	b)	Other certificates pertaining to Quality / environment / health / safety etc. (if any)	:	
	c)	Available test equipment & facilities in the factory	:	
	d)	Assistance from external agencies	:	
14.	Principal Customers/Cienteles		:	
	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	:	

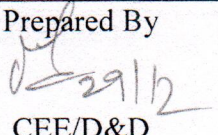
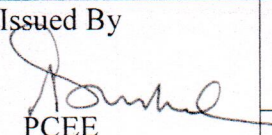
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PART – III FINANCIAL / COMMERCIAL

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.	Excise/GST registration No.		
6.	VAT 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	:	

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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 all the information furnished are correct and complete to the best of our knowledge and belief, nothing material has been concealed. We understand that if any of the information furnished is/are found to be incorrect or incomplete, it will attract penal action including, though not limited to, rejection of application and/or deregistration as the case may be.

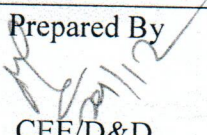
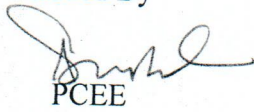
Seal:

Signature :

Name in Capitals :

Designation :

Date :

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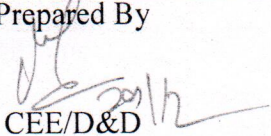
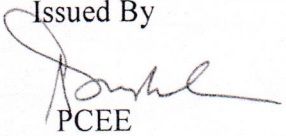
PART – IV

Declaration Against Cartel Formation

We, M/s.....
hereby undertake that we will not indulge in any sort of cartel formation in future while participating in any of the CLW tenders and/or at the stage of or during price negotiation. We are aware that in case any such cartel formation is noticed, CLW can take penal action including delisting from the Master List of Approved Suppliers which will be without any prejudice to other legal rights, CLW have, as a public procurement authority.

(S/d)

M/s.....

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PART – V

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

AFFIDAVIT

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


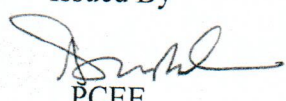
1. That the deponent is the sole Proprietor of the Concern which runs in the name and style of
2. That the office address of the aforesaid Proprietorship Concern is at
3. That the aforesaid Proprietorship Concern deals in (here mention the details of business).
4. That the deponent gives an undertaking 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

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		01

Format: CLW/MLAS/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 –

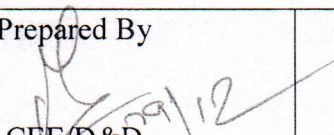
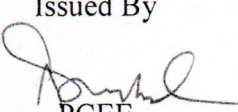
1. That the deponent is the Authorised signatory of(*Name of the Sole Proprietorship Concern/Partnership Firm/ Registered Company/ Joint Venture*).
2. That the deponent declares on behalf of(*Name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company/Joint Venture*) that:
 - a) The 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.

DEPONENT

VERIFICATION

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

DEPONENT

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PART – VII

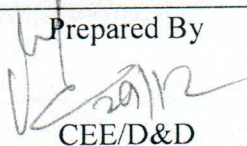
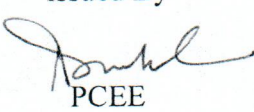
(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed)

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 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 CLW and as such no claim shall be made against CLW 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 CLW. If prior intimation regarding aforesaid changes is not given, then the same shall be intimated to CLW forthwith and in any case not later than one month, failing which CLW 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 CLW 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.
 - d) All/any documents stated in para 2c above, shall be handed over to CLW as and when demanded.

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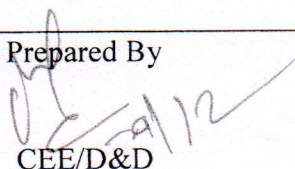
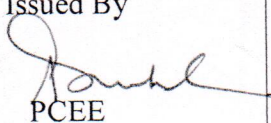
- e) We are aware that if at any time after approval is accorded, some M&P is found deficient without intimation to CLW along with reasons for the same, then action may be initiated by CLW including delisting and withdrawal of approval of the firm without giving any further opportunity.

DEPONENT

VERIFICATION

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

DEPONENT

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Format: CLW/MLAS/EL/F/01.....Appendix-1 (17/19)

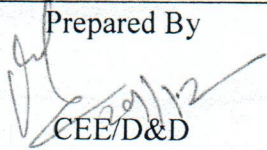
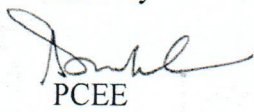
PART – VIII

(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and dully 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 CLW, 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

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company as well as in any of the companies already registered for the same item with CLW, both the companies shall be considered as sister concerns.

- *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 CLW

OR

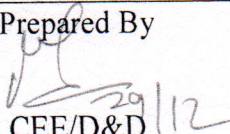
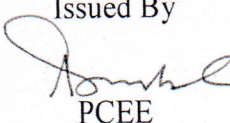
That the deponent declares that under provisions mentioned in para 3 above (***mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company along-with address***) is a sister/allied concern of (***mention name of the Sole Proprietorship Concern/ Partnership Firm/ Registered Company registered as vendor in CLW 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.

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

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Format: CLW/MLAS/EL/F/01.....Appendix-1 (19/19)

PART – IX

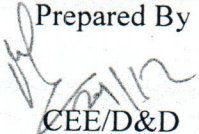
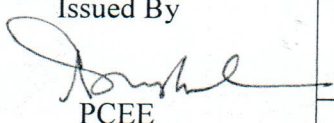
(To be taken on non-judicial stamp paper of appropriate value as applicable in the respective state and dully notarised & witnessed)

Authorization Letter

I, son of 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 :

Sl. No.	Name of person alongwith father name	Designation	Signature

DEPONENT

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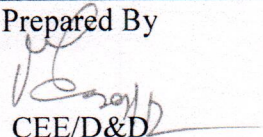
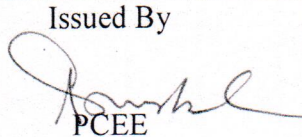
Format: CLW/MLAS/EL/F/02.....Appendix-2 (1/1)

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 uploaded online, the online acknowledgement can be obtained.

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Format: CLW/MLAS/EL/F/03.....Appendix-3 (1/1)

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

No. EL/.....

M/s.....

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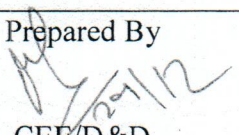
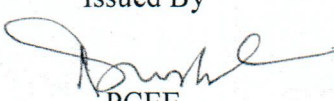
Sub: Application (i.e. Form 'A') for registration.

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

For General Manager/CLW

Not to be printed:

The registration number for further communication will be the running serial number in the Register (CLW/MLAS/EL/F/02) with a prefix of the chapter [eg: S1-1 indicate the first entry in the register for 3-phase loco items, S2-4 represents 4th entry in the register for conventional loco and S3-8 represents 8th entry in the register for TM] S1, S2 & S3 represents Section -1, Section-2 and Section-3 of the Registers.

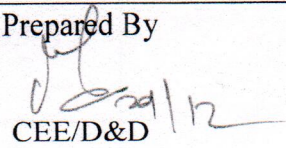
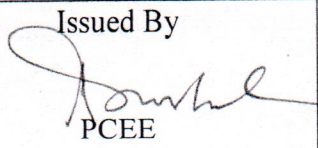
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Format: CLW/MLAS/EL/F/04.....Appendix-4 (1/1)

Desired Aspects in QAP to be approved by 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 ISO-9000 certification
 - 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

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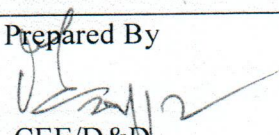
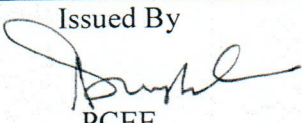
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Format: CLW/MLAS/EL/F/05.....Appendix-5 (1/4)

Vender Assessment Form-‘B’
(To be filled in by the inspecting official)

Capacity Assessment Report for Granting Approval

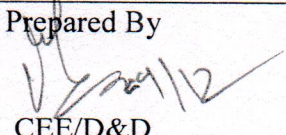
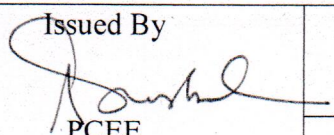
Part-I	
(* Information to be jointly signed by Inspecting Officer and Authorized representative of the firm)	
1.	Firm Detail
	a) Name of Firm :
	b) Works Address visited: :
2.	a) Date of visit :
	b) Name and Designation of Inspecting Officer :
	c) Name of item for which inspection has done :
	d) Specification 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.

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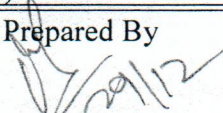
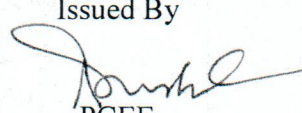
Format: CLW/MLAS/EL/F/05.....Appendix-5 (2/4)

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

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Format: CLW/MLAS/EL/F/05.....Appendix-5 (3/4)		
Part-II (** Personal report of the Inspecting Official to be attached)		
23.	Do the firm purchase raw materials on suppliers guarantee or get it tested? If tested, name of the agency. **	:
24.	Does the firm maintain goods inward records (Acceptance & Rejection)? **	:
25.	Does the firm has separate in-charge of Quality Control & production? **	:
26.	Does the firm have facility/provision for training of staff where applicable? **	:
27.	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	:
28.	Does the documents such as SSI/NSIC/Factory license, Latest electricity Bill, ISO certificate etc. been verified with original? **	:
29.	Does the firm maintain record of calibration of measuring instruments & test equipment? **	:
30.	If the design of the product is firm's original design or borrowed from some other agency. If borrowed, give details. **	:
31.	Does the firm maintain satisfactory quality control record for: **	:
	a) Material control	:
	b) Process control	:
	c) Finished product control	:
32.	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? **	:
34.	Is the quality of on-going jobs satisfactory? **	:
35.	What is the network of after sale services? (as per doc.) **	:

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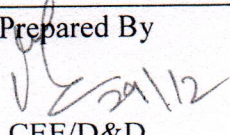
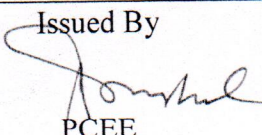
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Format: CLW/MLAS/EL/F/05.....Appendix-5 (4/4)		
36.	Is the firm able to produce satisfactory evidence that the orders executed by them in the last 3 years were within the stipulated delivery period? Where the suppliers made without considerable rework/deviation? Are you satisfied with the existence? **	:
37.	Is the firm prompt in correspondence and attending rejection rework satisfactory? **	:
38.	General Remarks: (General opinion concerning management policies of firm towards quality, maintenance of delivery schedules, labour relations, no. of years in particulars business etc.) **	:
39.	Brief mention of other items manufactured & supplied by the firm **	:
40.	Major Customers of the firm **	:
41.	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..... address with works at..... may/may not be considered capable of manufacturing & supply of.....

Date:	Signature:
Place:	Name:
	Designation:

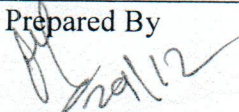
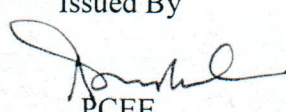
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Format: CLW/MLAS/EL/F/07.....Appendix-6 (1/1)

REGISTER FOR MAINTAINING FRPCPY

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

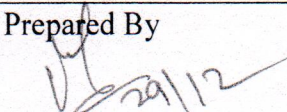
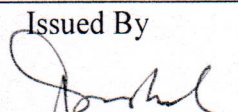
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Format: CLW/MLAS/EL/F/08.....Appendix-7 (1/1)

REGISTER FOR MAINTAINING WARRANTY FAILURES & FYFR

SL. No.	Name of Equipment Failed	Make of Equipment	Equipt. 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

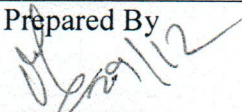
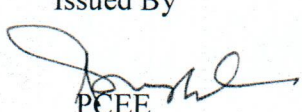
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Format: CLW/MLAS/EL/F/09.....Appendix-8 (1/1)

REGISTER FOR MAINTAINING SHOP FAILURES

SL. NO.	Name of Equipment Failed	Make of Equipment	Equipt. UL No./ Spec	Date of Failure	Nature of Failure	Loco Number	Reporting Shop	Date of reporting to firm	Date of warranty replacement /repair	Date of expiry of Equipment Warranty

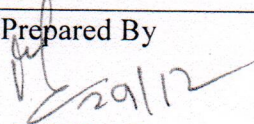
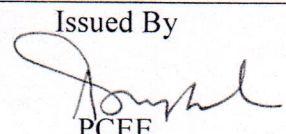
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Format: CLW/MLAS/EL/F/10.....Appendix-9 (1/2)

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.	ISO requirements	
	Class of ISO 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	

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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

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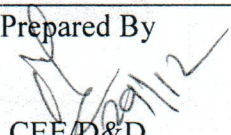
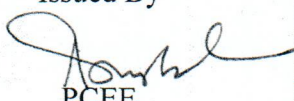
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Signature

(Name/Designation of Dy.HOD)

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Format: CLW/MLAS/EL/F/11.....Appendix-10 (1/1)

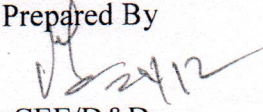
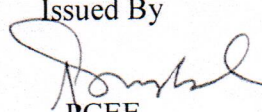
CERTIFICATE OF REGISTRATION / APPROVAL

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. 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, field performance, reliability and life of the item/items supplied by him.
4. Complete compliance to the conditions given in Purchase Order of CLW.
5. Copy of the Income Tax Clearance Certificate should be submitted to FA&CAO each year before 31st December.
6. All future changes in equipment, facilities and establishment at your works should be promptly communicated to CLW.
7. No change in location of any activity except with prior consent/approval of CLW.

Signature with Seal

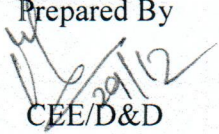
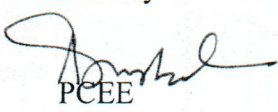
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Annexure - I

Criteria for approval as Approved Source

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

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Criteria for Fast Track Vendor Base Broadening**Annexure-II**

#	Type of item	Criteria for Enlistment as an Approved Source		Criteria for Interim Approval for Placement of Regular Order	
		Minimum Qty. (L/Sets)	Service period with Satisfactory performance	Minimum Qty. (L/Sets)	Service period with Satisfactory performance
1.	a) All minor, medium items. b) All small, medium & large fabricated items.	10	01 Yr.	5 OR 50 equipment months (in loco-sets) whichever is earlier. And at least 01 loco set must complete minimum one year of satisfactory service	06 months
2.	All major items and extra-large fabricated items (except given Sl. No. 3)	20	01 Yr.	05 OR 100 equipment months (in loco-sets) whichever is earlier. And at least 01 loco set must complete minimum one year of satisfactory service	01 Yr.
3.	a) Main transformer for locos. b) Vehicle Electronics/Control Unit for electric rolling stock. c) IGBT/GTO based traction & aux. converters for rolling stock. d) Asynchronous Traction Motors.	20	02 Yrs.	10 OR 150 equipment months (in loco-sets) whichever is earlier. And at least 01 loco set must complete minimum two year of satisfactory service	01 Yr.
4.	Items for critical applications w.r.t. wear Viz. All gears, pintons.	20	03 Yrs.	10 OR 150 equipment months (in loco-sets) whichever is earlier. And at least 01 loco set must complete minimum three year of satisfactory service	01 Yrs.

Important Note:

1. The performance of the firm shall be monitored for the supply made by them against developmental orders.
2. The placement of regular order shall be based on their performance only.
3. The firm shall own the responsibility and shall replace the entire quantity of the material supplied by them, in case failures are reported including in their first prototype unit.
4. In case of poor reliability, the unsupplied quantity against the purchase order shall be cancelled.
5. The decision of purchaser shall be final.

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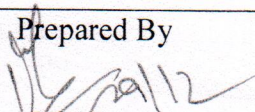
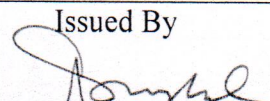
Annexure-III

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

(Tick any one)

SN	Name	Father's Name	Age	Address	Profit sharing Ratio / % Share

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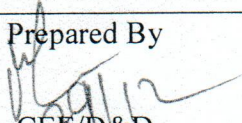
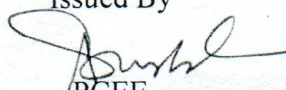
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Annexure-IV

DETAILS OF SISTER/ALLIED CONCERN

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

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