DIRECTORATE GENERAL OF AERONAUTICAL QUALITY ASSURANCE

MINISTRY OF DEFENCE, GOVERNMENT OF INDIA

STANDARD OPERATING PROCEDURE (SOP)
ON
ASSESSMENT AND REGISTRATION OF FIRM/VENDORS/SUPPLIERS

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PREFACE

DGAQA has been carrying out Registration of Firms/Vendors for Aviation Stores since the year 2016 when the task of Registration of Firms/Vendors was assigned by MoD/DDP to QA Agencies. In order to lay down the broad guidelines for Capacity Assessment and Registration of Firms/Vendors, DGAQA issued Standard Operating Procedure(SOP) Issue-1 dated 17 Nov 2016, which was later revised to Issue-2: 2019 based on revised Joint Services Guide JSG 015: 2018.

Further, to incorporate the additions and changes felt necessary as a result of our valuable experience in Assessment and Registration of Firms/Vendors as also in view of Revision of Joint Services Guide as JSG 015: 21, there was a need to further revise DGAQA SOP.

This revised SOP lays down the broad guidelines for Assessment and Registration of MRO Firms and Authorised Dealers/Stockists of Foreign OEM in addition to the Manufacturing Firms. One of the important features of this SOP is that it has specified the separate and distinct Assessment criteria for different types of Firms/Vendors viz. Manufacturing Firms, MRO Firms and the Authorised Dealers/Stockists of Foreign OEM. Viewpoints/Comments of Service HQrs have been taken into consideration in this SOP.

This SOP supersedes the SOP Issue-2 dated 27 Nov 2019 (and Amendment No. 1 dated 30 Sep 2020). Further, the revised SOP specifies the Registration Validity of 05 years in place of existing 03 years.

Date: 25 Apr 2022

S. Chawla
Director General

C O N T E N T S

LIST OF APPENDICES

LIST OF AMENDMENTS

Sl. No.	Amendment No.	Date of Amendment	Brief of Amendment	Authority

A B B R E V I A T I O N S

1	AS	: Aerospace Standard
2	BIS	: Bureau of Indian Standard
3	BPC	: Bulk Production Clearance
4	CER	: Consignee End Rejection
5	DA/AA	: Defence Attache/ Air Attache
6	DD	: Delivery Date
7	DDP	: Design Development & Production
8	DDPMAS	: Design, Development & Production of Military Air Systems & Airborne Stores
9	DGAQA	: Directorate General of Aeronautical Quality Assurance
10	DP	: Development & Production
11	DPM	: Defence Procurement Manual
12	DPSU	: Defence Public Sector Undertaking
13	ER	: Experience Rating
14	FE	: Field Establishment
15	HQ	: Head Quarter
16	ISO	: International Organization for Standardization
17	LSI	: Large Scale Industry
18	MRO	: Major Repair and Overhaul
19	MSME	: Micro, Small & Medium Enterprises
20	OEM	: Original Equipment Manufacturer
21	P	: Production
22	QA	: Quality Assurance
23	QMS	: Quality Management System
24	QR	: Quality Rating
25	SOP	: Standard Operating Procedure
26	SSI	: Small Scale Industry
27	ToT	: Transfer of Technology
28	VR	: Vendor Rating
29	VRRF	: Vendor Registration Request Form
30	VQSR	: Vendor Quality Survey Report

1. INTRODUCTION

1.1 Ministry of Defence Vide letter No. 43(5)/2015/D(QA) dated 14 Jul 2016 directed that Registration and Capacity Verification of vendors/firms for supplying airborne materials / stores including associated ground support equipments etc. shall be undertaken by HQ DGAQA, New Delhi with effect from issuance of this letter. DGAQA registration shall be mandatory for all vendors/firms to supply aviation related stores to service HQs through respective central procurement agency.

2. SCOPE:

2.1 Proper knowledge and identification of suitable vendors/source capable of meeting the product quality required by the defence departments, particularly by the Defence Services, are vital functions for ensuring procurement of quality defence stores. Providing equal opportunity and ensuring fair process are important requirements in any procurement process so as to achieve transparency. Hence, selection and registration of firms, their performance appraisal and classification must be clearly spelt out and properly disseminated. It is also essential that the credentials of the firms applying for registration, including their financial status, the manufacturing and quality control facilities, the business ethics and their market standing are thoroughly scrutinized before registering them as an approved source of supply.

2.2 Whenever a firm is considered by central procurement agency of Service Head Quarters for the supply of Airborne/Defence aviation related stores, registration/ capacity assessment of the Vendor (excluding DPSUs) by DGAQA is mandatory. DGAQA certified Approval of a Firm and its Quality Management System (AFQMS) Firms shall be considered as Registered Firm and their name will also be included in Compendium of Registered Firms. However for procurement of PAC or a Branded item shall be processed based on PAC Certificate without registration/ capacity assessment and the PAC store is to be accepted on the basis of OEM Certificate/ guarantee. A firm registered with any department of the Ministry of Defence, the Services or OFB or the Inter-services organizations, may be considered as a registered firm for procurement by other departments of the ministry

or the other services, for the same range of products/ goods/ services for which the firm is registered with any of the aforesaid organizations.

The Government of India has also reserved some items for purchase from registered Micro, Small and Medium Enterprises (MSMEs). As per para 2.5.2 of DPM below given facilities shall be extended to the registered firms:

(a) Issue of Tender Sets free of cost;

(b) Exemption from payment of Earnest Money;

(c) Waiver of Security Deposit up to the monetary limit for which the unit is registered;

(d) Price Preference up to 15% over the quotation of large-scale units.

Further, Govt. Of India, Ministry of Commerce and Industry, Deptt. for Promotion of Industry and Internal Trade has issued Public Procurement (Preference to Make in India) Order 2017 vide No.- P-45021/2/2017- PP (BE-II) dated 16 Sep 2020.

2.3 This Standard Operating Procedure (SOP) is intended to provide broad guidelines for capacity assessment and registration of vendor/firm for existing as well as prospective vendors. It guides them for grading based on their assessed capabilities at the time of initial registration and renewal or otherwise.

3. REQUIREMENTS OF CAPACITY ASSESSMENT/REGISTRATION

3.1. Capacity assessment/registration of a firm is necessary for the following purposes:-

(a) To select and register a vendor for development or indigenisation and bulk supply of specific products and to renew his registration periodically.

(b) To select or develop new design/technology for indigenisation and product improvement.

(c) To consider whether or not to continue placement of orders on a registered vendor/firm.

4. PRE REQUISITE FOR VENDOR / FIRM TO GET REGISTERED

4.1 A vendor/firm should have thorough and in-depth knowledge of the requirements of Quality Management Systems recommended in any national/international standard. In addition it should have technical expertise in the

relevant areas (as applicable) and the financial soundness to invest and incur expenditure for execution of Defence supply related to aviation store.

4.2 HQ DGAQA shall issue guidelines to ensure the uniformity in capacity assessment and rating of the vendors/firms based on the following documents or their latest version:

(a) ISO- 9001: 2015: Quality Management System- Requirements.
(b) IS-12040-2016: Guidelines for Development of Supplier Rating System.
(c) Technical Directives issued from time to time by DG AQA regarding Capacity Verification/Assessment & Registration.
(d) AS 9100: QMS requirements for Aviation, Space & Defence Organisation.
(e) DDPMAS: Framework and Procedure for Design, Development & Production of Military Air Systems & Airborne Stores.
(f) IMTAR 21: Indian Military Technical Airworthiness Requirements.

5. DEFINITIONS

5.1 **Airworthy**

State of an article or product conforming to its type design and being in a condition for safe operation.

5.2 **Authorized Release Certificate**

Document attesting that a product is released for use (e.g., release or return to service) and certifying that the activities performed, and the results achieved, conform to established organization, regulatory, and customer requirements.

5.3 **Branded Product**

The specification for branded commercial product is not available with the purchaser or the inspecting agency and these are to be accepted on the firm's guarantee.

5.4 **Certificate of Conformity (or 'Certificate of Conformance')**

Documented information that attests to product conformity; conformance to defined process, design, and specification requirements.

5.5 **Counterfeit Part**

An unauthorized copy, imitation, substitute, or modified part (e.g., material, part, component), which is knowingly misrepresented as a specified genuine part of an original or authorized manufacturer.

5.6 **Critical Items**

Those items (e.g., functions, parts, software, characteristics, processes) having significant effect on the provision and use of the products and services; including safety, performance, form, fit, function, producibility, service life, etc.; that require specific actions to ensure they are adequately managed. Examples of critical items include safety critical items, fracture critical items, mission critical items, key characteristics, etc.

5.7 **Development Order**

Supply order placed on a vendor/firm as a result of Open Tender Enquiry for development and supply of defence store.

5.8 **Key Characteristic**

An attribute or feature whose variation has a significant effect on product fit, form, function, performance, service life, or producibility, that requires specific actions for the purpose of controlling variation.

5.9 **Life Limited Part**

Any part for which a mandatory replacement limit is specified in the type design.

5.10 **Maintenance**

Performance of tasks required to ensure the continuing airworthiness of a product or article, including any one or combination of overhaul, disassembling, cleaning, inspection, testing, replacement, defect rectification, and the embodiment of a modification or repair.

5.11 **Non-Conformity**

It implies the non-fulfilment of specified requirements.

5.12 **Original Equipment Manufacturer (OEM)**

The original equipment manufacturer is the only firm manufacturing the specified item/equipment of a specific make and no other manufacturer exists for that specific make item/equipment.

5.13 **PAC Items**

Manufacturing right of such items are available only with the proprietary firms and are protected by the intellectual property right. Hence, PAC specifications are normally not available with the purchaser and firm's certificate of quality is accepted.

5.14 **Procurement Agency**

The Procurement Agency is the logistics agency that is responsible for the actual procurement of the defence store as per the prescribed procedure to meet the requirements of the indenter.

5.15 **Qualified Person**

Person meeting training, knowledge, and skills requirements to perform tasks requiring such level of recognition.

5.16 **Quality Assurance**

Ensuring adequacy of all those planned and systematic actions necessary to provide confidence that a product or service will satisfy the quality requirements.

5.17 **Quality Management System**

QMS is a set of policies, processes and procedures required for planning & execution (production/ development/services) in the core business area of an organisation.

5.18 **Quality Policy**

Top management expression of its intentions, direction and aims regarding quality of its products and process.

5.19 **Registered Vendor/Firm**

A vendor/firm who applies for registration and is awarded Registration Certificate by HQ DGAQA after successful completion of capacity verification/assessment.

5.20 **Safety Policy**

Top management's formally expressed commitment to product safety. This policy shall reflect the organization's philosophy of safety management and outlines the methods that the organization will use to achieve desired safety outcomes.

5.21 **Specification**

It is a document that prescribes the requirements with which the product or service has to conform (Example- Environmental conditions, Safety Features, Life, Interface / Integration requirements besides performance and functional requirements.)

5.22 **Splitting**

The division of product either physically or by batch quantity, without affecting the product characteristics or conformity.

5.23 **Test Report**

Documented information that shows objective evidence provided by either the manufacturer or a certified testing facility that the product conforms with specific design requirements, product or performance characteristics.

5.24 **Type Approval / Qualification Approval**

Type Approval is a certificate issued by the National/ International regulatory Approving Authority (i.e- CEMILAC for Military Airborne stores and DGAQA for associated Ground Equipments) to the effect that the store under reference meets all design specifications and test requirements.

5.25 **Unapproved Part**

A part that was not produced or maintained in accordance with approved or acceptable data and applicable statutory, regulatory, and customer requirements.

6. COMPETENT AUTHORITY

6.1 Capacity verification and assessment is required to be carried out by DGAQA for vendor registration. The delegated competent authorities and their responsibilities would be as under.

(a) **Initial assessment for registration and renewal of registration:**

(i) Submission of application – By Firm/Vendor

(ii) Initiation – By Director, Tech-Coord group at HQ DGAQA

(iii) Document Scrutiny Team- Two member team to be formed by Tech-Coord group with the approval of accepting/competent authority.

(iv) Assessment Committee – Assessment committee consist of two members to be formed by Tech-Coord group with the approval of accepting/competent authority. Team leader of assessment committee shall be a Group 'A' officer.

(v) Recommendation – Team leader of assessment committee will submit recommendation through Director, Tech-Coord to ADG, HQ for approval

(vi) Accepting Authority – ADG AQA, HQ

(b) **Review and appeal against initial registration** – DG, AQA

(c) **Removal of Vendors/Firms from compendium of registered vendors on various grounds –**

(i) Initiation– By Director, Tech-Coord group at HQ DGAQA

(ii) Recommendation – By Addl. Director General* at HQ

(iii) Approving Authority – DG, AQA

(* Addl. Director General will be competent authority to order removal of vendor/firm from compendium of registered vendor in routine cases such as non renewal of previous registration or close down of firm for any reason.)

(d) **Re-instatement of Vendors/Firms in compendium of registered vendors** – Director General, AQA at HQ New Delhi

7. PROCEDURE FOR ASSESSMENT & REGISTRATION OF FIRMS

7.1 **Eligibility Criteria**- Vendor/Firm preferably with **two years** (preceding years from the date of applying) of experience in the industry for similar category of items may be considered for assessment and registration (Registration may be sought with/without indent). DPIIT (Department for Promotion of Industry and Internal Trade) registered Start-ups having adequate plant & machinery for manufacture specified store or equipment and meeting eligibility criteria for registration, as per procedure, less two years manufacturing experience, with minimum **1 year** audited financial statement may be considered eligible for registration.

7.2 Vendor/Firm seeking registration has to apply on "Vendor Registration Request Form" (refer Appendix –'A') along with all relevant documents. Physical verification/ Assessment of the vendors/firms shall be on the basis of Vendor Quality Survey Report (refer appendix-'B') as detailed in Para 10.

7.3 Entities Not Eligible for registration:-

(a) Traders/Dealers/Stockiest/Agents.

(b) Sick units as defined in the "Sick Industrial Companies (Special Provision) Act 2013 and which have been declared sick by the Central/ State Government authority.

(c) Black listed firm by the competent authority/Govt. of India.

7.4 **Special Eligibility**

(i) For indigenous manufactures who supply items only through their sole selling agents/ marketing firms, the registration of the manufacturing firm (OEM) would be mandatory. Such Authorized Selling agents should have valid Certification/ MoU with the OEM.

(ii) In case of imported items of supply, foreign OEM authorized Dealer/Supplier in India will be registered as specific procedure and application Performa given in Appendix 'D-1' & Appendix 'D-2'.

7.5 For a vendor/firm seeking registration as 'Authorized Dealer/ Supplier' of a Foreign OEM or Authorized maintenance/ repair/servicing/overhaul agency of a foreign OEM or for manufacturing under ToT/ Licence from a foreign OEM, there shall be two stages of assessment:-

(i) Foreign OEM verification and veracity & validity of Foreign OEM certificate to be taken up by Air HQ/ Army HQ/ Naval HQ through respective country DA/AA of India accredited to the country concern. The firm needs to submit details as per Appendix 'D-2' for the same.

(ii) Assessment of Indian Entity/ Facility shall be by DGAQA.

Registration Certificate shall be issued by DGAQA subject to satisfactory completion of above two stages.

7.6 All the Indian entities (Manufacturers/Suppliers) dealing with Indian Defence Organisations are required to be allotted NCAGE Code for publishing over global NMCRL (NATO Master Catalogue of Reference for Logistics) website through NCB India. Allotment of NCAGE is the pre-requisite for the registration of manufacturers and will benefit/enable them in global participation.

8. CATEGORIES OF REGISTRATION

8.1 In addition to grading, vendor/firm will be assessed for categorisation depending on its infrastructure and capabilities for one or more type of activities like design, development & production. The vendor/firm will be categorized as follows:

(a) **Design, Development & Production (DDP)**

The firm having design capability and infrastructure for research & development apart from manufacturing capability, covering all requirements of a quality management system will be registered for all three capabilities and categorised as **"DDP".**

(b) **Development & Production (DP)**

Firms having the capability for development and bulk production facility only and may not be having infrastructure for design i.e. conversion of a concept into an engineering design. Such firms will be categorised as **"DP".**

(c) **Production (P)**

The firm having only manufacturing/ production facilities for converting defence design into hardware or end stores according to specification will be categorised as **"P".**

(d) **Maintenance Repair & Overhaul (MRO)**

The firm having facility for Maintenance Repair and Overhaul (MRO) of defence store pertaining to military aviation and its support equipment. Such firm/ vendor will be categorised as **"MRO".**

(e) **Special Category**

(i) For indigenous manufactures who supply items only through their sole selling agents/ marketing firms, the registration of the manufacturing firm (OEM) would be mandatory. Such Authorized Selling agents should have valid Certification/ MoU with the OEM.

(ii) In case of imported items of supply foreign OEM authorized Dealer/Supplier in India will be registered as specific procedure and application Performa given in Appendix 'D-1' & Appendix 'D-2'. Such firms/vendors will be categorized as **'S'**.

9. GRADING OF VENDOR/FIRM

9.1 All the vendors/firms will be graded and registered according to their quality system, technical facilities available with them and their financial status. The grading

will be awarded based on a system of allotment of marks by the assessment team deputed to verify the firm in their survey report i.e. “Vendor Quality Survey Report (VQSR)” given at Appendix ‘B’. Based on the marks obtained by the firms in the Part- II (A)/ II (B)/ II(C) of VQSR, the following grading will be awarded to Firms/Vendors.

Sl. No.	Points	Grading	Remarks
(a)	80% and more marks	I	Fit for Registration.
(b)	70% to 80% marks	II	Fit for registration with an advice to improve
(c)	Less than 70% marks	III	Not fit for registration

10. MARKING SYSTEM FOR GRADING

10.1 For the purpose of assessment, “Vendor Quality Survey Report (VQSR)” given at Appendix “B" will be used as a guideline. This VQSR has been framed in two parts, as under:

a) Part I – Assessment of QMS of the firm will be carried out as per Part-I, which is a qualifying criteria for assessment of Part-II. Achieving min 60% marks in Part I is essential for qualification. However, marks of Part-I will not be counted for Grading of the firm (refer Para 9.1 above). Under each main clause, a number of sub-clauses have been suggested as a guide to meet the minimum requirements of the quality system for defence stores. However, the vendor has to provide details on the capability of “Design, Development and Production/ Development and Production/ Production/MRO.

b) Part II- Grading of the firm (refer Para 9.1 above) shall be on the basis of marks scored in Part-II only. This part has been framed to assess the product specific technical aspects of the vendors. In addition the requirement of manpower, bond room space, inspection facilities and environmental standards etc. of the vendor have been suitably incorporated. The assessment shall be carried out as per Part-II (A)/ II (B)/ II (C) as applicable.

10.2 Assessment marking system for the clauses/ sub clauses of the VQSR has been indicated in each column of VQSR. Certain clauses/sub clauses may not be applicable to a particular type of vendor. In such cases, no marks will be allotted for these clauses/sub clauses. Accordingly, percentage of marks for each part of the VQSR will be worked out based on the total marks of the applicable elements of the quality system and the product specific aspects.

11. VALIDITY PERIOD OF REGISTRATION AND RE-ASSESSMENT FOR RENEWAL OF REGISTRATION

11.1 All firms on initial acceptance will remain registered for a period of **five years**, unless and otherwise removal from compendium of registered vendor/firm is processed as per Para 22. A registered Vendor/Firm has to apply for renewal at least 90 days before the expiry of the registration certificate as per the format at appendix 'C'. Registration of a firm will lapse if the firm does not apply for renewal before the expiry of its registration. In such cases the name of vendor will be removed from the compendium of registered vendors. Thereafter, no request/representation from the vendor/ firm will be entertained. Further, no show cause notice is required to be issued to the vendor in such cases. Later on when the firm applies, fresh assessment will be done as per initial registration procedure and accordingly assessment fee will also be charged from such firm.

Note:- (i) Validity of registration of Authorized Maintenance/ Repair/ Servicing/ Overhaul agency of a foreign OEM shall be subject to the validity of authorization certificate to the firm from Foreign OEM.

(ii) Validity of registration of Authorized Dealer/ Supplier of Foreign OEM will be three years (subject to validity of Authorization Certificate from Foreign OEM). The authorized dealer/ stockist is to intimate steps to set up manufacturing capability within three years period from registration. The aim is to ultimately promote indigenous manufacturing. The firm needs to get its manufacturing capability verified three years after the initial registration.

12. VALIDITY OF RENEWAL

12.1 All the renewals of registration will be valid for a period of 5 years (subject to note (i) & (ii) of Para 11.1 above) from the date of expiry of validity of previous

certificate. Renewal will be done based on self declaration by Vendor/firm, stating that there is no change in capacity as assessed initially. The firm has to participate at least in one of the tender enquiries in case tender enquiries have been given to it. All such renewal will be subject to the condition that there is no adverse feedback from users as well as an undertaking from vendor stating that 'no adverse feedback has been received from user in respect of the supply made by him during last five years.

12.2 For renewal of registration beyond a total period of ten years from the date of initial registration, a firm/vendor must have successfully fulfilled at least one contract. Otherwise, after a total period of ten years, registration will be done afresh as per initial registration process on Appendix-'A' with applicable assessment fee and visit of assessment team to the firm/vendor.

13. GRACE PERIOD

13.1 When application for renewal has been made in time as mentioned at para 11.1 above and if there happens to be delay in processing the case for renewal of registration, the existing registration will remain valid for a period of three months from the date of expiry.

14. CAPACITY VERIFICATION OF VENDOR AGAINST TENDER ENQUIRY

14.1 Special situation may arise where purchase agencies advertise tenders and non-registered firms offer competitive quotations. In such cases capacity verification of such a firm/vendor is to be done within a specific period generally within **30 days** during which the offers are valid. In such cases before opening of the commercial bid, purchase agency will ask vendor to submit his details and documents to Tech-Coord group at HQ DGAQA New Delhi by a fixed date as per requirements of Appendix 'E' of SOP, particularly highlighting their capability in respect of the store to be supplied. In case the documents are submitted by the firm well within given time, the Tech-Coord group, will initiate the capacity verification/assessment of the firms for the relevant product(s) as per Appendix 'F. Where there may be limitations of time and contractual urgency, the accepting authority may scrutinize the details submitted by the vendor/firm, recommend and intimate to the purchasing agency regarding capacity/capability of such firms. However, such firms will not be included in the compendium of the registered vendor/firm unless the firm makes a specific

request for registration and deposits the requisite fee prior to the assessment as indicated at para 17. Thereafter, a proper procedure as per SOP will be followed for registering vendor/firm.

14.2 In case the firm does not desire to be registered or does not deposit the requisite fee for assessment, the purchaser will be intimated that the assessment/recommendation will be valid for that specific tender inquiry only. In case the firm does not submit all the documents/details by the due date laid down by the purchaser or submits them later, the assessment will not be carried out and the matter will be referred to the purchaser. Further, the firm will not be entitled for assessment in future for the same or similar product.

15. SCRUTINY OF FINANCIAL CAPABILITIES

15.1 While carrying out the Vendor/Firm Assessment, apart from verification of technical capability/capacity, it is equally necessary to assess the financial soundness of the firm to invest and incur expenditure for initial development, raw materials and various other inputs required for execution of Defence supply related to aviation store. For this purpose, the audited Balance sheets and profit and loss statements of the firm for the previous two financial years will be obtained from the firm seeking registration. From these documents, the Document Scrutiny Team will give factual position as under:-

(a) Sales/ Turnover in the last two years and average turnover of the firm for the last two years.

(b) Profit and losses for the last two years.

(c) Accumulated losses, if any.

(d) Net Worth.

Note: In case a firm is making losses, it will not be the sole reason for not considering it for registration. Each case will be assessed and examined on its overall merits by the Recommending and Accepting Authorities.

15.2 For DPIIT registered Start-Ups, minimum one year audited financial statement will be considered.

16. ACTION ON REJECTION FOR REGISTRATION

16.1 In case it is not possible to register a firm/vendor due to certain deficiencies noticed during assessment, the details of the deficiencies noted will be intimated to the firm/vendor as an advice by the recommending authority indicating that the firm may apply for registration afresh within a prescribed time frame with due improvement as suggested. Normally, reassessment of such firm/vendor will be taken up only after six months and on payment of fresh assessment charges for initial registration. However, reassessment may be taken up earlier at the discretion of the accepting Authority for reasons to be recorded in writing depending on the nature of deficiencies noted earlier and merits of the case.

16.2 To avoid the possibility of registration of a vendor/firm for a particular item for which it might have been rejected for registration by other authority, it will be incumbent on the part of vendor/firm to furnish all information regarding previous assessment results. Failing to which (For such serious acts of omission and commission), the vendor will not be considered for registration with Defence for a period of three years.

17. REGISTRATION FEE

17.1 The registration fee as fixed by Government from time to time will be paid by vendor/firm along with the application. This fee is non-refundable and to be paid through DD/ Cheque in favour of **Account Officer, HQ DGAQA** payable at New Delhi or can be deposit through NEFT as per bank details given below :

Bank Name - Canara Bank, Account No. - 90552010153103

IFSC Code - CNRB0007262 , MICR Code - 110015647

In case fee payment through NEFT, Bank transaction details need to be attached with VRRF application. Presently the fees are as under:-

Sl. No.	Description	Fees In Rs.
1	Micro / Small /Medium Scale Industries & Start-Ups	Rs. 10,000/-
2	Large Scale Industries	Rs. 25,000/-

17.2 The registration fee will also be applicable in the following conditions**:**

(a) For additional stores/ items involving new technology/ design at any stage after initial registration/ renewal. In case of doubt the decision of respective group at HQ, regarding technology being new or otherwise will be final.

(b) Change of location/ premises of factory/works of the firm requiring fresh visit.

17.3 The registration fee will NOT be charged in the following circumstances.

(a) Renewal of registration request received before expiry of registration.

(b) Registration for additional item/s of similar technology/ design for which firm is already registered.

(c) Change in status of firm/Name i.e. from proprietary to partnership or private limited etc. (without any changes in QMS & other infrastructure).

18. ISSUE OF REGISTRATION CERTIFICATE

18.1 HQ DGAQA, New Delhi will issue the registration certificate as per specimen given at Appendix 'G' to the firm/vendor after successful completion of assessment and approval of recommendations by the competent authority.

19. TIME LIMIT FOR ASSESSMENT

19.1 As far as possible, general registration will be completed within 90 days after the receipt of complete set of documents from the intending vendors. Registration against RFP will be completed within 30 days, but in no case this will exceed 45 days after submission of complete documents by the vendors. All essential elements of the procedure indicated to verify the technical infrastructure and quality management systems of intending manufacturers will always be followed during Registration.

20. CERTIFICATE FOR REGISTRATION / RENEWAL

For Registration and renewal, Certificate as per specimen given at Appendix `G' in this SOP will be awarded to the firm.

21. COMPENDIUM OF REGISTERED FIRMS/VENDORS

Compendium of Registered Firms/Vendors with DGAQA shall be maintained and updated on Quarterly basis by Tech Coord Group at HQ DGAQA. The Registered Firm and AFQMS approved Firms shall be included in the compendium. The compendium uploaded on website should have provision of search and sorting. The layout of compendiums shall be:

COMPENDIUM OF REGISTERED VENDORS/FIRMS

Sl. No.	Name and Address of firm	Registration No	Date	Products/ Processes
1	2	3	4	5

22. REMOVAL OF VENDOR FROM COMPENDIUM OF REGISTERED VENDORS

22.1 Removal of vendor from the Compendium of Registered Vendors may be ordered by DGAQA on the following grounds:-

(i) If a firm fails to execute a contract or fails to execute it satisfactorily against the specification.

(ii) If a firm no longer has the technical staff or equipment considered necessary.

(iii) If a firm is declared bankrupt or insolvent or its financial position has become unsound, and in case of limited company, it is wound up or taken into liquidation.

(iv) Consignee End Rejection (CER) cases where the firm is at fault for supplying substandard stores.

22.2 Above said circumstances, when brought to the notice of the Registration Authority, a show cause notice will be issued to the firm with the approval of the competent authority concerned; about the action proposed & grounds there for. After consideration of the reply thereto or after the expiry of the notice period, the Competent Authority will pass appropriate orders for cancellation of the registration of the firm and for removal from the list of Registered Suppliers. In case of reason (i)

and (ii), orders regarding removal may be made applicable in respect of one or more relevant items. Period of removal from compendium shall be decided by the competent authority at DGAQA on case to case basis. Once removed from the compendium, the name of the firm may not be restored on the compendium unless the firm satisfies the registration requirements to the satisfaction of the Accepting Authority. After taking due corrective measures / after expiry of the period of removal from compendium, as the case may be, the firm will make a request to the competent authority to review its case accordingly.

22.3 Effect of Removal from the List: Whenever a firm is removed from the list of approved vendors, its registration stands cancelled. Such removal must be communicated to all other registering and procuring agencies so that no further business relations are maintained with such firms.

22.4 Norms for penalising the firms at consignee end rejection (CER) cases where the firm is at fault:

Banning/Suspending business dealings/removal of firm's name from the compendium are governed by the guidelines given in the Standardised Code for Suppliers and Joint Services Guide on Assessment and Registration of Suppliers for Defence, issued by the Ministry / Govt. In order to penalise the firms who have defaulted and supplied sub standard stores, the following norms are to be followed -

(a) CER cases, due to quantity and quality reasons and not involving any financial irregularity/ cheating, which are settled within 03 months of reporting of the discrepancies to the firm.	:	Warning to the firm
b) CER cases due to quantity and quality - reasons and not involving any financial irregularity/ cheating, which are not settled within 03 months of reporting of discrepancies to the firm.	:	Removal from the compendium of Registered Suppliers for the item in question

c) For second default with respect to quantity and quality of stores without involving any financial irregularities/cheating.	:	Removal from compendium of Suppliers for all items for which the firm is registered.
d) For repeat default thereafter and in case financial irregularity/cheating is involved.	:	Director (Tech-Coord) to initiate the case & after the approval of DGAQA the case to be sent to central procurement agency for Banning of Business dealings with the firm.

The period of removal from compendium for default given at 22.4(b) will be one year and for default given at 22.4(c) three years. All cases, where removal of firms from compendium has been done for reasons mentioned at 22.4(b) & (c) above, will be reviewed after the expiry of the period and these cases will be put up to the competent authority for his approval before the case is revoked and the firm is registered. The details of the firms removed from the compendium on account of 22.4 (b) and 22.4 (c) will also be circulated to all concerned for the information and necessary action.

23. NCAGE REGISTRATION

23.1 NCAGE (NATO Commercial and Governmental Entities) Code, is a unique identifier assigned to OEMs, Manufacturers, Suppliers or various government/ defense agencies under NATO Codification System. With introduction of codification clause in DAP 2020, all Indian Suppliers / Manufacturer are required to obtain NCAGE code through Directorate of Standardisation website http://ddpdos.gov.in via NCAGE application link as per Appendix "J".

a) NCAGE is a 5 Character unique Code assigned to manufacturers/ Suppliers in India in the format "#***Y" (# - numerical,* - alphanumerical). Example :0001Y OCTAGON PRECISION (I) PVT LTD.

b) NCAGE" is mandatory requirement for generating codification (NSN) for the product of manufacturers as per NATO Codification System adopted by MoD with Dte of Standardisation functioning as National Codification Bureau, India (NCB,

India) Hence, obtaining NCAGE is deemed as mandatory pre-requisites for registration under the procedures.

Benefits :

c) Facilitates codification (generation of NSNs for each item) by OEMs/ Mfrs/ Suppliers of defence products and linking with Services Inventory Numbers

d) Facilitates capturing MSME database linking the products manufactured for defence applications

e) Boosts export potential by giving global visibility to Indian entities on Global Database on NATO Master Catalogue of References for Logistics (NMCRL) with more than 35 million NSNs with their NCAGEs.

f) To facilitate Indian manufactures & other companies to do business with US government by registering in SAM (System Award Management)

23.2 All eligible supplier/Registered manufacturers will also be registered for allocation of NCAGE following the steps given at Appendix "J". NCAGE will be gradually incorporated in the compendium as and when these are updated. Intimation of newly registered manufacturer(s)/or their deletion etc will also be given to NCB India/Directorate of Standardisation.

23.3 As of now, the codification of products of entities used for Indian Defence is being done by the respective AHSP (Authority Holding Sealed Particulars) by submission of codification request through web based codification software tool to the concerned Defence Standardisation Cell/Detachment. The submitted codification requests are scrutinised/vetted by the Defence Standardisation Cell/Detachment and further submitted to the Directorate of Standardisation for allotment of 13-digit Indian NSN.

23.4 All Defence Standardisation Cells/ Detachments of Directorate of Standardisation have been entrusted with the task of initiation of NCAGE allotment/registration process for entities dealing with all AsHSP/Ordnance Factories/PSUs/DRDO Labs. Without NCAGE, NSN cannot be generated for manufactured items. It is, thus, mandatory for each vendor/firm/manufacturer to have unique NCAGE.

23.5 NCS uses CAGE (Commercial and Governmental Entity) codes principally to identify manufacturers (entities). CAGEs are broadly used in many countries in a variety of logistics processes. As such, they are often assigned to a variety of organisations (entities), including distributors, standards bodies, Government organisations, and service providers. The CAGE code is allotted by NSPA (NATO Support and Procurement Agency) which provides technical and administrative support to AC/135. The allotted CAGE codes are registered automatically in the NMCRL (NATO Master Catalogue of References for Logistics) website which is managed by The NSPA. Which are as follows:-

a) NCAGE Code: NATO Commercial and Governmental Entity code (NCAGE) is allotted to entities of NATO and Tier-2 Sponsored countries as per the format assigned by NSPA. For example, it may be seen in the enclosed NCS chart that the first country ALBANIA is assigned with format A***H and the NCAGE Code “A03SH” has been allotted to “Toyoto Tiruna, Albania”.

23.6 The detailed on-line procedure for registration and submission of request form by the entities towards allotment/registration of NCAGE code is available on http://www.ddpdos.gov.in. The NCAGE once allotted/registered will be intimated to the entities by email with a copy marked to the concerned organisation.

24. **REFERENCE DOCUMENT:**

24.1 Joint Services Guide 015:2021 on Registration of Manufacturer for Defence, released by Directorate of Standardisation is taken as reference document while preparing this SOP.

24.2 DDPMAS & DPM-2009 are governing documents for this SOP. In case of any dispute for the airborne store and associated Ground Support Equipments, DDPMAS & DPM-2009 (as amended from time to time) will take precedence.

Appendix-"A"

VENDOR REGISTRATION REQUEST FORM (VRRF)

(To be sent to Director Tech Coord, HQ DGAQA, 7th Floor, 'A' Block, Defence Offices Complex, KG Marg, New Delhi-110001) by **Registered / Speed Post and not by private Couriers**)

Note: All Points and columns of Application are to be filled completely. Mention "Not Applicable" and Not available/ Being Obtained/ under progress etc where ever required. List of enclosures and application are to be **signed and stamped**

PART-I
ADMINISTRATIVE INFORMATION

1. NAME OF THE VENDOR:

_____
_____

2. a) Registered mail In ID on CPP Portal: _____
(If not enrolled on NIC CPP Portal, Please enrol and intimate registered mail ID before assessment. It is mandatory to participate on e-procurement tender Process. To enrol please visit webpage-
https://eprocure.gov.in/eprocure/app?page=CorporateTenderer_Registration&service=page
)

b) ADDRESS OF REGISTERED OFFICE (Please do not repeat the name)

_____
_____PIN _____PHONE NO _____
FAX No. _____ MOBILE No._____ ___ E-mail ID _____Web Site _____

c) ADDRESS OF THE FACTORY

_____
_____PIN _____PHONE NO _____
FAX No. _____ MOBILE No._____ ___ E-mail ID _____

d) ADDRESS OF LOCAL BRANCH/STOCKISTS (If Any)

_____
_____
PIN _____ PHONE NO (WITH STD CODE) _____

3. DATE OF REGISTRATION OF COMPANY AT REGISTRAR OF COMPANIES
(Attach Registration Certificate)

4. Registration Fee: INR :_____DD/ Cheque No- _____ dated _____
(for Medium / Small Scale Rs 10000/- and Large Scale Rs: 25000/-)

5. NATURE OF COMPANY
   a) Proprietary
   b) Private limited
   c) PSU
   d) Public Limited
   e) Parternership

NOTE : i) Give name, residential address with telephone of proprietor for (a) ii) Give name designation, residential address of chief executive or Managing Director for (b), (c) iii) Addresses,

name, telephone no with partnership deeds (if partnership firm) of partners in extra sheets as Annexure_____ .

6. NATURE OF BUSINESS / CATEGORY OF REGISTRATION
   a) Design, Development & Production
   b) Development & Production
   c) Production (Manufacturing, Processing, Machining etc)
   d) Maintenance Repair & Overhaul
   e) Authorised Dealer/Stockist
   f) Any Other

7. DETAILS OF REGISTRATION WITH: (Attach relevant copies of registration letters)
   a) Other Govt. Dept
   b) Other Defence Dept.
   c) Any Other
   d) Membership of Other Industrial Association
   Such as FICCI/ ASSOCHAM / CII / AIMO etc.

8. HAVE YOU FIRM EVER APPLIED FOR REGISTRATION TO DGAQA.

9. IF YES, ALSO GIVE THE FOLLOWING DETIALS
   a) Date of Application
   b) Stores Description Applied for
   c) Result of Application with details viz. Regn. No. If registered and reasons, if not registered

10. IS YOUR QUALITY SYSTEM CERTIFIED TO ISO 9001 / AS9100D (Attached Valid Certificate)

11. TOTAL AREA OF FACTORY:

COVERED m2	UNCOVERED m2	BONDED SPACE AVAILABLE NO. OF ROOMS (m2)

12. IS THE ABOVE SAID FACTORY SITE (LAND/ BUILDING)
    (a) Self Owned (b) Partnership (c) Rental
    (Attach documentary proof)

13. NAME OF BANKERS_____ A/C NO_____

14. IFS Code_____, Branch Address_____

15. ELECTRIC POWER (KW/KVA) - (attach copy of latest Electricity Bill)
    (a) Connection _____KW/KVA
    (c) Standby (If any) _____ KW/KVA

16. DO YOUR PRODUCTS FALL UNDER
    (a) Latest cost audit (Report) Rules
    (b) Fire Safety or Explosives Regulations
    (Give details of Licence/ Authorisation)

17. DETAILS OF MANPOWER EMPLOYED ON DATE ON FIRM'S PAY ROLL
PLEASE PROVIDE AN ORGANISATION CHART

(a) PERMANENT

CATEGORY	POST HELD	NUMBER	Min Qualification	Min Exp
Technical	Prod. Manger			
	QC Manger			
	Supervisor			
	Testing Staff (QC)			
	Labours (Skilled)			
	Labours (Unskilled)			
	Others			
Admin	Purchase Manger			
	Accounts Officer			
	Office Superintendent			
	Clerical			
	Others			

(b) TEMPORARY

CATEGORY	POST HELD	NUMBER	SERVICE
Technical			
Admin			

18. (a) Annual turnover and Profit/ Loss a/c * of sales for last 2 years (*01 year for start-ups)

Figures in Respect of	For Last to last FY.	For Last F.Y.
Turnover	Rs	Rs
Profit/(-) loss	Rs	Rs
Net worth	Rs	Rs

* Attach extract of Balance sheet duly signed highlighting the above figures there on
(b) PAN No-_____ TAN No_____ GST No_____
(c) Details about the Facilities for water, fire fighting, security & medical
(d) Relevant information with complete details about sister concerns/subsidiaries if any

PART-II
TECHNICAL INFORMATION

1. DETAILS OF CURRENT PRODUCTS/ BUSINESS

SL	TYPE/ DESCRIPTION	LICENCED/INSTALLED CAPACITY	ANNUAL PRODUCTION NO FOR PRECEDING 3 Yrs

2. DETAILS OF FOREIGN COLLABORATION (IF ANY)

SL NO	PRODUCT	NAME & ADDRESS OF COLLABORATOR	YEAR	CURRENT OR NOT CURRENT

3. DETAILS OF DEFENCE PRODUCTS/ITEMS FOR WHICH REGISTRATION IS SOUGHT

SL NO	NOMENCLATURE	End Use (Name of Aircraft/ System)	TOT Details/ Type Certificate	Category (D&D/Prod/MRO)

NOTE: (i.)Details of TOT items and Type Approval status for airborne store be furnished.
(ii.)Copy of MOU/ Licence agreement with OEM/ Licenser to be attached.
(iii.) Technical Specifications of Products/Items to be furnished.

4. (a) DETAILS OF BOUGHT OUT / READYMADE ITEMS (Component/Sub Assy/ Assy) :

SL	MAIN EQPT	COMP/ASSY/SUB ASSY	NAME/MODEL	MANUFACTURER

(b) DETAILS OF TASK/WORK/PROCESS TESTING/QUALITY CONTROL DONE BY SUB-CONTRACTORS OR OTHER AUTHORISED TEST LABORATORIES (Attach copies of agreements where applicable)

SL	DETAILS OF TASK/ PROCESS/TESTS	NAME & ADDRESS OF SUB CONTRACTOR/ LAB	AGREEMENT NO (IF ANY)

5. SOURCE OF RAW MATERIAL / SUB-PARTS

SL NO	IMPORTED/ INDIGENOUS	BRIEF DESCRIPTION (Including Standards etc.)	SUPPLIER NAME	END PRODUCT

6. PLEASE GIVE DETAIL OF IMPORTANT FACILITIES & INFRASTRUCTURE AS PER FOLLOWING FORMAT:-

(a) PLANT & MACHINERY FOR PRODUCTION OF ITEM(S) FOR WHICH REGISTRATION IS SOUGHT (Including heat treatment, dies, jigs & fixtures etc. and also details on licensed capacity, installed capacity & license No and date)

(b) UNCONVENTIONAL, SPECIAL M/C (Like NC, EDM), CAD/CAM. etc.

SL No	DESCRIPTION OF M/C & SPECN	MAKE & MODEL	QTY	DATE OF PURCHASE	APPX COST	PERCENTAGE DEPRECIATION/ YEAR

(c) TOOL ROOM, METROLOGY & TEST EQUIPMENTS

SL NO	TYPE OF INST/ TEST EQPT	MAKE MODEL	FREQUENCY OF CALIBRATION

** Attach **02-03** calibration certificates of major equipments as a sampl

7. FURNISH THE FOLLOWING DETAILS WITH RELEVANT CERTIFICATES AND DOCUMENTS

(a) Design and Development facilities available
(b) Inspection & quality control of raw material, components and finished products
(c) Laboratory and drawing office facility
(d) Flow process chart of item for which registration sought

8. DETAILS OF SUPPLY ORDER EXECUTED:

SL	NAME & ADDRESS OF CUSTOMER	SO NO & DATE	DATE OF LAST SUPPLY	VALUE	NO.SUPPLIED

9. FUTURE PLAN IF ANY IN RESPECT OF : EXPANSION PROGRAMME, (ADDITIONAL MACHINES/ TEST FACILITIES, LAND, ETC.) (Attach extra sheets if required)

DECLARATION :

I/We confirm that the information furnished in parts I & II above is correct. In the event of any information given by me/us is found incorrect/false at any time, I/we understand our registration will be cancelled without notice, besides any other appropriate action against me/us.

VENDOR'S SEAL
DATE :
PLACE:

SIGNATURE (S)
NAME(S) IN CAPITAL

Documents to be Attached (Self certified copy):

1. Registration Certificate with Registrars of Companies
2. MSME Registration/ factory license to industries.
3. Registration Certificates with other Govt Depart/ Customer Organisations.
4. ISO 9001 / AS9100D Certificate
5. PAN/TAN/GST Registration Card/ Certificate
6. License for Explosive (Gas Cylinders, Pressure Vessels, Fuel, Ammonium Nitrate etc):
7. Partnership Agreement
8. Property Owner ship for Factory Land & Building (Sale/ lease deed/ Registry, Rent Agreement with latest 03 month Rent)

CERTIFICATE FROM INDIAN MANUFACTURER / OEM FOR ITS SOLE SELLING AGENT / MARKETING FIRM FOR REGISTRATION

(This Annexure consists of one page only on the letter head of Indian Manufacturer/OEM and on Judicial Paper)

To,
Order Placing Authority

Indian Manufacturer/OEM Certificate for its Sole Selling Agents/Marketing Firms for Registration

Sir,
We, M/s _____ (name and full address of Indian manufacturer/OEM) hereby confirm that M/s_____(name and address of its Sole Selling Agents/Marketing Firms) are our Sole Selling Agents/Marketing Firms.

2. We Confirm that:

a) We have authorized M/s_____, our Sole Selling Agents/Marketing Firms to represent us and act on our behalf on all matters pertaining to manufacture and supply of the products against the supply orders placed on us/them.

b) We also take full responsibility for the acts/omissions committed by M/s _____. All claims and disputes if any, arising out of defects/poor quality of stores supplied by M/s _____or by us would be settled by the parent company.

c) The goods supplied to Consignee will be brand new, in our current production and conforming to Indian conditions as per technical specification.

d) Our OEM standard Guarantee/Warrantee shall be applicable for our products supplied by aforesaid firm to the Procurement Agencies.

e) In the event of termination/closure of the aforesaid Sole Selling Agents/ Marketing Firms, we shall immediately inform the same to the OPA and QA Authorities.

3. We M/s_____are willing to get our manufacturing facility assessed for Registration in terms of JSG 015 : 2021.

a) Signature on behalf of the Indian Manufacturer/OEM.

b) Name of authorized signatory on behalf of the Indian Manufacturer/OEM.

c) Designation/ Position of authorized signatory in the Indian Manufacturer/OEM.

d) Full address of the Indian Manufacturer/OEM with stamp/Seal.

Place :
Date

Annexure II to Appendix "A"

JOINT UNDERTAKING TO BE SIGNED BY PARENT COMPANY & ITS SOLE SELLING AGENT/MARKETING FIRM WHEN THEY DO NOT COMPLY WITH PROFITABILITY AND TURNOVER REQUIREMENT BUT PARENT COMPANY COMPLIES

(This Annexure consists of one page only)

1. "Notwithstanding that Registration Certificate and Supply are Orders awarded to the M/s_____Agent/ (Sole Selling Marketing Firm), the(Parent Company) and M/s_____Sole Selling Agent/Marketing Firm)

a) M/s _____ (Parent Company) as well as M/s _____(Sole Selling Agent/Marketing Firm). Jointly and severally, undertake to abide by all terms & conditions of Registration & supply orders and corresponding performance of supply orders thereof in all respects including timely delivery as well as required quality of the product, Fall Clause and Warranty/Guarantee obligations.

b) The named M/s _____(Parent Company) as well as M/s_____ (Sole Selling Agent/Marketing Firm), jointly as well as severally shall be liable/responsible and accountable for due performance of the supply order as well as supplies thereof in all respects and also for all such claims of the purchases arising thereof including legal liability in competent court of law."

NOTE - The above joint undertaking should be signed & dated by authorized person M/s_____(Sole Selling Agent/Marketing Firm). The signing person must attach a necessary power of Attorney evidencing his authority to bind the company on whose behalf the above undertaking has been given.

Appendix –"B"

PART-I

VENDOR QUALITY SURVEY REPORT (VQSR) QMS of

M/s _____
Date of Visit: _____

1	LEADERSHIP	Assigned marks	Mark Obtained	Remarks
1.1	Availability of a defined and documented Quality policy and objectives, suitability to the defence/ aerospace requirements.	3		
1.2	Effective implementation of the Quality policy throughout the firm for quality related tasks.	2		
1.3	Whether Top Management has appointed a Management Representative having Organizational freedom and unrestricted access to Top Management to resolve Quality Management issues	3		
1.4	Whether top management ensures that product conformity and on time delivery performance are measured	2		
	Sub Total	10		
2	QUALITY MANAGEMENT SYSTEM			
2.1	Availability of documented and established QMS /related procedures/instructions (e.g. Quality Manual) covering all activities of management, production and verification of quality of items to the specified requirements.	5		
2.2	Whether the QMS System is being effectively implemented through verifiable records.	5		
	Sub Total	10		
3	CONTRACT REVIEW			
3.1	Availability of an established system of contract review and analysis of contract requirements.	3		

3.2	Whether the firm has effectively implemented the contractual requirement for the already supplied items. (eg. Operational, Safety parameters, delivery period etc)	2		
	Sub Total	5		
4	DESIGN & DEVELOPMENT CONTROL (if applicable)			
4.1	Whether procedures for planning, development, control and verification of product design are laid down? Have the responsibilities been assigned for each activity?	5		
4.2	Whether the laid down procedures & the resources of the firm are adequate for identification, analysis, implementation and verification of tasks involving product design to meet the required specifications and acceptance criteria for the product.	3		
4.3	Whether defined procedures available to authorized progression to next stage for D& D activities	2		
4.4	Where tests are necessary for verification & validation during D&D, whether the test procedure describe test methods, configuration of test items and acceptance criteria	3		
4.5	Whether D&D output specify the characteristics of products including key characteristics, critical items (&specific actions to be taken for these items)	2		
	Sub Total	15		
5	DOCUMENT CONTROL			
5.1	Whether document control procedure & responsibilities for controlled issue, review, updating and approval of documents assigned? Are being implemented effectively? Note:- When documents are managed electronically, data protection processes shall be defined (e.g. protection from loss, unauthorized changes, unintended alteration, corruption, physical	3		

	damage)			
5.2	Procedure to ensure that obsolete documents are diligently removed & documents with un-authenticated alterations are not used.	2		
	Sub Total	5		
6	PRODUCTION CONTROL			
6.1	Documented information to define characteristics of products to be produced, services to be provided or activities to be performed (e.g. Process Flow Charts, Control Plans, Production & Verification document, Acceptance/ Rejection Criteria), Processes to control identified critical items and key characteristics	5		
6.2	Procedure for validation of equipment, tools and software programs used to automate, control, monitor or measure production process	5		
6.3	Procedure for validation & control of special processes, if any (where output cannot be verified by subsequent monitoring/ measurement)	3		
6.4	Whether only the identified persons are authorized to approve production provision changes (Production provision changes can include the changes affecting processes, production equipment, tools or software programs)	2		
	Sub Total	15		
7	OPERATIONAL PLANNING & CONTROL			
7.1	Comment whether the firm has a defined and documented instructions, monitoring and control of manufacturing processes and usage/ performance of machines, operators, instruments, jigs and fixtures during all stages of production. e.g.:- - Curing/ soaking time, torque requirement, quenching temperature and temp gradient etc) - Processes/ procedures to meet the requirements for the provision of products/	5		

	services in a structured and controlled manner including scheduled events performed in a planned sequence: - Process control for key characteristics - Make and buy decision, or determining the products and services to be obtained from external providers.			
7.2	Whether process control parameters have been documented. Are these adequate & available at each relevant workstation and implemented effectively?	3		
7.3	Whether the instructions specifically cater for the special or complex processes involved (if any) and are personnel working on these special processes adequately trained and qualified.	5		
7.4	Documented procedure to identify and manage risks to prevent or reduce undesirable effects and to enhance desirable effects	2		
	Sub Total	15		
8	PURCHASE			
8.1	Availability of a documented system of assessment and selection of sub-vendors / subcontractors/ external providers and monitoring of their performance.	5		
8.2	Documented system to ensure external providers apply appropriate controls to their direct and sub tier external providers	2		
8.3	Documented system for verification activities of externally provided processes, products and services (these may include inspection/ periodic testing for critical/ high risk parts)	3		
8.4	Evidence that purchase documents clearly indicate the details of product specifications, drawings, test reports etc (including special requirements, critical items and key characteristics) & are these	5		

	reviewed/approved before issue.			
	Sub Total	15		
9	CUSTOMER/ USER SUPPLIED PRODUCT(IAF/ARMY/NAVY)			
9.1	Availability of established procedure for identification, verification of quality, systematic storage and issue of purchaser supplied product? Is it effectively implemented?	5		
9.2	Procedure to record and notify to the purchaser of any lot, damaged or otherwise unsuitable product and to ensure such an item is not used in the production.	5		
	Sub Total	10		
10	PRODUCT IDENTIFICATION AND TRACEABILITY			
10.1	Availability of appropriate procedures to identify a product from applicable drawings, specifications and other documents throughout production, delivery and installation.	3		
10.2	Where applicable, whether the firm has a viable and effective system to ensure traceability between finished products and the raw materials/ parts used, operators /equipment used: - Traceability of all products manufactured from the same batch of raw material or from the same manufacturing batch - Traceability of components to subassembly/ assembly and then to next higher assembly.	5		
10.3	Provision to maintain traceability and identification throughout the product life	2		
	Sub Total	10		
11	CONFIGURATION MANAGEMENT			
11.1	Availability of appropriate process for configuration management to ensure identification and control of physical and functional attributes of product	3		
11.2	Whether the documented information (e.g.	2		

	requirements, design, verification, validation and acceptance documentation) consistent with the actual attributes of the products and services			
	Sub Total	5		
12	INSPECTION AND TESTING			
12.1	Comment on availability of a defined procedure for Inward Goods Inspection, storage of components/ sub-assemblies/assemblies and semi-finished items with inspection tag/status before issue to the shop floor.	5		
12.2	Whether the firm has an effective procedure and maintains documents for carrying out in-process inspection at various stages of the manufacturing process.	3		
12.3	Whether the firm ensures prompt recall and replacement of item/product in the event of non-conformance being found at any stage.	2		
12.4	Comment on the final inspection & testing procedure adopted by the firm on the finished products to verify conformance to the specified requirements	3		
12.5	Whether the firm maintains traceable records of final inspection and full testing or products to establish conformance before dispatch.	2		
	Sub Total	15		
13	INSPECTION MEASURING AND TEST EQUIPMENT			
13.1	Comment on the system in the firm to ensure that inspection, measuring and test equipment are capable of the desired accuracy and precision at all times.	5		
13.2	Whether the firm has an effective procedure to identify the calibration status of the equipment and take timely corrective action in case found to be out of calibration.	5		
	Sub Total	10		

14	CONTROL OF NON CONFORMING PRODUCT			
14.1	Whether the firm has an effective procedure for review and disposition of non-conforming product. Whether the responsibility and authority for the review and disposition of nonconforming outputs defined	5		
14.2	Comment on the methodology used by the firm to prevent in-advertent use or installation of a non-conforming product.	2		
14.3	Procedure for corrective action for non-conforming products detected after delivery, as appropriate to their impacts	3		
	Sub Total	10		
15	CORRECTIVE & PREVENTIVE ACTION			
15.1	Whether the firm has an effective procedure to analyse the causes of nonconforming product and take effective corrective action to eliminate deficiencies and prevent recurrence.	5		
15.2	Whether the firm analyses all processes, work operations, service reports and customer complaints to detect and eliminate potential causes of non-conforming products and take preventive action or exercise more controls where necessary.	2		
15.3	Procedure to flow down corrective action requirements to subcontractor/ external provider when it is determined that external provider is responsible for the non conformity	3		
	Sub Total	10		
16	HANDLING, STORAGE, PACKAGING AND DELIVERY			
16.1	Whether the firm has adequate storage, accommodation and means for handling of raw materials and finished products to prevent their damage or deterioration pending use or delivery.	5		
16.2	Comment on the effectiveness of procedure/ measures adopted for packaging & delivery of	5		

	products to ensure protection of their quality till the final delivery.			
	Sub Total	10		
17	QUALITY RECORDS			
17.1	Whether the firm maintains records to demonstrate achievements of the required quality of products and effective operation records?	3		
17.2	Procedure/ system for safe storage and ready retrieval of quality records?	2		
	Sub Total	5		
18	INTERNAL QUALITY AUDIT			
18.1	Whether the firm has documented procedure for conducting periodical internal quality audits?	5		
18.2	Whether the firm ensures results of quality audits are documented for follow-up action by concerned personnel? Is suitable follow-up action being taken?	5		
	Sub Total	10		
19	TRAINING			
19.1	Whether there is a system to identify the qualification/ training/ experience needs of personnel for specific tasks and to train people performing activities affecting quality?	3		
19.2	Are Qualification/ training records maintained by the firm?	2		
	Sub Total	5		
20	PRODUCT SUPPORT			
20.1	Whether procedures for extending after-sales and warranty services are documented?	2		
20.2	Whether the firm extends after sales services and maintain records thereof? If so, indicate areas.	3		
	Sub Total	5		
21	STATISTICAL TECHNIQUES			
2.1	Procedure to apply appropriate statistical techniques for quality assurance of purchased	3		

	items, process control and their end products? If so, indicate applied areas. (If applicable)			
21.2	Is there documentary evidence of implementation of statistical techniques in these areas?	2		
	Sub Total	5		
	Part-1 Total Marks			Marks Obtained:

$$\text{Percentage Obtained} = \frac{\text{Total Marks Obtained in Part-I}}{\text{Total Marks in Part I (as applicable)}} \times 100$$

Date: Name & Designation Signature

Assessment Team Leader

Members

VQSR: PRODUCT SPECIFIC TECHNICAL CAPABILITY OF MANUFACTURER

M/s _____
Date of Visit: _____

1	MANUFACTURING PLANT AND MACHINERY	Assigned Marks	Marks Obtained	Remarks
1.1	Whether essential plant and machinery are available for the product range under consideration	10		
1.2	Whether desirable plant and machinery for the product range under consideration are available.	5		
	Sub Total	15		
2	DESIGN & DEVELOPMENT (IF APPLICABLE):			
2.1	Availability of infrastructure and technical capability of the firm including adequately qualified and experienced personnel, to undertake product design tasks	10		
2.2	Comment on the capability of the firm to produce a product to specific design inputs, after due verification and incorporating design changes, where necessary, What types of products is the firm capable of designing?	5		
	Sub Total	15		
3	PRODUCT DEFINITION DATA / TECHNOLOGY			
3.1	Availability and adequacy of product Technical data i.e. product specification, drawings (assembly/ sub-assembly/component drawings), part lists, material details etc.	10		
3.2	Availability and adequacy of manufacturing process specifications, tests/ measurement (including test equipments) specifications	5		
	Sub Total	15		
4	MANUFACTURING PROCESS			

4.1	Adequacy of all manufacturing operations and processes in-house. (These include all process/operations required to be performed on the raw materials, semi-finished/finished components and sub-assemblies/assemblies for conformity of end product to required applications including packing, marking, handling and storage / delivery)	10		
4.2	Is the subcontracting, if any, for processes / operations on semi-finished / finished components / sub-assemblies / assemblies done as per laid down norms. Brief QA procedure of subcontracted stores.	10		
4.3	Are the capabilities of available processes (including that of subcontractor) adequate and compatible with the product specific requirements	5		
	Sub Total	25		
5	QUALITY CONTROL AND TEST FACILITIES			
5.1	Whether essential test facilities/ test equipment/ Monitoring & Measuring Equipment for all quality control and measurements are available in-house as per laid down norms. Note: Monitoring and Measuring equipments can include Test hardware, Test software, Automated test equipment (ATE), Plotters etc.	10		
5.2	Whether desirable test facilities / test equipment/ Monitoring & Measuring Equipment are available as per laid down norms. Where desirable in-house test facilities are not available, have alternative arrangements been made and are these adequate. Give brief details.	5		
5.3	Whether calibration process/ instructions are available indicating calibration standards, methods, periodicity and responsibility for calibration of test equipment.	5		
5.4	Whether the firm actually implements the laid down procedure for calibration of test equipments and can	5		

	produce documentation in support of it.			
	Sub Total	25		
6	IN-HOUSE QUALITY CONTROL			
6.1	Whether there is an adequate quality plan to meet the technical specifications and check product related requirements at all stages during the manufacturing process.	10		
6.2	Whether in-process inspection and testing is systematically carried out as per the Quality plan and data is recorded.	10		
6.3	Whether First Article Inspection (FAI) carried out	5		
6.4	Whether performance of machines instruments, jigs, fixtures, gauges and operations is monitored during the manufacturing process.	10		
	Sub Total	35		
7	MANPOWER RESOURCES			
7.1	Adequate personnel for each operation and their requisite qualifications/experience as per the responsibilities assigned.	10		
	Sub Total	10		
8	TECHNICAL RESOURCES			
8.1	Where applicable, whether the firm has adequate technical resources for support services such as preparation of specifications, drawings, user handbooks, technical manual, part lists, outsourcing policy etc.	10		
	Sub Total	10		
9	ADEQUACY OF INFRASTRUCTURE FACILITIES			
9.1	Covered and open space for manufacturing facilities and storage of raw/ semi-finished / finished products.	10		
9.2	Requirement Environment for operation/ storage (e.g- Temperature, Humidity, Clean room etc) to the type of stores to be supplied and quantum of proposed supplies and their security of stores inside the factory.	10		

9.3	Adequacy of maintenance set-up for the in-house plant / machinery and test equipment.	10		
9.4	Bond rooms commensurate to the type and quantum of products and their security for Work in Progress/ Semi finished/ Finished product.	5		
	Sub Total	35		
10	INVENTORY MANAGEMENT			
10.1	Comments on the effectiveness of firm's Inventory Management (This may include implementation of ABC analysis, VED analysis, JIT etc)	5		
	Sub Total	5		
11	POWER / WATER SUPPLY			
11.1	Availability of stand-by power & its adequacy.	3		
11.2	Availability of adequate water arrangements	2		
	Sub Total	5		
12	GENERAL			
12.1	Lighting & Ventilation Hygiene/ Sanitation of the firm & surrounding area Fire fighting arrangements First aid and Medical arrangements Approach to firm Eco-friendly waste disposal	3		
12.2	Is the supplier maintaining record of all supply orders for the item being manufactured Whether the execution of supply orders conforms to the delivery schedule	2		
	Sub Total	5		
	Part-II (A) Total Marks		Marks Obtained	

Date: Name & Designation Signature

Assessment Team Leader

Members

PART-II (B)

VQSR: PRODUCT SPECIFIC TECHNICAL CAPABILITY OF MRO FIRM

M/s _____

Date of Visit: _____

Sl. No.	Assessment Criteria	Assigned Marks	Mark Obtained	Remarks
1	Whether essential Plant & Machinery available for the scope of work	10		
2	Whether desirable Plant & Machinery available for the scope of work	5		
3	Adequacy of all maintenance/ ROH operations and processes in-house (including required operations and processes on assemblies/ sub-assemblies/ components)	10		
4	Comments on the subcontracting for parts, consumables and for processes/ operations, if any, on components/ sub-assemblies/ assemblies etc. Adequacy of QA procedure for subcontracted parts and maintenance/ ROH operations. Do the subcontractors hold required approval/ certificates Access to approved parts (i.e. spares) & consumables	5		
5	Whether essential Test Facilities Test Equipments and Monitoring & Measurement Equipments available in-house	10		
6	Whether desirable Test Facilities and Test Equipments available in-house. Where desirable in-house Test Facilities are not available, have alternative arrangements been made and are these adequate? Give brief details	5		
7	Whether there is an adequate Quality Plan to check and record conformance to Technical requirements/ specifications at all stages during the maintenance/ ROH process	10		

	Documentation of inspection/ verification operations completed			
8	Adequacy of Covered and Open space for maintenance/ ROH facilities and processes required for the scope of work	10		
9	Availability of documented information on:- (i) Assignment of the responsibilities and authorities for the activities/processes (ii) Retention of information for the work performed for each article or product	5		
10	Availability of Safety Policy to:- (i) Provide a framework for setting safety objectives (ii) Encourage safety reporting (iii) Commitment to continual improvement of safety management	2		
11	Whether the following roles, responsibilities and authorities are assigned:- (i) Accountable manager for overall responsibilities for the scope of work. If he is not Top executive, this person shall have direct access to the Top executive (ii) Quality Manager: He shall establish an independent audit program and a Quality feedback reporting system. He shall have direct access to Accountable Manager (iii) Other Appointed Manager(s):- Responsibilities for all required operational activities. Depending on the size and complexity of firm, more than one manager may be appointed to oversee the operation of each area/ activity	3		
12	Adequacy of infrastructure/ means to segregate articles and products as required (e.g. serviceable from unserviceable, aviation from non-aviation)	5		
13	(i) Availability of competent personnel for maintenance activities e.g. qualification, training,	10		

	experience, certification etc. (ii) Adequacy of process to assess the personnel for their ability to understand maintenance data and to carry out maintenance tasks, prior to performing unsupervised work.			
14	Provision for prevention of unintended use of obsolete documents.	10		
15	Implementation of measures for prevention, detection and removal of foreign objects and product contamination	10		
16	Adequacy of processes to manage maintenance tasks identified as critical by the customer/ type certificate holder/ type certifying authority.	10		
17	Availability of processes to ensure delivery of product with approved configuration	10		
18	Implementation of measures to identify and prevent the use of unapproved/ suspected unapproved/ counterfeit/ suspected counterfeit parts - Training of personnel to identify unapproved/ suspected unapproved/ counterfeit/ suspected counterfeit parts - Procurement requirements for assuring traceability to an approved/ authorized source - Inspection processes to detect suspected unapproved parts - Quarantine and reporting of unapproved/ suspected unapproved/ counterfeit/ suspected counterfeit parts	10		
19	Measures for disposition of out of Scope defect discovered during maintenance	5		
20	Availability & Adequacy of Maintenance Data, (e.g: -Maintenance Manual/ Repair Manual/ Overhaul Manual etc of aircraft/engine/ armament/ aggregates commensurate with the scope of work -Specifications drawings, processes, work	10		

	instructions/ work package, repair scheme etc. as per the scope of work. Access to service bulletins, modification update etc.)			
21	(i) Availability & Adequacy of equipment, tools and programs required as per maintenance manual/ repair manual/ overhaul manual etc for the scope of work (ii) Calibration of equipments, tools, monitoring & measurement equipments and programs in accordance with defined methods and schedules	10 5		
22	Availability & Adequacy of infrastructure, environment, special processes, product specific tools etc. as per maintenance data (maintenance manual/ repair manual/ overhaul manual/ specifications/ work package/ repair schemes/ airworthiness directives etc)	10		
23	Adequacy of Bond rooms and their security, and effectiveness of inventory management.	5		
24	Assurance that maintenance operations do not adversely affect the airworthiness of the articles outside the scope of work	5		
25	Whether the storage requirements, including periodic preservation/ condition checks defined for maintenance equipment tooling	5		
26	Availability and adequacy of standby power & Availability of adequate water arrangements	5		
	Part-II (B) Total Marks		Marks Obtained	

Date: Name & Designation Signature

Assessment Team Leader

Members

PART-II (C)

VQSR: PRODUCT SPECIFIC TECHNICAL CAPABILITY OF AUTHORIZED DEALERS/ SUPPLIER OF FOREIGN OEM

M/s _____

Date of Visit: _____

Sl. No.	Assessment Criteria	Assigned Marks	Mark Obtained	Remarks
1	Adequacy of available manpower and comments on competence of personnel on the basis of appropriate education, training & experience etc i.r.o. the items/ components/ spares etc under consideration.	10		
2	Adequacy of the material handling equipments (e.g. fork-lifter, overhead cranes, trolleys etc) for the items/ components/ spares etc under consideration.	10		
3	Adequacy of covered and open space for storage, handling, preservation, packaging/ repackaging etc for the items/ components/ spares etc under consideration.	10		
4	Adequacy of storage infrastructure (e.g. storage racks, storage bins, product specific tools if required i.e. jigs, fixtures etc.)	10		
5	Adequacy of the defined processes and Quality Plan/ Flow Charts for storage, handling, preservation, splitting, packaging/ repackaging, delivery etc	10		
6	Required environment for storage, preservation, splitting, handling etc (e.g. Temperature, Humidity, Clean room etc) for the items/ components/ spares etc under consideration.	10		
7	Assignment of responsibilities and authorities for storage, handling, preservation, splitting, packaging/ repackaging, delivery etc	10		
8	Availability & retention of documented information that provides evidence of product origin, conformity and shipment:-	20		

	(i) OEM test and Inspection Report (ii) Purchase orders/contracts (iii) Certificate of Conformity (iv) Authorized Release Certificate (v) Documented information of lot or batch traceability (vi) Documented information of storage, preservation, shelf life completion (e.g. Time, Temperature, Humidity)			
9	Implementation of counterfeit parts/ unapproved/ suspected unapproved parts prevention processes:- (i) Training of appropriate persons in the awareness and prevention of counterfeit parts/ unapproved/ suspected unapproved parts (ii) Application of parts obsolescence monitoring program (iii) Traceability of parts and components to OEM. (iv) Verification and Test Methodologies (wherever applicable) to detect counterfeit parts. (v) Inspection processes or periodic testing to detect non-conformance including counterfeit/ suspected counterfeit parts (vi) Quarantine and reporting of suspect or detected counterfeit parts, unapproved/ suspected unapproved parts.	10		
10	Availability of documented information that defines characteristics of products e.g. product definition data, drawings, part-lists, specifications etc.	10		
11	Accountability for all products (e.g. parts quantities, split orders, non conforming products etc)	10		
12	Implementation of measures for the prevention, detection and removal of foreign objects	10		
13	Control and monitoring of utilities and supplies (eg. water compressed air, electricity, chemical products) to the extent they affect conformity to product requirements	10		
14	Defined storage requirements including periodic preservation, condition checks etc. Capability to undertake periodic preservation, condition check etc if applicable	10		
15	Control & Physical segregation of unserviceable	5		

	product from serviceable product			
16	Traceability and product identification by suitable means eg. labels, bar codes etc from receipt, during splitting, storage, packaging and preservation operations and until delivery - Identification to be maintained throughout the product life	10		
17	Retention and availability of information when delivering split product:- (i) Amount delivered related to amount received (ii) Purchase order number(s)/references(s) (iii) Customer's name/details	10		
18	Capability to undertake post delivery activities viz. product/ customer support (e.g. queries, warranties, replacement, obsolescence etc)	5		
19	Availability of defined and documented procedure for disposition of non-conforming product, suspected unapproved, unapproved and counterfeit product:- - Control and permanently marking of product disposition as scrap, until physically rendered unusable - Control of unapproved, suspected unapproved, counterfeit parts to prevent re-entry into the supply chain - Rejection for return to OEM	10		
20	Traceability to the person(s) authorizing the release of product	10		
	Part-II (C) Total Marks		Marks Obtained	

Date: Name & Designation Signature

Assessment Team Leader

Members

VQSR: VENDOR REGISTRATION REPORT

M/s _____

Date of Visit: _____

Composition of the team: Name Designation

1) Team Leader

2) Member (s)

Assessment

	Total Marks	Marks Obtained	% Marks
Assessment Part-I			
Assessment Part-II (A)			
Assessment Part-II (B)			
Assessment Part-II (C)			

$$\text{Percentage} = \frac{\text{Total Marks Obtained in Part-I or Part-II (A)/(B)/(C), as applicable}}{\text{Total Marks in Part-I or Part-II(A)/(B)/(C) for applicable clauses}} \times 100$$

FIT / UNFIT FOR REGISTRATION

Comments of the Assessment Team:-

(i) The stores/items which are already being manufactured / already developed and type approved:

(ii) The details on stores/items for which the firm is capable of D&D/Production/ MRO:

(iii) Items for which firm has applied for registration but NOT RECOMMENDED for registration along with the reasons:

(iv) Any Other Information and comment of Assessment Team:

Date: Name & Designation Signature

Assessment Team Leader

Members

Comments of Director Tech Coord

Average sales per year : INR _____Lacs

Assessment fee paid by firm : Rs _____/- DD No- _____ dtd _____

I agree / do not agree with the recommendation of the assessment Team. Not agreed due to the following reasons:

1. _____
2. ._____

Countersigned
(Head of Tech-Coord Gp)

ORDERS OF ADDL DIRECTOR GENERAL

APPROVED / NOT APPROVED

Station:
Date: Addl. Director General, AQA, HQrs

On Company Letter Head

Reference No……

Director General,
Aeronautical Quality Assurance
7th Floor, 'A' Block,
Defence Offices Complex,
KG Marg, New Delhi-110001.

Kind Attn: Director (Tech-Coord)

Subject: **APPLICATION FOR RENEWAL OF REGISTRATION**

Kindly refer to our Registration Certificate No..... …….. dated …… which is due to expire on …….....

2. As per the conditions of registration, we hereby apply for renewal of our registration for a further period of 3 years.

3. The renewal of registration may be done for …… items for which we are already registered. There is no change in Capacity as assessed initially.

4. We may also be assessed for …….....…….. additional items as per details given in prescribed Performa attached*.

5. Latest updated information in respect of our firm along with related documents is attached as per the prescribed Performa.

Certified that the information given in this application is correct to the best of our knowledge and belief. In the event of any information given by us is found to be incorrect/false at any time, we fully understand that our registration will be cancelled without notice, besides any other appropriate action against us.

6. Assessment fee Rs_____/- paid vide .....……..date……..

(Applicable case of change of location of firm or existing/additional items to be renewed for registration against new technology).

Yours faithfully

Signature of Authorised
Signatory/Representative of firm
along with seal

Application for Renewal of Registration

1 Is there change of Name of firm, Office Address, Factory address, Mail ID, Telephone No, Fax No (If so, give reasons for change (attach relevant documents of ownership or rent/lease deed and rent receipts). :

2. Changes if any in the management or constitution of the firm. (If so, give details and attach relevant documents). :

3 Changes, if any, in production facilities, viz, availability of plant/machinery and process for production, since last registration :

4 Last Three Year Turn Over and Profit/ Loss :
Attach audited balance sheets and ITR C for last 3 years. :

5 Latest AS9100/ ISO9001Certificates :

6 . Additional Store for which registration is sought (Attached details of additional Technology, Process plant & Test Equipments etc) :

7 Details of Defence Orders received / executed during the last 5 years- :

Sl. No.	SO No. & Date	Order placed by	Nomenclature of store	Value	Date of completion/ reasons of non/part execution

It is necessary for renewal that the firm has participated in at least in one tender enquiry in case tender enquiries have been given to him

Place: Signature of authorised
Date: signatory/ representative of the firm with seal

Encl : .....No. Details as per index attached

Notes: List of enclosures and separate sheets attached be signed and stamped, serially numbered and indexed properly.

Appendix "D-1"

APPLICATION FOR REGISTRATION/ REVALIDATION OF REGISTRATION OF INDIAN FIRM AS AUTHOROSED DEALER/STOCKIST OF FOREIGN OEM

1. Name of the Firm

2. Complete Postal address

Telephone Number

Fax Number

E Mail ID (Registered on CPP Portal)

Website

3. a) In pursuance of the directions by the Govt of Indian (Rule 160 of General Financial Rule 2017), the procurement by the Indian Air Force has successfully migrated to e-procurement on Govt **Central Public Procurement Portal** (CPPP) for floating the tenders online on obtain quotes also online.

(b) A valid DSC is mandatory for participating in the tenders floated on CPPP by Air HQs. In absence of valid DSC the firms shall not be able to participate in e-procurement:-

(c) Is Digital Signature Certificate (DSC) available? Yes/No

(d) Validity of DSC Login ID details

4. Details of Bankers

5. Details of Senior/Middle level Executive. Dealing/likely to deal with supplies to Indian with their phone/mobile numbers

6. Do you have valid OEM Auth Dealership Certificate or Stockist Agreement? **If yes**, **please give copy of the same**. Yes/No

7. If you are Supplier. Then please specify whether (a) **Auth Dealer** ☐
(b) **Stockist** ☐

8. Specify whether applying for **Supply** ☐ **Repair** ☐ & **Overhaul** ☐

9. Specify the **"Specific list of items/ spares/ equipment"** of Aircraft/ Helicopters for which your firm is applying for registration.

Name of Major Sys/Aircraft	Details Range of Spares / items

The firm should have necessary infrastructure, warehouse, certain available stocks for requisite ranges, resources for storage/handling of items to meet all qualitative and technical parameters of aviation/system spares.

10. Copy of this "Specific list of items/spares/equipment" of Aircraft/Major Assy. may be enclosed for vetting (vetting of this list shall be done by Service HQs).

11. Details of manufacturing infrastructure. ☐

12. Number of employees & their details in your firm ☐

13. What is the annual turnover of your firm? Furnish requisite documentary proof (this will be verified).

14. Please enclose **OEM Certificate of the applied range of Spares/Fleets (as mentioned above in Para 9)** (This OEM Verification will be carried out by respective country India AA/DA).

Name of Major Sys/Aircraft	OEM Certificate

15. **Import License** for military goods is **Mandatory** for registration. **Please enclose.** The same for goods pertaining to the range for which registration is sought

Import License No & Date……..

16. Are you registered supplier to :-

(a) Any Indian Govt Dept If yes, submit documentary proof Yes/ No

(b) AF/Army/Navy. If Yes, submit documentary proof Yes/ No

17. Do you have Aerospace ISO Standard 9001:2015/AS9100 Certifications or other equipment national standard approvals? (Enclose copies of approvals) Yes/ No

18. Do you have **Repair & Overhaul (ROH)** facilities for equipment? If yes, then please specify the range Fleet and System wise. Yes/ No

19. Do you accept our standard terms and conditions given in Defence procurement Manual 2009 (Procurement Revenue) as amended vide Supplement 2010 which are available at Government of India. Ministry of Defence official website http:/www.mod.nic.in

Yes/ No

20. Confirm that your Imports into Indian are in conformity with the Foreign Trade Policy in force (as per DGFT) and Foreign Exchange Management (Current Account Transactions) Rules, 2000 framed by GoI vide Notification No. G.S.R. 381(E) dated 03 May 2000 and the directions issued by RBI under Foreign Exchange Management Act & Submit requisite certificates.

Yes/ No

21. Compliance of firm towards **Uniform Customs and Practices for Documentary Credits** (UCPDC) Rules as per UCP 600 issued by the ICC.

Yes/ No

22. The registration certificate ofyour firm by the **Registrar of Companies** for the type of Supply /Services /Manufacture.

Yes/ No

23. The registered firm will be required to provide OEM's Quality Assurance Certificate for the supplied spares.

Yes/ No

24. Provide all necessary financial docs (GST/CST/PAN/ IT Return et al) to enable financial assessment of your firm.

Yes/ No

25. **Revalidation of Registration.** The authorized Dealer/Stockist is to initimate step to set up manufacturing Capability within three years period from registration. The aim of is to ultimately promote indigenous manufacturing in line with GoI Policy of Atmanirbhar Bharat through Make in India initiative. This Manufacturing capacity will be verified three years after the initial registration at the time of renewal of registration of firm.

26. Any other relevant info in support of registration/registration revalidation of your firm

27. Checklist to ensure completeness of documents :-

(a) **Vaild DSC with Login ID** as mentioned at para 3. ☐

(b) Foreign OEM Auth Dealership Certificate as mentioned as para 6 ☐

(c) Specific list of items/spares/equipment as mentioned at para 9 ☐

(d) Certificate certifying the your firm is a **Manufacturer** as per para 10 ☐

(e) OEM Support Certificate as mentioned as para 14. ☐

(f) Import License & Date as mentioned at para 15 ☐

(g) Certifications of Aerospace ISO Standard 9001: 2015/ AS 9100 Certifications or other equipment national standards approvals as mentioned at para 17

(h) Certificate that your import into india are in conformity with the Foreign Trade Policy (as per DGFT) AND Foreign Exchange Management Rules , 2000 framed by GOI and the directions issued by RBI under FEMA mentioned at para 20 ☐

(j) Registration certificate by the Registrar of Companies for the type of Supply/Services/Manufacture mentioned at para 22 ☐

(k) Concerned financial docs of last three year (GST/CST/PAN/IT Return etc as per para 24 ☐

(Name of Authorized Signatory)

Designation Company Rubber Seal with Date Telephone /Mobile No.

Appendix-"D-2"

PROFORMA FOR VERIFICATION OF FOREIGN OEM AUTHORISING INDIAN FIRM AS AUTHORISED DEALER/ AUTHORISED STOCKIST/ AUTHORISED MRO FIRM/ PRODUCTION UNDER TOT/ LICENSE

1. Name of the Indian Firm

Complete Postal address

Telephone Number	Fax Number

E Mail ID	Website

2. Details of the Foreign OEM **(to be verified by respective country Indian AA/DA)**

	Name of OEM	Address of OEM	Fleets/Sys Supported	OEM Support is for Spares Supply/MRO/Production	Details of Major Assy/Range of items	OEM Certificate No/Date/Valid upto (Attach copy of this cert
(a)						
(b)						
(c)						

3. Details of Reps/Executives of OEM with their Phone/Mobile numbers/E-mail IDs

	Name of OEM	Raps/Executive Name	Contact Details	e-mail ID
(a)				
(b)				
(c)				

4. Please forward the Certificate certifying that OEM is a manufacturer & range of spares.

5. Details of OEM infrastructure

6. Number of OEM employees & their details

7. Verification of OEM

	Name of OEM	OEM Certificate verification	OEM Capacity Verification	OEM Capacity verification to support Range/Sub Assemblies/ Spares
(a)				
(b)				
(c)				

8. Any other relevant into in support of registration/registration revalidation of the Indian firm

(Name of Authorized Signatory)

Designation Company Rubber Seal with Date Telephone /Mobile No.

Appendix –"E"

INFORMATION FROM VENDOR FOR CAPACITY VERIFICATION AGAINST TENDER

(To be filled and submitted by vendor seeking capacity verification against Tender Enquiry. This information will be treated as CONFIDENTIAL)

1	Name of the firm	:	
2	Address		
	(a) Registered Office with Telephone No / FAX / E-mail	:	
	(b) Factory /works with Telephone No / FAX / E-mail (if any)	:	
3	Year of establishment/ incorporation	:	
4	a) Category of industry	:	Large/ Medium/ Small/ Micro Scale
	b) Nature of the company	:	Proprietary/ Partnership Private limited/ Public Limited
5	Nature of Business	:	(a) Design, Development & Production (b) Development & Production (c) Production (d) Major Repair Overhaul (e) Authorised Dealer/Stockist (f) Any Other
6	Details of products/services currently dealt with(Attach details/literature)	:	
7	Details of Defence items for which assessment/registration is desired		
	a) Involving design and development	:	
	b) Involving Indigenisation	:	
	c) Production/Processing	:	
	d) Any other type of item/service (List out the items with Defence cat/part no (if any) and	:	

	specification/ Drawing no of each. Attach details on separate sheets for each sub-para if required)				
8	Category / Type and Range/ Capacity of Plant & machinery installed (give details on a separate sheet if required)	:			
9	Do you have capability for items indicated against 7 above in respect of				
	a) Design and development	:	Yes/No		
	b) Manufacturing the items	:	Yes/No		
	c) Quality control/Testing facilities	:	Yes/No		
10	Give details of manpower employed on your payroll (please provide Orgn Chart)		No.	Qualification	Reg No of ESI
	a) Technical/Supervisory	:			
	b) Skilled workers (Permanent)	:			
	c) Skilled workers (Casual)	:			
	d) Unskilled workers (Permanent)	:			
	e) Administration Department	:			
	f) Quality Control Department	:			
11	Turnover during last three financial years separately (attach audited balance sheets and profit and loss statement)	:	Year	Turnover in Rs.	
12	Details of registration with other Government agencies (Attach copies of registration letters/ certificates)		Year	Registration No	
	a) Other Govt. Department	:			
	b) Other Defence department	:			
	c) Any other	:			

	d) Membership of other industrial association such as FICCI/ CII/ ASSOCHAM etc.	:	
	(e) Details of debarment (if any)		
13	Have you ever applied to DGAQA organisation for registration earlier (If yes provide earlier Registration certificate no.)	:	Yes/No
14	Details of available quality policy & Quality plan in manufacture of products for which assessment is sought for	:	
15	If yes, give following details		
	a) Authority to whom applied	:	
	b) Date	:	
	c) Item applied for	:	
	d) Result of application with details viz Registration No if registered and reasons if not registered	:	
16	Any other relevant information e.g. approval of Quality by any other agency (BIS), ISO-9001 certification, Export Quality certification, Membership details of FICCI/ASSOCHAM / CII/AIMO & other industrial organisations etc.	:	

Seal of the firm

Signature
Date: Name
Designation

NOTE: - Require NOC from concerned agency if store under Appendix- “H” & “I” category.

Appendix-"F"

CAPACITY ASSESSMENT REPORT OF VENDOR (AGAINST TENDER ENQUIRY)

PART – I

1	Name of Indenter's	:	
2	Name of Firm/Vendor	:	
3	Type of Industry	:	SSI / LSI / MSI / MSME
4	Sponsor's reference letter No. Date	:	
4.1	Date of receipt of PAI of vendor/firm		
4.2	Date of visit of assessment team to vendor/firm		
	a) Registered Office	:	
	b) Factory	:	
5	Address & other details of the following	:	
5.1	Regd. Office address with Pin-code	:	
	Phone No. with STD code	:	
	Mobile No. /FAX Number	:	
	E-mail	:	
5.2	Factory/Works address with PIN-code	:	
	Phone No. With STD Code	:	
	Mobile No. /FAX Number	:	
	E-mail	:	
6	Details & Comments of assessment team on following aspects		
6.1	Nature of business & details of products currently dealt with	:	
6.2	Factory area (in Sq. Meters) & its adequacy		
	a) Production	:	
	b) Storage of raw material	:	

c) Bonded room facility :

6.3 Manpower employed

a) Technical/Supervisory :
b) Skilled Worker (Permanent) :
c) Skilled Worker (Casual) :
d) Administration :

6.4 Availability status and adequacy of essential and desirable plant & machinery :

6.5 Availability & use of unconventional/special purpose machine (if Applicable) :

6.6 Availability of tool room facility :

6.7 Adequacy & serviceability of metrology instruments :

6.8 Availability, status and adequacy of essential & desirable in-house test facilities :

6.9 Adequacy of inspection, quality control of incoming raw materials, components & finished products :

6.10 Assistance if any availed from central or any other agency for testing :

6.11 Calibration status of in house test equipment & instruments :

6.12 Whether basis of estimated monthly production is correctly worked out :

6.13 Status of management & labour relation likely problems & hold up (if any) :

6.14 Vendor/Firm's capability to prepare & supply literatures of store/product :

Recommendations

It is certified that the assessment team has understood all the requirements such as drawings/ specifications of equipment/stores for which capacity verification of vendor/firm against tender enquiry was undertaken including the production process, quality control of raw material, end product that are required to be provided by the

vendor/firm to ensure manufacture and supply of quality equipment/stores. The guidelines issued by HQ DGAQA were kept in view while assessing the vendor/firm. Having visited the vendor and verified various information in documents attached in Pre Assessment Information the supplier is recommended for the following equipment/stores

Sl. No.	Nomenclature of equipment/stores for which capacity verification was carried out	Recommended monthly production capacity(MPC)	Lead time from the date of placement of order	Factors affecting lead time	Remarks
1	2	3	4	5	6

Note: Calculation details in support of MPC attached

O i/c of Team Member 1 Member 2 Member 3

Signature

Name in Capital

Designation

Date

PART – II

OBSERVATION & APPROVAL OF THE CONCERNED GROUP HEAD

I have gone through the complete documents of vendor/firm assessment including the recommendations. The vendor/firm: **M/s**_____is approved for the following equipment/ stores.

Sl. No.	Nomenclature of equipment/stores for which assessment was carried out	Recommended monthly production capacity(MPC)	Lead time from the date of placement of order	Remarks
1	2	3	4	6

Signature

Place: Name
Date: Designation

Appendix-"G"

DIRECTORATE GENERAL OF AERONAUTICAL QUALITY ASSURANCE

MINISTRY OF DEFENCE, GOVERNMENT OF INDIA

REGISTRATION CERTIFICATE

This is to certify that---------- (CCP portal Regd. Mail ID –----------) after verification of its capacity / capability is registered vide Registration No. ----------and is found capable of **Design, Development & Production / Development & Production / Production / Major, Repair & Overhaul /Authorised dealer / Stockist of foreign OEM** of the following defence aviation stores. (*Strike out which is not applicable)

Sl. No.	Nomenclature and details of the store (s).	Specifications

2. No of items for which registered:
3. Category of the vendor:
4. Registration No. :
5. This certificate is valid up to:
6. This certificate is issued subject to conditions indicated overleaf.
7. This certificate does not guarantee to get RMSO/PO.

Place:
Date:

Approving Authority on behalf of
DGAQA Ministry of Defence

(www.dgaeroqa.gov.in/e-mail < hq.dgaqa@nic.in>)

Appendix-"H"

LIST OF PROJECTS REQUIRING ENVIRONMENTAL CLEARANCE FROM THE CENTRAL GOVERNMENT

1. Nuclear Power and related projects such as Heavy water Plants, nuclear fuel complex, rare earths.
2. River valley projects including hydel power, major irrigation and their combination including flood control.
3. Ports, Harbors, Airports (except minor ports and harbors).
4. Petroleum Refineries including crude and product pipelines.
5. Chemical Fertilizers (Nitrogenous and Phosphatic other than single superphospate).
6. Pesticides (Technical).
7. Petrochemical complexes (Both Olefinic and Aromatic) and Petro-chemical intermediates such as DMT, Carprolactam, LAB etc. and production of basic plastics such as LDPE, HDPE, PP, PVC.
8. Bulk drugs and Pharmaceuticals.
9. Exploration for oil and gas and their production transportation and storage.
10. Synthetic Rubber.
11. Asbestos and Asbestos products.
12. Hydrocyanic acid and its derivatives.
13. Primary metallurgical industries (such as production of Iron and Steel, Aluminum, Copper, Zinc, Lead and Ferro Alloys).
14. Chlor-alkali industry.
15. Integrated paint complex including manufacture of resins and basic raw materials required in the manufacture of paints.
16. Viscose staple fiber and filament yarn.
17. Storage batteries integrated with manufacture of oxides of lead and lead antimony alloy.
18. All tourism projects between 200m-500 meters of High tide line or at locations with and elevation of more than 1000 meters with investment of more than Rs. 5 crores.
19. Thermal Power plants.
20. Mining projects (major minerals) with leases more than 5 hectares.
21. Highway projects.
22. Tarred Roads in Himalayas and/or Forest areas.
23. Distilleries.
24. Raw skins and hides.
25. Pulp, paper and newsprint.
26. Dyes.
27. Cement
28. Foundries (individual)
29. Electroplating.

CATEGORY OF LARGE SCALE INDUSTRY REQUIRING NOC from POLLUTION CONTROL BOARD

1. Fertilizer (Nitrogen/Phosphate)
2. Sugar
3. Cement
4. Fermentation and distillery
5. Aluminum
6. Petrochemicals
7. Thermal power
8. Oil refinery
9. Sulphuric acid
10. Tanneries
11. Copper smelter
12. Zinc smelter
13. Iron and steel
14. Pulp and paper
15. Dye and dye intermediates
16. Pesticide manufacturing and formulation
17. Basic Drugs and Pharmaceuticals
18. Textile industries (cotton, woolen, synthetics, including bleaching and dyeing process)
19. Manufacture of edible vegetable oil and non edible oil.
20. Manufacture of glass and glass products, involving use of fossil and liquid fuel.
21. Foundries
22. Electroplating Industries and galvanizing process industries
23. Ceramic industry.
24. Synthetic rubber
25. Chlorinated Hydro carbon (including paraffin wax)
26. Manufacture of acid and alkaline
27. Chemical industries (including manufacture chlorine, bromine, fluorine, and its compound).

PROCEDURE FOR
„NCAGE' REGISTRATION ON DoS WEBSITE

1. Instructions for Obtaining NCAGE

For online registration and NCAGE allotment, following options are available:-

Method 1 : Through DOS website (Recommended for Speedy action).

Method 2 : Through NSPA website.

Given below are the steps which take you through the process of registration. Please follow procedure given in each of the following steps to complete your registration process.

METHOD 1

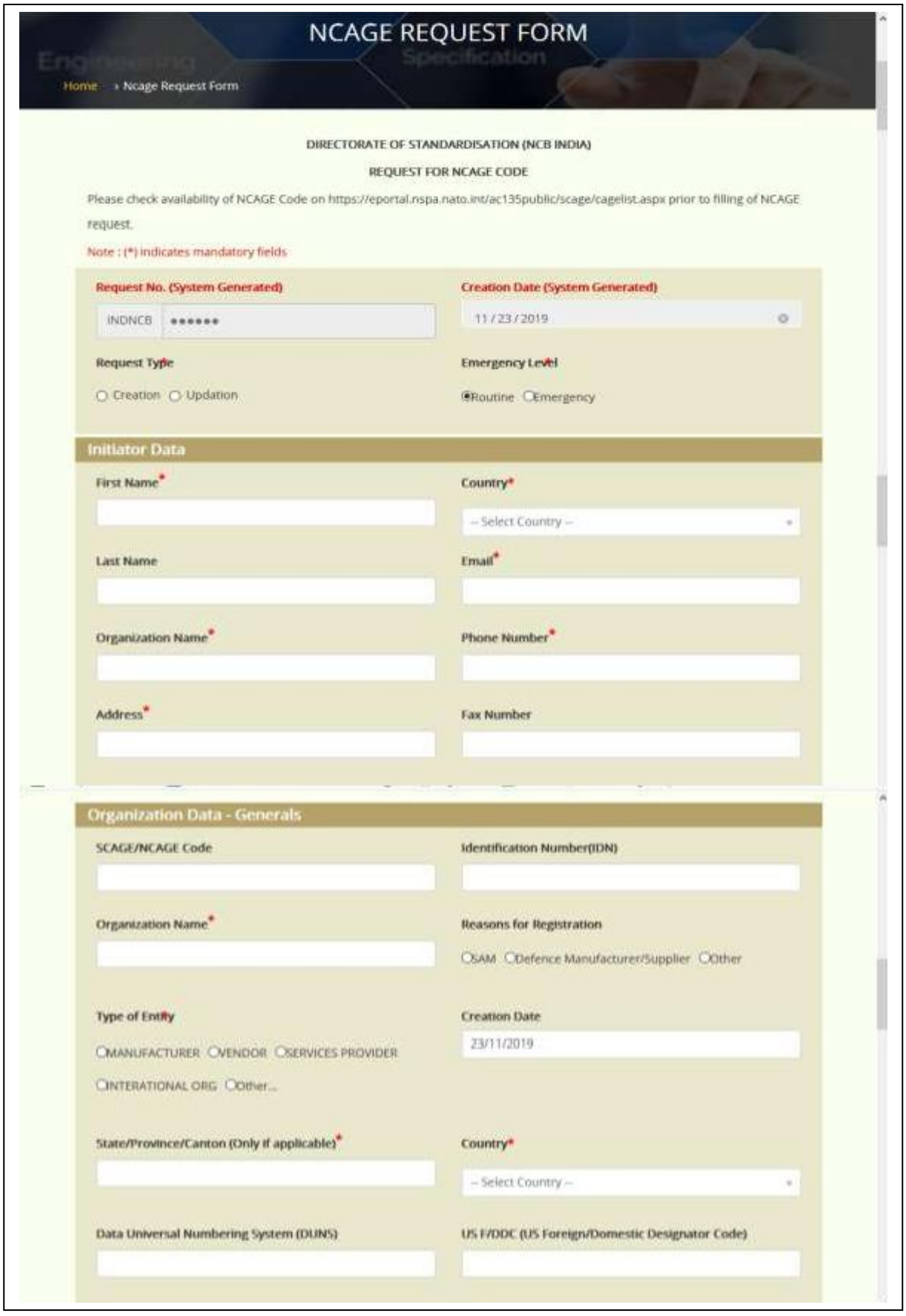
Step 1. Go to the URL https://ddpdos.gov.in/. You will get main page of Directorate of Stanadardisation, Department of Defence Production. Select menu „NCB INDIA", from drop down go to „SERVICES" and click on „NCAGE Online'. A blank NCAGE request form appears.

Step 2. Scanned copies (any two) of the following documents required to be kept ready before commencing the registration process:-

- ***GST (if applicable)***
- ***PAN (Mandatory)***
- ***Corporate Identification Number (CIN) (if available)***
- ***Udyog Aadhar (if Available)***
- ***Factory Licence/ Electricity/ Bank Passbook/Telephone Bill (Address Proof)***

(No proof required for Govt Organisations. Recommendation of Head of Unit/ Organisation is sufficient)

Steps 3. Fill up the request form. Field marked with astrix (*) are mandatory.



NCAGE REQUEST FORM

Home › Ncage Request Form

DIRECTORATE OF STANDARDISATION (NCB INDIA)

REQUEST FOR NCAGE CODE

Please check availability of NCAGE Code on https://eportal.nspa.nato.int/ac135public/scage/cagelist.aspx prior to filling of NCAGE request.

Note : (*) indicates mandatory fields

Request No. (System Generated)

INDNCB ••••••

Creation Date (System Generated)

11 / 23 / 2019

Request Type

○ Creation ○ Updation

Emergency Level

◉Routine ○Emergency

Initiator Data

First Name*

Country*

-- Select Country --

Last Name

Email*

Organization Name*

Phone Number*

Address*

Fax Number

Organization Data - Generals

SCAGE/NCAGE Code

Identification Number(IDN)

Organization Name*

Reasons for Registration

○SAM ○Defence Manufacturer/Supplier ○Other

Type of Entity

○MANUFACTURER ○VENDOR ○SERVICES PROVIDER

○INTERATIONAL ORG ○Other...

Creation Date

23/11/2019

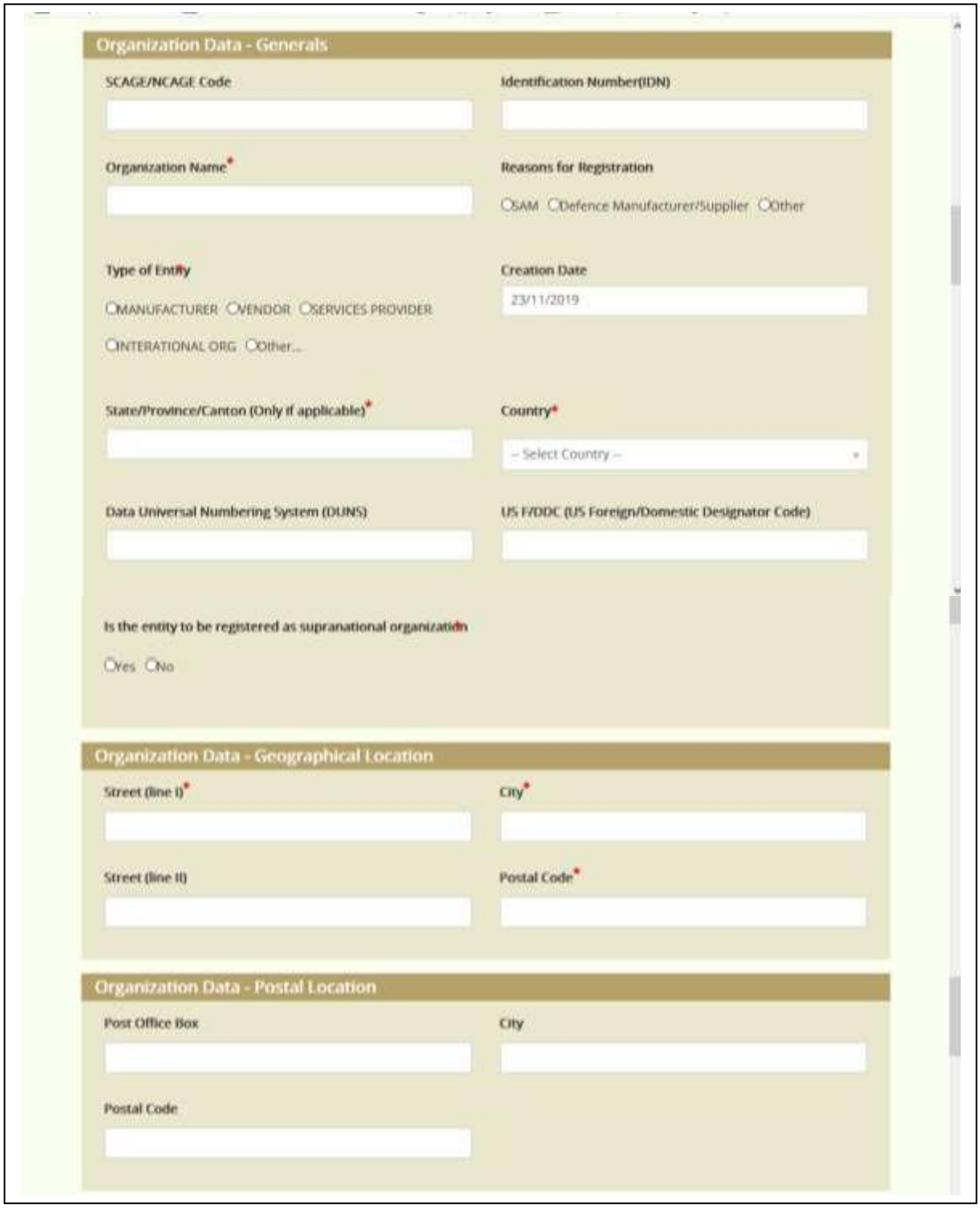
State/Province/Canton (Only if applicable)*

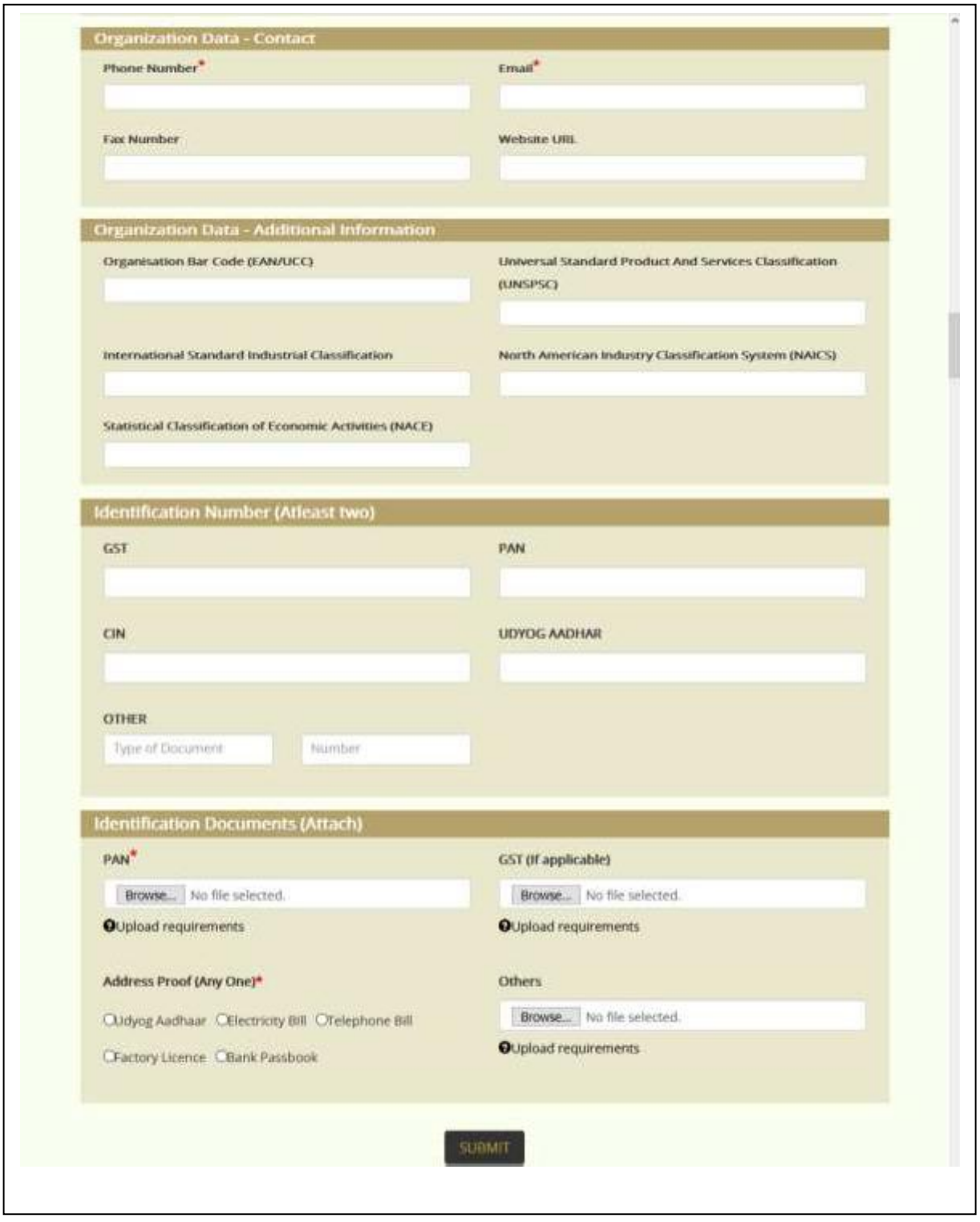
Country*

-- Select Country --

Data Universal Numbering System (DUNS)

US F/DDC (US Foreign/Domestic Designator Code)


Organization Data - Generals
SCAGE/NCAGE Code
Identification Number(IDN)
Organization Name*
Reasons for Registration
SAM Defence Manufacturer/Supplier Other
Type of Entity
MANUFACTURER VENDOR SERVICES PROVIDER
INTERATIONAL ORG Other...
Creation Date
23/11/2019
State/Province/Canton (Only if applicable)*
Country*
-- Select Country --
Data Universal Numbering System (DUNS)
US F/DDC (US Foreign/Domestic Designator Code)
Is the entity to be registered as supranational organization
Yes No
Organization Data - Geographical Location
Street (line I)*
City*
Street (line II)
Postal Code*
Organization Data - Postal Location
Post Office Box
City
Postal Code

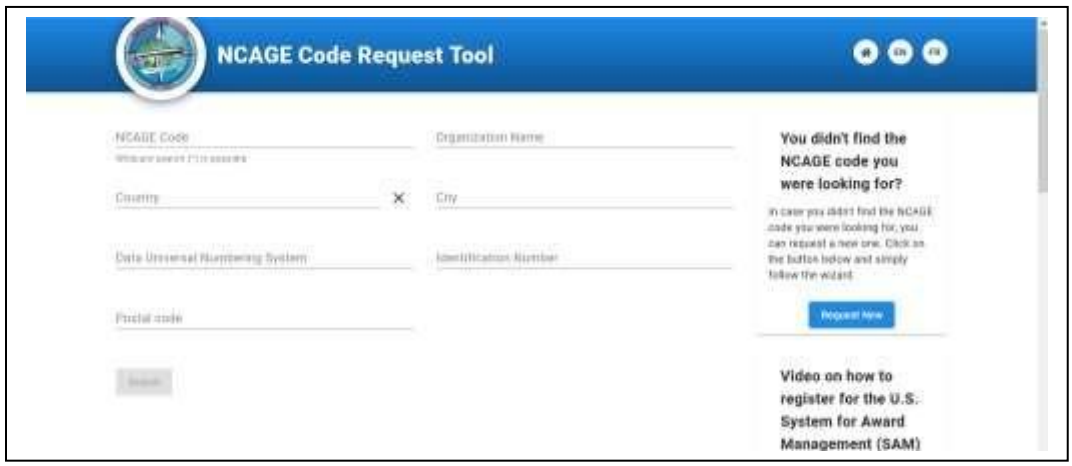


Step 4.Upload the scanned copies of at least two documents for verification and identification purposes.

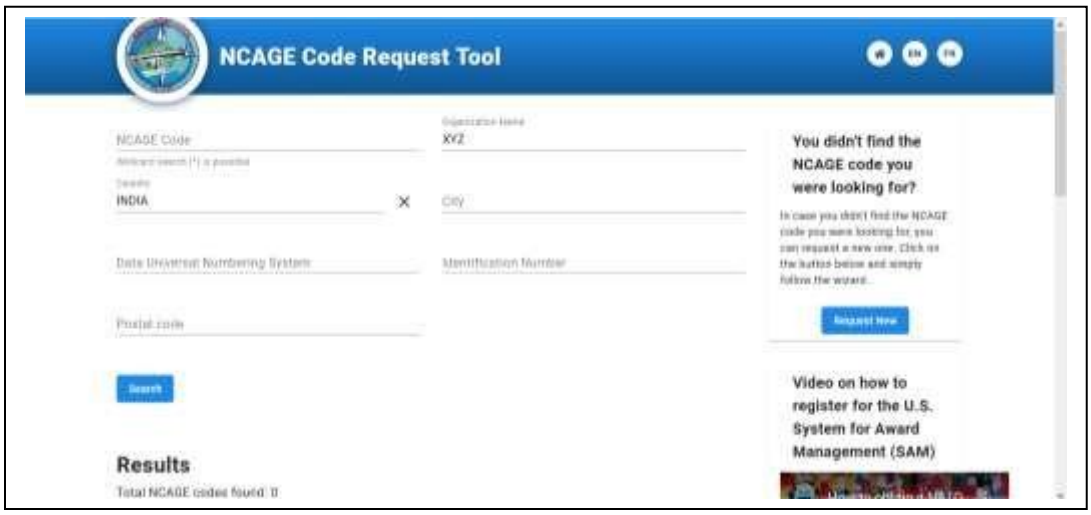
Step 5.Review/Recheck your filled request form and submit. Please note down the Request ID generated for future reference.

METHOD 2

. **Step 1**. Go to the URL- https://eportal.nspa.nato.int/AC135Public/CageTool. A screen below appears.

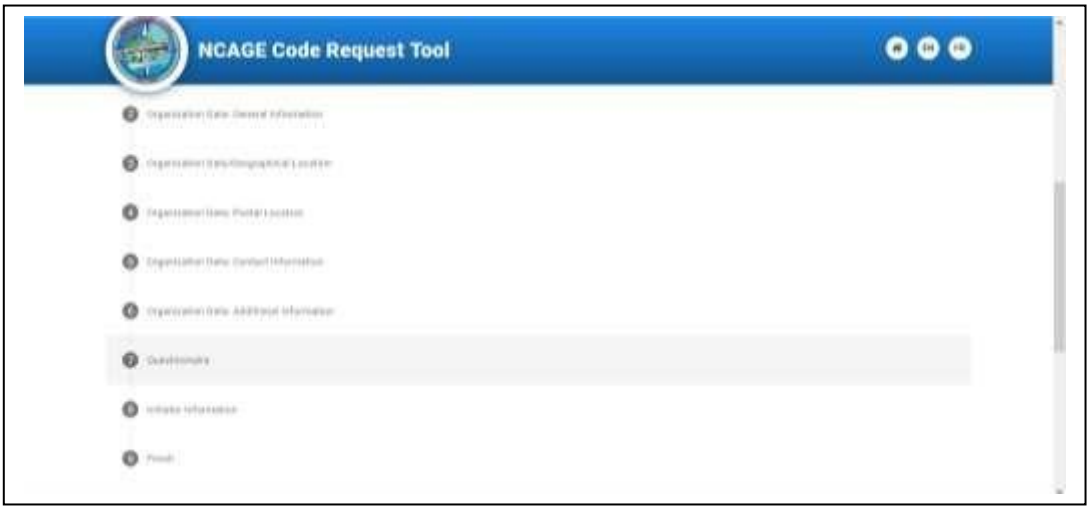


Step 2. Enter the details of your organization name (Example – "XYZ" and enter India in the Country field, after entering the details of Organization name and country. You will see the following screen. If result appears zero (0). A button for "Request New" gets activated on the right side of the page. Click for new request.



Step 3. Fill up the form

Step 4. Review/Recheck your form and submit. Please note down the Request ID generated for future reference.



Point of Contact:-
Email ID – oicncbindia.defstand@gov.in
Phone No. – 011-23043226/222

URLs for the followings:-

For applying NCAGE Code (Online) - https://ddpdos.gov.in/form/ncage-form
For Applying NCAGE Code (Offline) - https://ddpdos.gov.in/ncb-india/services/ncage-offline