JSG 015:2021
(Fifth Revision)

भारत सरकार
GOVERNMENT OF INDIA
रक्षा मंत्रालय
MINISTRY OF DEFENCE

संयुक्त सेवा मार्गदर्शिका
JOINT SERVICES GUIDE

ON

REGISTRATION OF MANUFACTURER FOR DEFENCE

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TABLE OF CONTENTS

APPENDICES

0. Foreword

0.1 This Joint Services Guide (JSG) lays down the guidelines for Registration of Manufacturer(s) for defence stores only.

0.2 The specified quality and timely delivery of a manufactured product can be seriously compromised by “Indifferent” quality of bought out items, however trivial and whatever be the source, inadequate plant and machinery, improper test and measurement instruments, non availability of skilled manpower and lack of overall Quality Management System. It is, therefore, essential that items are procured only from those manufacturers who have demonstrated their capability to supply items of desired quality. A manufacturer must possess all the pre requisites of good manufacturing practices to produce a quality product.

0.3 This guide has been prepared by committee of reps of various stake holders including Services, DGQA &DGAQA, and issued by Directorate of Standardisation on the authority of Department of Defence Production, Ministry of Defence.

0.4 This JSG 015:2021 (Fifth Revision)

(a) was revised in year 1989, 1995, 2007 and 2018.
(b) is a revision of JSG 015:2018 (Fourth Revision) and supersedes the same.

0.5 With the increasing emphasis on quality and the emergence of the Quality Management System as envisaged in the ISO 9001:2015/ISO 14000 and based on the experience gained since the last revision of the JSG in 2018, there was a need to review the existing provisions of the system afresh to meet the current requirements.

0.6 There was also a need to re-examine the existing system to monitor the performance of manufacturers. This aspect has been amplified in this guide. Accountability factor for all concerned involved in registration has been brought out in this guide. The procedure for Registration has been simplified/ streamlined. Other factors like multi discipline registration of manufacturers have also been covered. This guide supersedes the JSG 015:2018. However, all registration of manufacturer(s) done under JSG 015:2018 remain valid. Registration / Renewal of Registration of manufacturer(s) henceforth will be carried out as per the guidelines contained herein and policy amendments, if any, issued from time to time.

0.7 This JSG includes following procedures for registration of Manufacturer with Defence:-

a) General Registration
b) Registration against RFP
c) Renewal of Registration
d) NCAGE Registration

0.8 This being a general document, lays down only the procedural guidelines to clarify the registration procedure based on the audit of the documents and visit of the Registration team to verify the available Quality Management System, product specific infrastructure and financial standing of the manufacturer intending to get registered as defence manufacturer. This JSG is an enabling document to serve as a guide to be followed by all organisations under MoD as per the stipulations of the DPM 2009 and revision thereof. To avoid conflict in interpretation of the various regulations governing registration activity, the sequence of hierarchy will be GFR > DPM > JSG.

0.9 This JSG contains 24 Paragraphs (25 pages) and 45 pages of Appendices from Appendix 'A' to Appendix 'M'.

0.10 Any clarification, enquiry and suggestions for improvement of this guide or other questions arising as to the interpretation of the guidelines given in the guide may be addressed to:

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0.11 Indian Standard (IS) are available free of cost for registered users on Directorate of Standardisation Website: ***www.ddpdos.gov.in*.**

0.12 Directorate of Standardisation Website - All the approved JSSs/JSGs are available on the Directorate of Standardisation website ***www.ddpdos.gov.in.*** under drop down menu "Standards -> Free Standards.

1. Introduction

1.1 This guide lays down the General Procedure for grant of Registration Certificate, renewal of registration certificate and NCAGE registration of manufacturer.

1.2 Registration of manufacturing units is aimed at identifying a comprehensive production infrastructure for the defence of the nation. Over the years, wide range of production facilities with the help of Defence Public Sector Undertakings, Public Sector Undertakings and private firms have immensely contributed towards making our country self reliant for producing Defence Stores.

1.3 It is of Paramount importance that defence procurement agencies and the Quality Assurance organisation should have an arrangement of technical evaluation of the potential manufacturers prior to placement of any contract/Supply Order (SO). It is therefore necessary that competency of manufacturers be evaluated in order to have built in quality and reliability in the Defence products as per Qualitative Requirements (QRs) of Defence Forces.

1.4 Joint Services Guide (JSG) for “Registration of Manufacturer(s) for Defence” is a vital document in assessment of manufacturers in the entire chain of realising the specified product. It brings out a comprehensive methodical approach that has all the characters of quality and reliability factors to prove that the store is worthy of specified standards of defence requirements.

1.5 Proper knowledge of source and identification of suitable manufacturers capable of meeting the product quality required by the defence departments, particularly when indented by the defence procurement agencies, the above factors become vital for ensuring procurement of quality goods.

1.6 Registration of a Manufacturer is necessary for the following purposes:

a) To register manufacturers who have been supplying/have the capability to manufacture the specified store for Defence organisations and have the Quality Management System (QMS) & finances in place to ensure specified stores can be supplied within the delivery period of the contract.

b) To renew already registered manufacturers who have been participating in the Defence Procurement process.

c) To intimate OPA, the registration status of manufacturers to enable procurement action.

1.7 This document lays down general guidelines for carrying out Registration of manufacturer for defence and grading them on their assessed capabilities for initial registration and for its periodical renewal. This document also briefly covers the guidelines for norms and procedure for removal of a manufacturer's name from compendium of registered manufacturers and suspension/banning of business dealings with the manufacturer.

1.8 A thorough knowledge of the requirements of Quality Systems of production is necessary. In particular, technical expertise is required in the following areas to carry out registration of manufacturer(s). These aspects are necessarily covered in an ISO 9001:2015 certified manufacturer. The major attributes are:

a) **Quality of Designing**: Material, Drawings, Performance Reliability and Design evaluation reports.

b) **Quality of Production Process**: Process documents, Machinery & Control limitation, traceability, internal Quality Audit reports.

c) **Production Quality Control**: Systematic quality checks, completeness, adequacy, documentation and Quality Control of their sub-contractors.

d) **Quality of Material**: Incoming raw material properties, systematic testing, maintenance of records & treatment of rejected material.

e) **Quality of End Product**: Evaluation of end product quality, Storage Life Cycle, systematic records, treatment of unacceptable product.

1.9 For uniformity in Manufacturer(s) Registration, the competent authority, as given in Para 5 or his authorised representative, will issue specific norms/guidelines for products/ technologies of their responsibility and the specific quality systems requirement, if any.

2. Reference Documents Pertaining to JSG

a)	ISO 9000 : 2015	-	Quality Management System. (Fundamentals & Vocabulary)
b)	ISO 9001 : 2015	-	Quality Management System- Requirements.
c)	AS 9100 :2016	-	Aerospace and Defence.
d)	ISO 13485	-	Medical Devices.
e)	IATF 16949	-	Automotive/ IMS Requirements.
f)	IS 12040: 2016	-	Guidelines for Development of Manufacturer Rating System.
g)	ISO 14001: 2015	-	Environmental Mgt System Requirements.

3. Definitions

3.1 Quality Management System - A Quality Management System (QMS) is a formalized system that documents processes, procedures, and responsibilities for achieving quality policies and objectives. A QMS helps to coordinate and direct an organisation's activities to meet customer and regulatory requirements and improve its effectiveness and efficiency on a continuous basis.

3.2 Quality Policy - In quality management system, a quality policy is a document developed by management to express the directive of the top management with respect to quality.

3.3 Quality Assurance - Quality assurance is an organisation's guarantee that the product or service it offers meets the accepted quality standards. It is achieved by identifying what "quality" means in context; specifying methods by which its presence can be ensured; and specifying ways in which it can be measured to ensure conformance.

3.4 Specification - A detailed description of technical requirements, usually with specific acceptance criteria, stated in terms suitable to form the basis for the actual design, development and production processes of an item having the qualities specified in the operational characteristics. It implies the document that prescribes the requirements with which the product or service has to perform.

3.5 Non-Conformity - In quality management system, a non-conformity (also known as a defect) is a deviation from a stated specification, a standard, or an expectation. Non-conformities are classified as either critical, major, or minor.

3.6 Manufacturer Grading - Manufacturer Grading is the classification allotted to manufacturers based on their Quality systems, documentation and their implementation, Research and Development facilities, Plant and Machinery, Quality Control facilities and production capacity as assessed.

3.7 Firms having Joint Venture - For `Buy (Global)' category procurements, where offset is applicable, if an Indian firm including a Joint Venture between an Indian Company and its foreign partner is bidding for the proposal and is offering an indigenously developed product, then for such a case offset would not be applicable. For applicability of this clause, indigenous content in the product has to be a minimum of 50%. In case the indigenous content in the product is less than 50%, the Indian firm or the Joint Venture has to ensure that the offset obligations are fulfilled on the foreign exchange component of the contracted value.

3.8 Registration Authority - DGQA / DGAQA / DGNAI is the Registering Authority of the vendor registration for supply of concerned Defence Stores as per the guidelines laid down.

3.9 General Registration - General Registration is carried out for manufacturing firms who apply for registration of any number of stores/items. This is an independent activity not related to any RFP.

3.10 Registration against RFP - Registration against RFP is carried out for specific stores/ items for which a manufacturer has responded to a RFP issued.

Note - The term CA/CV/assessment used in DPM 2009 and its supplement of year 2010 is being referred (for the purpose of this document only) as General Registration and Registration against RFP.

4. Registration of Manufacturer

4.1 **General Registration** - A manufacturer, with minimum two years (preceding years from the date of applying) of experience in the industry, who desires to participate in defence supplies, may approach concerned Registration Authority to get registered with defence. For general registration the firm has to apply on **Appendix 'A'**, along with all relevant documents (refer **Appendix 'B'** for checklist) and applicable assessment fee. This may be undertaken for any number of items/stores for which registration is sought by the manufacturers. The initial registration will be valid for a period of 5 years. DPIIT (Department for Promotion of Industry and Internal Trade) registered Start-ups having adequate plant & machinery 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.

4.2 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.

4.3 Registration Against RFP/TE - Registration against RFP may be taken up with concerned Registration Authority by manufacturer who is not registered for specific item(s) mentioned in the RFP issued by OPA. Registration certificate will be issued only for the specific product mentioned in the RFP for which manufacturer has applied.

4.4 For registration against RFP, the firm has to apply on **Appendix 'A'**, along with all relevant documents (refer Appendix 'K' for checklist) and applicable

assessment fee. The registration status of such firms, once found successful, will be as follows:

(a) **For firms already having General Registration** - The item for which the assessment against RFP/ TE has been carried out and the same has been recommended, will be added as additional item in the existing Registration Certificate. Validity of this registration will be as per the original certificate.

(b) In case of un-registered firm, a Registration Certificate valid for five years will be issued.

(c) **For firms already having registration against RFP/TE** – The item(s) for which the assessment against another RFP/TE/addition of item has been carried out and the same has been approved, will be added as additional item in the existing Registration Certificate. Validity of this registration will be as per the original certificate.

4.5 Registration of Manufacturer for Items of Multi-discipline - Registration of manufacturers for items of Multi Discipline may be undertaken as follows:

a) End Store AsHSP will be considered as Principal AHSP and all other AsHSP as sub AsHSP.

b) After satisfactory scrutiny of the documents by concerned AHSP, the composite team will visit the manufacturer on date fixed and assess the items corresponding to their discipline and seek queries/clarification directly from the manufacturer's rep designated for the purpose. Manufacturer's rep for coordination of Registration process should be fixed in advance by manufacturer so that he is available full time with the Registration team on the date of visit. Detailed guidelines for registration of manufacturers for items of Multi Discipline are given in **Appendix 'C'**

c) Controller, Principle AHSP will issue ~~a~~ single Registration Certificate to the manufacturer, based on recommendation of BOO.

5. Competent Authorities - The Registration, Renewal and Removal from the compendium on various grounds involving fraud/malpractice/non performance is required to be carried out by Registration Authority as per the guidelines laid down in this document. The designated competent authorities and their responsibilities would be notified with the approval of Head of the Organisation of the respective Registering Authority (DGQA/DGAQA/DGNAI).

5.1 For Registration & Renewal

a) Initiation for Registration:

(i) Gen Registration : Manufacturer to approach

		Area SQAE or Equivalent Authority
(ii) Registration against RFP	:	Manufacturer on instruction from Procurement Authy as per RFP.
b) Initiation of Renewal	:	Manufacturer based on criteria as per Para 9.
c) Assessment & Recommendations:		SQAE/CQAE/Equivalent Authority as the case may be.
d) Accepting Authority	:	AHSP/Equivalent responsible authority
e) Review and appeal against initial registration	:	Next higher Authority (e.g. ADG for DGQA, DGAQA and equivalent)

5.2 For Supplier Rating

a) Assessment	:	SQAE or Equivalent Authority
b) Recommendation & confirmation:		Accepting Authority

5.3 For Removal - For removal of manufacturers from compendium of registered manufacturers on various grounds as per para 22.

a) Initiation	:	HoE of concerned SQAE or Equivalent Authority
b) Recommendation	:	Next higher Authority (e.g. ADG for DGQA, DGAQA and equivalent)
c) Approving authority	:	Head of Organisation

5.4 In routine cases such as non-renewal of previous registration, manufacturing units closed down for any reason, designated concerned authority viz ADGQA/ equivalent may order for removal of such manufacturer from compendium.

5.5 Whenever a firm is removed on various grounds involving fraud/malpractice/non-performance from the list of approved manufacturer or from the compendium, its registration stands cancelled. Such removal must be communicated to all other registering and procuring agencies so that OPA are aware of their registration status.

5.6 Competent authority for re-instatement of manufacturer in compendium of registered manufacturers will be approving authority for removal**.**

6. Eligibility Criteria- A manufacturer, integrator or a firm in joint venture with minimum two years (preceding years from the date of applying) experience of manufacturing specified/similar store or equipment, with production line still functional to produce the said item, will be eligible for registration. 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 as potential supplier.

6.1 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.

6.2 Special Eligibility

a) 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.

b) 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'.**

6.3. Value addition - A product/ item not manufactured by a manufacturer but taken for processing in a finished product by means of process or design is said to be a value addition. The principle of 'value addition' will be applied to decide whether they can be assessed for Registration as Defence Manufacturer in following cases:-

(a) Fabricators of Ferrous/Non ferrous sheet metals and processors of grey cloth into finished fabrics may be considered as manufacturer meriting Registration since these involve value addition.

(b) Integration / final finish / assembly of hardware / software to produce sub-system and interfacing with the main system.

(c) With own designed hardware, integration of software to main system etc.

7. Procedure for Registration - Manufacturers fulfilling the eligibility criteria as per Para 6 may be considered for registration.

a) ***Step No. 1****:* Manufacturer may procure a copy of this JSG from addressee given in this guide at para 0.10.

b) ***Step No. 2****:* Application form for Registration namely Manufacturer's Application for Registration (MAR) at **Appendix 'A'** may be obtained from nearest competent authority. Alternatively, application form may be downloaded from the DGQA website (www.dgqadefence.gov.in). **Appendix 'A'** along with all requisite documents should be submitted online to AHSP and Area SQAE or Equivalent, followed by hard copy. In case of registration against TE/ RFP Appendix 'A' should be submitted strictly by the date as intimated by the OPA.

c) ***Step No. 3****:*

i) After acceptance of **Appendix 'A'**, and satisfactory scrutiny of the same by concerned AHSP & SQAE/Equivalent, designated AHSP will nominate an assessment team comprising of members from AHSP and concerned SQAE who will visit the manufacturer's premises/facility to verify the details submitted in the application form and assess the Manufacturer. The Presiding Officer of assessment team will be Group 'A' officer. In case of Registration against RFP, the assessment team leader will be from AHSP.

ii) The assessment team will prepare the Registration report as per **Appendix 'E' & 'F'** of JSG and forward the same to the concerned authority for their vetting and approval. On approval, control number of Registration will be issued by SDCC.

iii) Registration certificate will be awarded in both the cases of Registration i.e. General Registration and Registration against RFP. Copy of Registration certificate will be given to all concerned as per para 19.

8. Registration of Additional Items - Application for registration of additional items from existing registered manufacturers will be entertained. The inclusion of additional items will be based on the assessment by the assessment team especially in case the item involves a different manufacturing technology, process, category or group of items registered. In such cases a visit by assessment team may be needed. Registration fee will be charged every time the manufacturer requests for registration of additional items where a visit is involved. Registration of additional item once approved will be added as additional item in the existing Registration Certificate. Validity of this registration will be as per original Registration Certificate. Applications for general registration of additional items from existing manufacturers will NOT be entertained earlier than expiry of 6 months from date of last registration/visit.

9. Renewal of Registration

9.1 In case there is no change in MPC, Plant & Machinery and other administrative and technical parameters against which it was previously registered then renewal of registration will be carried out on the basis of self declaration by the firm as per format given in **Appendix 'G'**. The firm's application as per format given in **Appendix 'F'** should reach the AHSP 90 days in advance but not less than 60 days before expiry along with copy of Registration Certificate. In such cases visit of assessment team to firm will not be required and no assessment fee will be charged. However, in case there are any changes then the firm will apply as per format given in **Appendix 'A'.** Assessment visit will be carried out with applicable assessment fee. Renewal of registration will be valid for five years.

9.2 The Manufacturer should have participated in at least one of the tender enquiries in case tender enquiries have been floated to him/published in the media and there is no adverse feedback from the OPA. The concerned SQAE will give feedback on the performance of the firm during valid registration period.

9.3 Registration status of manufacturers who do not apply for renewal prior to expiration of their original registration validity will be deemed lapsed. Renewal of registration is carried out on the basis of manufacturer's declaration as stated in preceding Para. All renewal cases must be presented to AHSP/ Registration Authority by the manufacturer 90 days in advance but not less than 60 days prior to the expiry of previous registration.

9.4 Renewal of registration with or without visit of assessment team to firm's premises will be done only once. Therefore, after a total period of ten years, renewal of registration will be done afresh as per initial registration on **Appendix 'A'** with applicable assessment fee and visit of assessment team to the firm.

9.5 If request for renewal by the firm is not submitted as stated above, the name of manufacturers will be removed from the compendium of registered manufacturers and no requests/representation from the manufacturer will be entertained thereafter. Further, no show cause is required to be issued to the manufacturers in such cases.

9.6 As and when the manufacturer apply at later date, fresh Registration will be carried out as per procedure for registration and Registration fee will be charged as applicable.

10. Validity of Registration During Renewal Process - Where application for renewal has been made by due date, such supplier, will be deemed to be registered till the renewal action is completed.

11. Validity Period of General Registration and Registration Against RFP - Validity period for initial registration in case of General Registration as well as Registration against RFP will be for five (5) years. Renewal of registration will be valid for a period of five (5) years from the date of expiry of originally issued certificate.

12. General Time Frame for Registration - As far as possible, general registration will be completed within 90 days after the receipt of complete set of documents from the intending manufacturers. Registration against RFP will be completed within 45 days after the receipt of complete set of documents from the intending manufacturers. 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.

13. Scrutiny of Registration Report - To ensure timely materialisation of defence supplies of requisite quality, selection of technology, capable and financially sound manufacturer(s) for defence is of paramount importance. It is, therefore, vital that the registration report of the assessment team should be prepared with due care and scrutinized thoroughly by the designated recommending authority before recommendations are made to the Accepting Authority.

14. Responsibility for Carrying Out Manufacturer Registration

14.1 Registration with one registration authority is valid for other registration authority also for registered stores. However, in case of manufacturer is already registered with one registration authority and wants to apply for registration for additional items/ new products or process to a different Registering/ initiating authority, the procedure to be followed for registration will be as per the guidelines given in **Appx 'D'** to this guide. AHSP having most complex and critical items in consideration of the registration list will issue the registration certificate.

14.2 Special Circumstances

14.2.1 The formal procedure for submitting all documents indicating details of technical infrastructure/facilities and the quality system may be modified by the approving authority or his authorised representative in specific cases of leading manufacturers of major products "For example, TATA MOTORS, BHEL, etc supplying to the Defence Forces, where it is desirable to keep such manufacturers in compendium of registered manufacturers.

14.2.2 Registration of such manufacturers may be carried out after deliberations between the recommending authority and suitable officials of the top-level management of the company and assessment of the quality control practices & quality of the product. Before registration, a written commitment will be obtained from the top management of the company to develop, indigenise and manufacture the stores in question as per defence requirement.

14.3 Assessment of Financial Health - While carrying out the manufacturer assessment, apart from verification of technical capability, it is also necessary to assess the financial soundness of the manufacturers to invest and incur expenditure for initial development, raw materials and various other inputs required for execution of defence supplies as per the stipulated delivery schedule. For this purpose, the audited balance sheets and profit and loss statements of the manufacturer for the previous two financial years will be obtained. From these documents, the Registration team will give factual position as under:

a) Sales/Turnover in the last two years and average/year. For this purpose trading account will not be considered and only sales account given in the audited balance sheets will be included.

b) Profit/loss during the past two years.

c) Accumulated losses if any.

d) Net worth of the manufacturer (assets minus liabilities) the average turnover of the manufacturer for the last two years will be taken as the monetary limit up to which order can be placed on the manufacturer and this will be included in the registration report.

e) In case a manufacturer is making losses it should not be assumed that it cannot be considered for registration. Each case will be assessed and examined on its overall merits by the recommending and accepting authorities.

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

14.4 Rejection of Registration - In case it is not possible to register a manufacturer due to deficiencies noticed during assessment, the details of the deficiencies noted will be intimated to the manufacturer as an advice by the recommending authority indicating that the firm may apply for registration afresh within a prescribed time frame. Normally re-assessment of such firms will be taken up only after six months and on payment of fresh Registration charges for initial registration. However, re-assessment 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. To avoid the possibility of manufacturer for a particular item who may have been rejected for registration by one authority seeking to get registered through some other Authority dealing with similar items, it will be incumbent on the part of manufacturer to furnish all information regarding previous Registration results. For such serious acts of

omission and commission by manufacturer, the manufacturer will not be considered for registration with Defence for a period of three years.

15. Categories for Registration - In addition to grading, manufacturers will be registered for various categories depending on their infrastructure and capabilities for one or more type of activities like design, development and production. The manufacturers will, therefore, be categorised as under:

a) Design, Development & Production (DDP) - Manufacturers who have design capability and infrastructure for Research & Development apart from manufacturing capability, covering all requirements of a quality system will be registered for all three capabilities and categorised as “DDP”.

b) Development & Production (DP) - Manufacturers with capability for development and bulk manufacture only but do not have infrastructure for design i.e. conversion of a concept into an engineering design. Accordingly these manufacturers will be categorised as “DP”.

c) Production (P) - All other manufacturers having only production facilities for converting defence design into hardware or end stores or those capable of specified process such as fabrication, casting machining etc. will be categorised as “P”.

16. Registration Fee - For registration of a manufacturer, a fee is chargeable as mentioned below or as amended from time to time. This fee is chargeable from all prospective manufacturers seeking registration including Govt/Semi Govt Undertakings and PSUs. The Firms should deposit GST under reverse charge mechanism directly with GST authorities and produce evidence.. This fee is not refundable and evidence of the same is to be deposited along with **Appx ‘A’.** Details of the fee for two under mentioned categories of manufacturers are given as under:

a) For initial Registration (General Registration and Registration against RFP)

i) Large Scale Industries - Rs. 25,000/- + GST (as applicable)

ii) MSME / Start Ups - Rs. 10,000/- + GST (as applicable)

b) The Registration fee will also be charged in the following contingencies:

i) For additional items involving new technology/design at any stage after initial registration/renewal where a visit is involved. In case of doubt, the decision of registration authority regarding technology being new or otherwise will be final.

ii) Change of location/premises of factory/works of the manufacturer involving fresh visit.

c) No Registration fees will be charged for renewal of Registration if visit of assessment team is not involved.

17. Grading of Manufacturers - All manufacturers 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 assessing team deputed to verify the manufacturer in the report viz. "Manufacturer Quality Survey Report (MQSR)" given at **Appendix 'B'**. Based on the marks obtained in the MQSR, the following grading will be awarded to manufacturers:

	Points	***Grading***	***Remarks***
a)	80% and more marks	I	Fit for Registration
b)	70% to less than 80% marks	II	Fit for Registration & advice to improve
c)	Less than 70% marks	III	Not Fit for Registration

18. Marking System for Grading

18.1 For the purpose of grading, "Manufacturer Quality Survey Report (MQSR)" given at **Appendix 'B'** will be used as a guideline. This MQSR has been framed in two parts as under:

a) Part I. In case of firms which are ISO 9001: 2015 QMS/ AS9100 Aerospace and Defence/ ISO 13485 Medical Devices/ IATF 16949 Automotive/ IMS certified, assessment of Part – I will not be carried out and will be considered as qualified for Part-I. If the firm is not having any of above QMS certification then the assessment will be carried out as per Part-I, as qualifying criteria for assessment of Part-II. Achieving min 70% marks in Part-I is essential for qualification. This part has been formulated to assess the requirement of the Quality Management System as per attributes (clauses) of ISO 9001. 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 manufacturer has to provide details on the capability of 'Design, Development and Production/ Development and Production/Production'.

b) Part II. This part has been framed to assess the product specific technical aspects of the manufacturers, which are not directly related to the quality system. In addition the requirement of manpower, bond room space, inspection facilities and environmental standards etc. of the manufacturer have been suitably incorporated.

18.2 Evaluation Norms for Allotting Marks - Certain clauses/ sub clauses may not be applicable to same/ some types of manufacturers or for some stores/ disciplines. In such cases, these clauses will not be considered for computation. Qualification (min 70%) in Part-I of MSQR will be treated as criteria for assessment of Part-II. Accordingly, percentage of marks of Part-II of the MQSR will be worked out based on the total marks of the applicable elements of the product specific aspects. Firm will be graded based on its score in Part-II.

19. Issue of Registration Certificate - After manufacturer assessment and approval of recommendations by Accepting Authority to register a manufacturer and include it in the compendium of registered manufacturers, a registration certificate as per specimen given at **Appendix 'H'** will be issued by the Registration Authority. Copies of the registration certificates will be endorsed to the following:-

a) The Manufacturer
b) Quality Assurance Authorities (Tech Dte, AHSP & SQAO)
c) Order Placing Authorities
d) Directorate of Standardisation (for processing of NCAGE Registration)

19.1 Contents of Registration Certificate - In response of items for which registration is accorded, the contents of the Registration Certificate should be prepared as per the following guidelines:

a) A combination of similar technology/design and specific description of the stores/processes should be included.

b) The range of dimensions/weight/tolerance limits should be specified where applicable.

c) Specific technology available with manufacturer may be mentioned but may not be limited.

d) In case of processes such as machining, casting, forging etc, a mention may be made of component/sub-assemblies/assemblies (as examples) which the manufacturer is capable of manufacturing.

e) Where possible/necessary, specification and/or drawings, Cat Part No./DCAN/NSN may be indicated.

f) Certificate should include suitable grade of the manufacturer for example “Large Scale – Design, Development and Production Grade score 80% (LS-DDP-GRADE-1)” etc.

20. Supplier Rating

All Suppliers will be given a Supplier rating expressed as a percentage score based on their actual performance against each completed supply order by the concerned SQAE/AHSP. Incomplete orders will not be Supplier rated. Development orders for Indigenisation/new items (placed for the first time only) will also not be Supplier rated. The Supplier rating will be based on the following:-

(a) Quality Rating (QR) - The following attributes shall be considered:-

(i) The quality of supplies as per the contractual specifications shall play the dominant role.

(ii) The number of rejections/modifications/improvements affected to the product to meet the laid down specifications.

(iii) The quality systems adopted, superiority of the process involved and the Quality Control (QC) methods to achieve the end product.

(iv) The effectiveness of the subcontractor policy in vogue to control the quality of inward goods from sub-contractors and the raw materials/bought out items and their traceability factors.

(v) The overall effectiveness/independency of the QC Deptt and the quality management of the Suppliers.

(vi) Weightage of Quality rating will be 60.

$$QR = \frac{\sum [Kd \times Kr \times Na]}{Ni}$$

Where,
Na = Qty accepted in the I-note.

Kd = deviation coefficient applicable where quality audit & surveillance done by QA staff based on criticality of stores. The values of Kd will be 0.5 in case deviation is observed during process/product audit, QIN issued during Quality Audit & Surveillance. Kd will be 1.0 when the quantity is accepted without any deviation.

Kr = Rectification coefficient. The value of Kr will be 0.5 for lots accepted after segregation/rectification and 1.0 for lots with no rectification/segregation.

Ni = Quantity offered for Inspection.

Note: ∑ indicates summation of QRs computed where supplies are in various lots.

(b) Delivery Rating (DR) - The following attributes shall be considered:

(i) The timely supply of advance samples/prototypes for evaluation and subsequent timely delivery of supplies after accordance of the BPC. The delays caused by the purchaser are not to be considered in computation of DR**.**

(ii) The number of DD extensions sought by the firm and the validity of the reasons for such extensions.

(iii) The effectiveness planning/coordination of the firm to meet the stipulated delivery schedules especially when imported items/raw materials are involved.

(iv) Weightage for delivery rating is 30.

Delivery rating (DR) for a lot or consignment depends upon the quantity supplied within the stipulated delivery time for the full consignment. The delivery rating may, therefore, be obtained by the following formula:

$$DR = \frac{Q1}{Q} \times \frac{T}{T \times p + 1.5\, T1 \times q}$$

Where,

Q = Quantity promised to be supplied with in the stipulated delivery time.
Q1 = Actual quantity supplied within the stipulated delivery time.
T = Promised delivery time for the full consignment.
T1 = Actual delivery time for the full consignment (The delivery time should be taken from the date of offering acceptable stores by the Supplier).

$$p = \frac{Q1}{Q}$$

$$q = 1 - p.$$

(c) Experience Rating (ER) - The following factors will be considered while computing the Experience rating.

Promptness

(i) Promptness of the Supplier in their various actions like intimation of receipt of supply order, submission of Advance/Pilot Sample etc.

(ii) Promptness of the supplier in dispatching the bulk stores after inspection.

(iii) Promptness of the supplier in post contract correspondence with same interest as that of pre contract correspondence.

(iv) Promptness of the firm to attend to consignee end rejection in an objective manner.

Attitude

(i) The attitude of the firm in advance planning and in the various queries on paper particulars with concerned SQAO/AHSP, soon after the receipt of supply order.

(ii) Submission of advance/pilot samples with complete pre-inspection reports as per contracts.

(iii) Submission of bulk stores with adequate lead-time for inspection.

Consignee End Observation/Rejection

(i) The attitude of the firm in resolving the consignee end observation/rejection.

(ii) Analysing genuine consignee end rejections and implementation of remedial measures in the subsequent supplies in consultation with concerned SQAO.

Weightage for Experience Rating will be 10. ER to be calculated by allotting marks out of 10, 4 marks for promptness and 3 marks each for other aspects as above. The total marks thus obtained could be considered as "Experience Rating".

Supplier Rating Score - The Supplier rating score obtained by a Supplier for supplies made against a particular order will be calculated as under:-

$$\text{Supplier Rating } \mathbf{(SR)} = \frac{\mathbf{60\,(QR) + 30\,(DR) + 10\,(ER)}}{\mathbf{100}}$$

Assessment of Performance Against Supplier Rating Score - The performance of a Supplier against a particular order will be assessed as under on the basis of Supplier rating score obtained:-

Supplier Rating	**Classification**	**Remarks**

Score of Supplier		
Above 90%	Very Good	Should maintain the performance
80 to 90%	Good	Could improve.
60 to 80%	Satisfactory	Must be advised to Improve.
Less than 60%	Unsatisfactory	To be warned

The concerned AHSP/authorities should inform the Order placing authorities about the Supplier Rating for the Supply Orders placed by them. The AHSP/authorities should also inform the Supplier about their rating for each order completed by them or any technical measures required for improvement so that corrective action for future can be taken. Suppliers awarded unsatisfactory rating should be warned to improve their performance within a specified period. In case the purchaser has raised CER for a store supplied by the manufacturer against a Supply Order for which the SR has already been calculated then the concerned SQAE/AHSP will recalculate the SR for that Supply Order after taking into consideration the change in Quality Rating and Experience Rating due to rejection of stores from Quality aspects (substandard stores).

Composite Supplier Rating (CSR) - The overall performance of the Supplier will be computed in the form of a composite rating by working out the average of Supplier rating of each item supplied over a period of preceding three years as under:-

$$\textbf{(CSR)} = \frac{\textbf{SR1 + SR2 + SR3+ .....SRN}}{\textbf{N}}$$

Where **SRN** stands for Supplier rating of Nth order and N stands for total number of orders for the item executed during the last three years.

There will be instances where Suppliers supply items of considerable variety and from different generic group of stores. In such cases composite rating of the Supplier will be calculated separately for each generic group of stores supplied during the preceding five years In case the CSR falls below 60%, then the AHSP will process the case for removal of the Supplier from compendium as given in Para 22.

21. Compendium of Registered Manufacturers - In the compendium of registered manufacturers, comprehensive gradation of the manufacturer will be indicated as given in **Appendix 'J'** as manufacturer (Large or MSME Category and

Grading as per Para 17 above) with date of registration/renewal. For example: as LS-DDP-Grade I in the compendium.

21.1 Compendium of registered manufacturers of each discipline will be prepared in single volume by the nodal AHSP of each Technical Directorate as per details given below:

a) This volume will comprise of all sources (including Start-Up) and will be prepared to indicate details of registered manufacturers for supply of all stores/ equipment. This volume will be in three parts as under:

i) ***Section A***: Alphabetical list of registered manufacturers covering their entire range of stores, equipment, spares, tools, other accessories/sub-assemblies and processes for which the manufacturer is registered.

ii) ***Section B***: Product/ item-wise directory of registered manufacturers with cross reference to manufacturers covered under Section A.

iii) ***Section C***: Engineering process-wise directory of registered manufacturers with cross reference to manufacturers covered under Section A.

b) Compendium of registered manufacturers will be available on DGQA portal.

21.2 Updating of Compendium - The compendium will be updated through notifications by the AHSP once in every quarter i.e. April, Jul, October and January for amendments processed during the preceding quarter. The updated compendium will be uploaded on DGQA website by SDCC. The notifications will be issued as per specimen at **Appendix 'K'** to this guide. The details that to be included in the notification is as under:

a) Addition of new sources of supply.

b) Deletion of manufacturers already registered with reasons.

c) Revision of grading or other important details given in existing edition of the compendium.

21.3 Fresh updated compendium will be issued at least once in three years. E-Copies of compendium as and when issued will also be endorsed to all QA

Authorities, OPAs and to Principal Purchase Officers in Ministry of Defence/ Service HQs. E-Copies of updated notifications may also be given to all other concerned.

21.4 Compendium Monitoring

21.4.1 The Registration Authority will monitor the compendium and these will be uploaded on their websites. The monitoring will include:

a) Allotment of Registration Number for newly registered manufacturers.

b) Ensure issue of updated compendium once in three years by respective Registration Authority.

c) Ensure issue of notification updating every quarter by respective Registration Authority.

d) Highlighting the manufacturers where validity has expired and removal from compendium was necessitated but not removed.

e) Maintaining a centralized list of compendium in their organisation.

22. Removal of Manufacturer from Compendium - Removal of manufacturers from the compendium of registered manufacturers may be ordered by respective Registration Authority on the following grounds:

a) If a manufacturer fails to execute a contract or fails to execute it satisfactorily against the specification.

b) If a manufacturer no longer has the technical staff or equipment considered necessary.

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

d) Consignee End Rejection cases where the manufacturer is at fault in supplying substandard stores (**Appendix 'M'**).

e) Firms which are blacklisted/ banned and put on hold for all procurement and acquisition cases in the pipeline by the competent authority. (Refer Para 3.4 and 3.5 of DPM 2009).

22.1 The above said grounds except (e) when brought to the notice of the registration authority, a show cause notice will be issued to the manufacturer with

the approval of the competent authority concerned, about the action proposed and grounds therefore.

22.2 On 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 manufacturer and removal from the list of registered manufacturers. However, in case of reason (a) and (b) orders regarding removal may be made applicable in respect of one or more items as may be relevant.

22.3 Once removed from the compendium, the name of the manufacturer may not be restored in the compendium unless it satisfies the registration requirements. After taking due corrective measure/after expiry of the period of removal from compendium, as the case may be, the manufacturer will make a request to the competent authority to review its case accordingly.

23. Suspension and Ban

23.1 Business Dealings with Manufacturers : For serious acts of omission and commission, malpractices, defaulters etc, action may be taken for suspension/put on banned list of such manufacturers. There will be no business dealings as per Government orders issued from time to time.

24. NCAGE REGISTRATION

24.1 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 'N'**.

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 requireme**nt** 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 of this JSG.

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)

24.2 All eligible supplier/Registered manufacturers will also be registered for allocation of NCAGE following the steps given at **Appendix 'N'**. 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.

24.3 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.

24.4 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.

24.5 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”.

24.6 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.

Appendix 'A'
(Para 4.1 & 7(b))

MANUFACTURER'S APPLICATION FOR REGISTRATION (MAR)

(To be filled by the Manufacturer)

Notes

1. Strike out whichever is not applicable.

2. This information be submitted to the respective registration authority. Documentary evidence for relevant clause to be enclosed

3. All pages of this application and enclosures are to bear full signatures with the Stamp, serially numbered and linked with relevant Para.

4. This Appendix contains eight pages and Annexure I & II.

5. This information will be treated as 'Confidential'.

A-1. Part-I.

A-1.1 Administrative Information.

a)	Name of the Manufacturer	
b)	Addresses with Telephone No. and registered mobile No. with STD code/Fax/ E-mail:	
	i) Registered Office	
	ii) Factory / Works	
	iii) Branch offices if any	
	iv) Name, address, telephone and registered mobile No. & e-mail of the MD/ Proprietor.	
c)	Category of Industry (attach:registration documents)	Large - Scale / MSME.
d)	Nature of company	Proprietary / Private Limited / Public Limited / Partnership / Joint Venture.
e)	Nature of Business	Manufacturer / Sole Selling Authorised Agent / Dealer / Assembler / Processor / Re-Packer / Fabricator / Trader

f)	Details of Defence Products under production, if any.	Mention Supply Order No. and Description of store
g)	Details of Registration: Attach copies of registration Certificate.	NSIC / MSME / SSI / DGS&D / Other Defence Deptt / Other Government Deptt / Membership FICCI / ASSOCHAM / CII or any other Industrial Association.
h)	Corporate Identity Number (CIN) / Udyog Aaadhar (MSME Registration Number DIPP Number (for Startups)	
j)	Have you earlier applied for Registration with DGQA. If yes, Please give details.	YES / NO
	i) Authority to whom applied with Date	
	ii) Item(s) applied for	
	iii) Reasons for Non Registration	
k)	ISO 9001:2015/AS/ATF certified (attach copy of the latest certificate)	YES / NO
m)	Area of Factory/Works is on	lease or owned
	a) Covered Area	……m^2
	b) Uncovered	…… m^2
	c) Bond Rooms	…… m^2
	d) No. of Bond Rooms	……
	e) Production Area	…… m^2
	f) Testing Area	…… m^2
	Note - *Attach proof of ownership and detailed site plan of layout of premises clearly depicting various areas e.g. production area, location of plant/Machinery stores, bond rooms, inspection area etc.*	

n)	Capital outlay	
p)	Name of Bankers, A/c No. Addresses of the Bank	
q)	Electric Power Capacity	Sanctioned / Installed / Standby / Power back up
r)	Does product being considered fall under:	
	1) Cost Audit (report) Rules 1968.	YES / NO
	2) Fire Safety or Explosive Regulations (Details of license/compliance).	YES / NO
	3) Central Pollution Control norms.	YES / NO
	4) Other Government Regulatory norms.	YES / NO
s)	*Details of Manpower Employed:* 1) Admin 2) Technical i) Skilled ii) Unskilled 3) No. of shifts for manufacture of stores seeking registration. Attach Regulatory certificate.	
r)	Attach Self attested copies of under mentioned documents	
	1) Audited Balance Sheet, profit / loss statement and total Accumulated losses, if any (past 02 years for LSI/MSME and 01 year for startup).	Give Details
	2) Present net worth of manufacturer.	Available /Not Available

3) Source of finance with borrowing limits & Bank Guarantee.	Available / Not Available
4) Attach copy of PAN/TAN/ Service Tax/ VAT/ GST/Income Tax certificate for 3 years.	
5) Details of Pollution Clearance Certificate. Attach copy	Available / Not Available
6) Relevant information with complete details about sister concerns / subsidiaries, if any.	Available / Not Available
7) Facilities for Water, Fire Fighting, Security & Medical. Attach documents (i), (ii), (iii), & (iv)	
8) Copy of Relevant Regulatory certificates for stores/ equipment for which Registration sought including factory license.	
9) Attach copy of Digital Signature certificate issued by National Informatics Centre (Mandatory requirement for e-procurement cases)	
10) Attach MoU with the manufacturer on a stamp Paper in case of Sole Selling Agents / Marketing Firms.	
11) LSI / MSME registration certificate.	
12) In case land / Property is	

on lease, copy of agreement.

13) Copy of GoI authorizing number of shifts w.r.t defence stores for which Registration is sought.

PART II
TECHNICAL INFORMATION

(To be filled by manufacturer)

A-2.1.1 Details of Defence Stores for which Registration is sought (if it is product specific):

S. No.	Nomenclature of Store	Cat. Part No / NSN	Drawing No.	Specification No.

A-2.1.2 Details of foreign collaboration, if any:

S. No.	Product	Name & Address of Collaborator	Year	Validity

A-2.1.3 Details of Supply Orders executed during last three years with respect to stores/ equipment for which registration sought, if any:

S. No.	Order placing authority	Supply order No. & date	Nomenclature of store & Qty	Date of last supply	Value of supply order

A-2.1.4 a) Details of bought out items (Component/Sub Assy/Assy/Processes) from sub- contractors: (Attach copies of agreements/ MoU on Stamp paper):

S. No.	Item	Component / Assy/ Sub-Assy / Process	Name & Address of the sub- Contractor

b) Details of Testing / Quality check done by Sub contractors (Attach copies of agreements/ MoU on Stamp paper):

S. No.	Item	Details of test	Name & Address of the Sub-Contractor / Laboratory	Agreement

A-2.1.5 Source of Raw Material/ Product:

S. No.	Details of Material / Product used	Source	Brief Description
	Imported/Indigenous		

A-2.1.6 Complete details on facilities & infrastructure available as per following format:

a) Plant and machinery specific to item (s) for which Registration is sought:

S. No.	**Item**	**Description of Machine & its Specification**	**Capacity**	**Make/ Model**	**Quantity**	**Date of purchase**

b) Tool Room, Meteorology & Test Equipment Facilities:

S. No.	**Item**	**Type of Instruments/ Test Equipment**	**Make/ Model**	**Date of purchase**	**Calibration Validity date****

*******Attach relevant calibration certificate.*

c) Design and Development: facilities available (If Yes, enclose a declaration with details as per Para f (2) Design & Development of MQSR Part I of Appendix 'B'). YES / NO

d) Is the manufacturer committed & willing to supply spares for service life of the store. If Yes, give undertaking. YES / NO

e) Furnish the following details with relevant certificate and documents:

1) Inspection & quality control of
   i) raw material/ Input material
   ii) Components.
   iii) Semi finished product.
   iv) Sub assemblies
   v) Assemblies

2) Assistance from central agency for testing/calibration etc.

3) Laboratory / Drawing Room Facilities available

   i) facility for reverse engineering.

4) Flow process chart of item for which registration is sought.

5) Details of estimated production Capacity of the Defence stores for which registration is sought.

f) Future plan (if any) in respect of Expansion:
(Attach extra sheets)
Program, Installation of additional Machines/tool facilities etc.

Declaration

I/We confirm that the information furnished in Part 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.

SEAL

Signature of MD/Proprietor
Or his authorized representative
Name with seal

Seal of the manufacturer
Date :
Place :

CERTIFICATE OF VERIFICATION BY REGISTRATION TEAM

(To be filled by the assessing team)
(Please strike out which is not applicable in Part I & Part II of MAR)

1. Certified that we have verified the information given by the manufacturer and same is observed to be Correct / Not Correct.

2. The following comments are made:

a)

b)

c)

d)

e)

f)

g)

3. It is also certified that all the documents have been verified with the originals and enclosures attested.

Name & Designation of Team leader

Name and Designation of Team Members

1.

2.

Date :

Place :

Annexure I to Appendix 'A'

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 : 2018.

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 Orders are awarded to the M/s _____ (Sole Selling Agent/Marketing Firm), the (Parent Company) and M/s _____(Sole Selling Agent/Marketing Firm). Jointly and severally, undertake the following:

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 on behalf of M/s _____ (Parent Company) as well as 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'
(*Para 4.1 & 4.3*)

DOCUMENT CHECK LIST FOR CAPACITY ASSESMENT OF FIRMS AGAINST TENDER ENQUIRY/GENERAL REGISTRATION

M/s…… ……has submitted the documents for CA against T/E/ Gen Registration …… ……as per check list given below vide firm's letter ……..

PART-I (ADMINISTRATIVE AND FINANCIAL INFORMATION)

S No	Ref Para of JSG	DOCUMENTS	Remarks
1	Para 4.2	Copy of RFP/tender enquiry issued by Purchase Officer (in case of capacity assessment against Tender Enquiry)	
2	Para 6.1 (b)	CA certificate that the firm is not a sick unit under Companies Act 2013	
3	Para 14.3 (a)	Particulars about Annual turnover for last two years from CA on its letter head	
4	Para 16	Registration Fee(Enclose DD in original and a copy)	
5	Para A-1.1(c), (h) & r (12)	Proof of Category of Industry (Cert issued by ROC/MSME/DIPP)	
6	Para A-1.1(j)	Copy of earlier DGQA Registration Certificate with any other discipline, if any.	
7	Para A-1.1(k)	ISO 9001:2015/AS/ATF certified (attach copy of the latest certificate)	
8	Para A-1.1(l), r(13)	Proof of ownership (Copy of sale-deed/leasing agreement/rent deed with ownership proof to be submitted duly **registered in a court by a registrar and not Notarized**.) and copy of detailed Layout plan of the factory premises clearly depicting various areas e.g. production area, location of Bond rooms, Inspection Area, Test Laboratory & manufacturing area are clearly depicted in **Red Ink** along with dimensions of each area.	
9	Para A-1.1(o)	Proof of Electric Power Sanctioned i.e. latest State Electricity Bills in the name of owner/firm	
10	Para A-1.1(p)2	Explosive Regulations, if applicable (Details of license/compliance).	
11	Para A-1.1(p)3 & A-1.1(r)6	Pollution certificate as per category (if applicable) for manufacturing of store applied for Registration	
12	Para A-1.1 (q) 3 & r (14)	No. of shifts for manufacture of stores seeking registration. Attach Government Authorization / certificate	
13	ParaA1.1(r) 1	Audited copies of balance sheet and profit & loss statement of last two years	
14	ParaA1.1(r) 2	Present net worth of manufacturer (attach proof).	

15	ParaA1.1(r) 4	Copy of PAN Card of firm and proof of submission of GST/Income Tax return	
16	Para A-11(r) 9	(i) Copy of the Valid regulatory license including Factory License registration (whenever applicable) (ii) Valid drug license (in case the firm applied for Pharmaceutical Items)	
17	Para A-1.1(r)11	Copy of MoU enclosed with the manufacturer on a stamp Paper in case of Sole Selling Agents/Marketing Firms	
PART II : TECHNICAL INFORMATION			
18	Para A-2.1.4(b) Para A-2.1.6 (a)	Detail of bought out items (components/sub assy/assy/processes) from sub-contractors (attach copies of agreements/MoU ~~on stamp paper~~)	
19	Para A-2.1.6 (c)	Design and Development: facilities available (If Yes, enclose a declaration with details as per Para f (2) Appendix 'B')	
20	Para A-2.1.6 (e) 4	Process flow chart indicating the detailed step-by-step manufacturing of store depicting involvement of machine(s) and No of skilled manpower	
21	Para A-2.1.6 (e) 5	Monthly Production Capacity along with method followed for calculation of MPC indicating bottlenecks in respect of Area/ Manpower related machines / Testing and other parameter those have major bearing on calculation of MPC be brought out.	

1. On scrutiny of CV documents, the following Sr No of above check list found deficient. _____

2. Correctness of the documents yet to be ascertained: _____

Appendix 'C'
(Para 4.5(b))

PROCEDURE FOR REGISTRATION OF MULTI DISCIPLINE MANUFACTURERS

(This Appx contains two pages)

1. AsHSP responsibility for all Army & common User's items or generic group of stores have been laid down in DGQA Standing Orders 2012 and SAO 7/S/2010. The Manufacturer will approach the Principal AsHSP (as per SAO 7/S/2010) and SQAE for registration & submit documents as specified in the JSG 015 : 2021.

2. Technical Document will be in two Parts:

   a) Part I: Containing all relevant documents common for the purpose regarding infrastructure, Financial, license etc. required for the purpose.

   b) Part II: Containing product specific infrastructure with corresponding product list AsHSP wise, for Registration of items pertaining to each AsHSP separately.

3. AsHSP having most complex and critical items for consideration of Registration will be considered as Principal AsHSP and all other AsHSP as sub-AsHSP.

4. Principal AsHSP will appoint a team for Registration of the Manufacturer which will be constituted as under:

   a) Team Leader - From Principal AsHSP/SQAE

   b) One Member from each sub - AsHSP

   c) One Member Secretary - From Principal AsHSP/SQAE

5. After satisfactory scrutiny of the documents by concerned SQAE & Sub-AHSP, the team will visit the manufacturer on date fixed and assess the manufacturer corresponding to their discipline and seek queries/ clarification directly from the manufacturer's rep designated for the purpose. Manufacturer's rep for coordination of Registration process should be fixed in advance by Team Leader so that he is available full time with the Registration Team on the date of visit.

6. All members of team will prepare their product specific recommendations separately and get them approved from their respective AsHSP.

7. Principal AsHSP will issue one Registration Certificate to the manufacturer by grouping all the items AsHSP wise.

8. In case the manufacturer is already registered with a Principal AsHSP and applies for additional items of some other discipline which are not pertaining to the Principal AsHSP, then the manufacturer will initially inform the Principal AsHSP/SQAE who had issued the original certificate. The Principal SQAE will contact the concerned SQAE for the additional items for which the registration is now being sought. The concerned SQAE will arrange the visit and process the case as per the laid down procedure and forward their recommendations to their AsHSP (sub-AsHSP). After scrutiny the sub-AsHSP will forward acceptance/not acceptance of their respective Controller in Part III of Appx 'C' to the Principal AHSP for approval of Part IV of Appx 'C' who will then keep Part III of all sub-AsHSP for record purposes and include the additional items as an annexure in the main Registration Certificate issued by them. Validity of Registration of the additional item will be as per the Original Registration Certificate.

Appendix 'D'
(Refers to Para 6.2)

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 | 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 this 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**

10. Copy of this "Specific list of items/spares/equipment" of Aircraft/Major Assy may be enclosed for vetting.

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. If you are a **Stockist**. 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 registered 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.

PROFORMA FOR VERIFICATION OF FOREIGN OEM AUTHORISING INDIAN FIRM AS AUTHORISED DEALER/STOCKIST (To be utilised by registering agency)

1. Name of the Indian Firm

Complete Postal address

Telephone Number | Fax Number

E Mail ID | Website

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

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

3. Details of Raps/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. If OEM is a Manufacturer. Then please forward the Certificate certifying that OEM is a manufacturer & range of spares.

5. If OEM is into Repair & Overhaul (ROH). Then please forward the Certificate certifying that OEM is into ROH and details of items being overhauled.

6. Details of OEM infrastructure

7. Number of OEM employees & their details

8. Verification of OEM

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

9. 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'
(Para 7(c)(ii))

PART I

(In the context of organisation)

MANUFACTURER QUALITY SURVEY REPORT (MQSR)
QUALITY MANAGEMENT SYSTEM - REQUIREMENTS

a)	The marks are to be allotted on the basis of following	
	1) QMS following in the Organisation	2
	2) The determination of external & internal issues that can affect the intended results from the QMS.	2
	3) The needs & expectations of interested parties that have been identified.	2
	4) Culture of identifying and utilizing opportunities and mitigating potential risks before they occur.	2
	5) Scope of the QMS established determining the boundaries and applicability.	2
	Note: Evidence of planning integration of the organisational processes to realize the intent of the QMS may be in the form of: i) SWOT analysis & its regular review. ii) Institutionalized process of Self-Assessment for internal issues such as Values & Culture Level of Employee Satisfaction, Technological advancement, Effectiveness of action taken to address Customer feedback, Benchmarking Organizational Practices with Industry at large and Organizational performance. iii) Conducting surveys to analyze Social and Economic environments, trends in Trade & Technology, changes in Statutory & Regulatory requirements and opportunities to expand.	
b)	*QMS processes*: 1) Processes defined in detail including their interrelationships & interactions.	2
	2) Availability of Process Maps (SIPOC/Flow Chart) that graphically describe all the requirements which include: i) Identifying Inputs required for the Processes & the Outputs expected of them.	4

	ii) Assigning Authorities & Responsibilities for the Processes. iii) Identifying Risks & Opportunities associated with the Processes and Planning & Implementing actions to address them. iv) Applying the determined criteria & methods to ensure effective operation and control of Processes. 3) Risk based approach throughout the organization, anticipating consequences of things going wrong, changes in Customer needs & expectations and the opportunities presented. Evidence for planning to address Risks & Opportunities will be available from Failure Mode Effect Analyses.	2
c)	*Leadership:* 1) The Acceptability of accountability by Top Management for the effectiveness of QMS.	2
	2) The clarity on the Quality Policy. It is appropriate &compatible with the purpose, context and strategic direction of the Organization.	2
	3) Quality Policy understood and applied within the Organization.	1
	4) The importance of effectively conforming to the QMS requirements communicated across the Organization.	1
	5) The QMS requirements integrated into the organization's processes.	1
	6) Visibility of Top Management engaging, directing & supporting employees in contributing to the effectiveness of QMS.	1
	7) Top Management conveying the culture of QMS data based decision making and intent to continually seek scope for improvement.	1
	8) Top Management ensuring that customer and statutory & regulatory requirements, as applicable, are determined, understood and consistently met.	1
	9) The actions of the Top Management demonstrate focus on enhancing customer satisfaction.	1
	10) The Top Management promoting the use of Process Approach & Risk based thinking.	2
	11) Assignment by Top Management the responsibility and authority for ensuring:	1
	i) Conformance to requirements of QMS Standard.	1
	ii) Delivery of intended process outputs.	1

	iii) Promotion of customer focus throughout.	1
	iv) Integrity of QMS whenever changes are made.	1
	12) Mechanisms to report to Top Management on performance of QMS and opportunities for improvement	2
d)	*Planning:*	
	1) An Existence of an institutionalized practice of Risk Management cycle:-	
	i) Identifying Risks & Opportunities.	1
	ii) Analyzing & prioritizing Risks & Opportunities.	1
	iii) Planning actions to address risk.	1
	iv) Implementing plan.	1
	v) Checking effectiveness of actions.	1
	vi) Learning from experience.	1
	2) Measurable Quality Objectives established for various functions at relevant levels. Are they derived from and consistent with Quality Policy?	2
	3) Quality Objectives communicated to those responsible, measured and monitored for achievement and updated as appropriate.	2
e)	*Support:*	
	1) The infrastructure, resources, environment and manpower required to ensure valid & reliable results planned and made available.	2
	2) Outsourcing requirements planned taking into account capabilities & constraints of internal resources.	2
	3) Measurement traceability required, scheduled calibration maintained for measuring equipment.	2
	4) The calibration carried out at predetermined intervals, traceable to national/ international standards. Is the calibration status of the equipment identified? Are they safeguarded from possible damage/ adjustments?	3
	5) The action taken on the immediately preceding results when measuring equipment is found unfit.	2

	6) Managing Organizational knowledge .	2
	7) System of drawing competence matrix based on educational qualification, training & experience for such work that will affect the performance & effectiveness of QMS.	1
	8) People trained, where required, based on Need Analysis.	2
	9) Modes of communication established w.r.t. the matter to be communicated.	2
	10) Are the lists of "documented information" required to be maintained to support the effective execution of processes and "documented information" to be retained evidentially to have confidence that processes were executed as planned determined? While doing so, have the complexity of processes and competence of personnel been taken into consideration?	6
	11) Documented information identified, formatted, reviewed and approved.	3
	12) Availability of document where & when needed and adequately protected.	3
	13) Documents distribution, access, storage, retrieval, period of retention and disposal addressed adequately.	3
	14) The documentation required to be maintained as per ISO 9001:2015 are: i) Information needed to support the operation of its processes **(4.4.2 a).** ii) Quality Policy **(5.2.2 a).** iii) Quality objectives **(6.2.1).** iv) Operational planning and control **(8.1e).** v) Control of production & service provision **(8.5.1).** 15) Minimum documentation to be retained as per ISO 9001:2015 are: i) To have confidence that processes are being carried out as planned **(4.4.2 b).** ii) Monitoring and measurement of resources **(7.1.5.1 and 7.1.5.2a).** iii) Competence **(7.2d).**	

	iv) Operational planning and control **(8.1e).** v) Review of requirements related to products and services **(8.2.3.2).** vi) Design and development inputs **(8.3.3).** vii) Design and development controls **(8.3.4f).** viii) Design and development output **(8.3.5).** ix) Design and development change **(8.3.6).** x) Externally provided processes, products & services **(8.4.1).** xi) Identification & Traceability **(8.5.2).** xii) Property belonging to customers or external parties **(8.5.3).** xiii) Control of changes **(8.5.6).** xiv) Release of products and services **(8.6).** xv) Control of nonconforming process output, products and services **(8.7.2).** xvi) Release of product and services **(8.6).** xvii) Control of nonconforming outputs **(8.7.2).** xviii) Monitoring, measurement, analysis and evaluation **(9.1.1).** xix) Internal audit **(9.2.2f).** xx) Management review outputs **(9.3.3).** xxi) Nonconformity &corrective action **(10.2.2).**	
f)	*Operation:* *1) Planning & control:* i) The requirements for products & services determined? Do they include statutory & regulatory requirements. ii) Criteria for processes and acceptance of products & services. iii) The resources required to achieve conformity of products & services. iv) Process controls implemented in accordance with criteria. v) The outsourced processes controlled. vi) Communication with customers established in respect of:	2 2 2 2 2 2

	aa) Products & services. bb) Enquiries & contracts including changes. cc) Customer feedback including complaints. dd) Handling customer property. ee) Contingency plans when relevant.	
	vii) The ability to meet the requirements ascertained before committing to supply products & services?	2
	viii) Does the review include: aa) Requirements stated by the customer.	2
	bb) Requirements not stated by customer but are necessary, when known. cc) Requirements specified by the organization. dd) Statutory & regulatory requirements applicable. ee) Contract requirements differing from those previously expressed and their resolution.	
	ix) Are the relevant persons made aware of changed requirements, if any?	2
	2) *Design & Development:*	
	i) When Design & Development of products & services is involved, are the processes, including controls, established, implemented and maintained to ensure provision of products & services?	3
	ii) Are Design inputs adequate, complete and unambiguous?	3
	iii) Are Design reviews conducted to evaluate the ability of Design & Development results to meet requirements?	3
	iv) Is Design verification conducted to ensure outputs meet input requirements?	3
	v) Is Design validation conducted to ensure the products & services meet their intended use?	3
	vi) Do Design outputs specify characteristics essential for intended purpose?	3

	vii) Are the changes made during or subsequent to Design & Development controlled to avoid adverse impact on conformity to requirements?	3
	3) *Control of externally provided processes:*	
	Are the externally provided processes, products & services controlled such that they do not adversely affect the organization's ability to consistently deliver conforming products & services to its customers? How is it ensured?	6
	4) *Production & service provision:*	
	i) Are documentation available to define the characteristics of the products to be produced/services to be provided?	2
	ii) Are monitoring & measurement activities implemented at appropriate stages? Are the resources adequate? Are the persons deployed competent?	2
	iii) Is the ability to achieve planned results validated periodically when the resulting output cannot be verified by measurement?	2
	iv) Are there measures implemented to prevent human error?	2
	v) Are the outputs identified throughout production wrt their inspection status?	2
	vi) When traceability is required, are the outputs uniquely identified?	2
	vii) Are measures in place to identify, verify, protect & safeguard customer's property? Are they reported when lost, damaged or otherwise unsuitable for use?	2
	viii) Are the outputs preserved during production to the extent necessary to ensure conformity to requirements?	2
	ix) Are post-delivery activities determined w. r. t. nature, use & intended life time, customer requirements & feedback, statutory & regulatory requirements and potentially undesirable consequences?	2
	5) *Release of products & services:*	
	Is it ensured that the product & service requirements have been met before their release? Are the evidence of conformity & the traceability of the person authorizing the release retained?	6

	6) *Control of non-conforming outputs:*	3
	i) Are non-conforming outputs identified & controlled to prevent their unintended use/delivery?	3
	ii) Is action taken, appropriate to the nature of non-conformity and its effect on conformity of products & services, to correct, segregate, inform the customer or accept under concession?	
g)	*Performance Evaluation:*	
	i) Is it determined as to what needs to be monitored & measured and when, the methods for monitoring, measurement, analysis & evaluation?	2
	ii) Are the customer's perceptions, of the degree to which their needs & expectations have been fulfilled, monitored?	2
	iii) Are there provisions to analyze & evaluate:	7
	aa) Conformity of products & services.	
	ab) Degree of customer satisfaction.	
	ac) Performance & effectiveness of QMS.	
	ad) Effectiveness of implementation of planning.	
	ae) Effectiveness of actions taken to address risks & opportunities.	
	af) Performance of external providers.	
	ag) Need for improving QMS.	
	iv) Are Internal Audits conducted at planned intervals to assess effective implementation of QMS?	2
	v) Are these Audit programs planned, established, implemented & maintained defining frequency, scope & criteria and the Auditors?	1
	vi) Are the results of audit reported to the management and correction & corrective action taken without delay?	2
	vii) Does the Top Management review the QMS at planned intervals? Does the review take into account:	6
	aa) Status of actions from previous reviews.	
	ab) Changes in external & internal issues.	
	ac) Adequacy of resources.	

	ad) Effectiveness of action taken to address risks & opportunities. ae) Opportunities for improvement. af) Trends in customer satisfaction & feedback, extent of meeting quality objectives, process performance, conformity of products & services, non-conformities & corrective action, results of monitoring & measurement, audit results & performance of external providers. viii) Does the management review result in decisions & actions related to Opportunities for improvement, need for changes to QMS & resource needs?	2
h)	*Improvement:* i) Are opportunities for improvement selected for implementation of action to: aa) enhance customer satisfaction by improving products & services, addressing future needs & expectations. bb) prevent or reduce undesired effects. cc) improve performance & effectiveness of QMS. ii) Does the organization react to any non-conformity by first correcting it & then deal with consequences? iii) Is a Root Cause Analysis done and action taken to eliminate the cause? iv) Is the effectiveness of corrective action reviewed? v) Are the suitability, adequacy & effectiveness of the QMS continually improved?	6 3 5 3 3

Total Marks Scored out of 200 in Part I of MQSR =

PART II (PRODUCT SPECIFIC)
MANUFACTURER QUALITY SURVEY REPORT (MQSR)
PRODUCT SPECIFIC TECHNICAL CAPABILITY OF MANUFACTURER

a)	*Management Responsibility:* Objective evidence available for commitment of Management to provide product specific resource.	10
b)	*Planning for Quality:* Has the management identified and communicated the Critical To Quality (CTQ) characteristics and Critical To Quality Processes (CTP) for all the products under consideration?	10
c)	*Infrastructure:* i) Adequacy of power supply and water resources including stand- by arrangement. ii) **Covered and open space for manufacturing facilities.** iii) **Bond rooms commensurate to the type and quantum of stores to be supplied and their security for work in progress/semi-finished/finished product**.	5 5 5
d)	*Manufacturing Plant & Machinery:* **i) Are essential plant and machinery capable of Consistently manufacturing the product range under consideration to the required specifications available?** ii) Are desirable plant and machinery for the product range under consideration available? iii) Are they adequate to meet product requirement. Give details of process capability index to support assessment. iv) Are requisite maintenance facilities for in-house plant machinery and test equipment available?	10 5 5 5
e)	*Facilities for QA:* Are the facilities required for verification/validation of performance by the QA team available?	5
f)	*Technical Resources:*	

	Where applicable, whether the supplier has adequate technical resources for support service such as preparation of specifications, drawings, user handbooks, technical manual, part lists etc.	5
g)	*Manufacturing Process Management:* 1) Are all manufacturing processes carried out in house? (These include all operations required to be performed on the raw materials, semi-finished/finished components, subassemblies/assemblies for conformity of end product to required applications including packing, marking, handling and storage/delivery). 2) Where subcontracting, if any, is resorted to for processes or components/ subassemblies/ assemblies, are they as per laid down norms? Are details of processes outsourced/ sub-contracted with the control exercised on the sub-vendor to ensure quality of supplies available? Support the assessment with a specimen QA procedure for a typical item outsourced. 3) Are the capabilities of available processes (including that of sub-contractor) adequate and compatible with the product specific requirements? 4) Whether the supplier has made a realistic assessment of the production capacity for the items for which registration is sought? This may be supported by Flow Charts furnished by the Supplier for each product reflecting the following: i) Raw Materials used their source & the controls exercised. ii) Critical stages/processes & the controls exercised. iii) Time taken for each stage & total time taken for manufacturing a batch including testing.	 10 5 5 5
h)	*Qualified Tech Manpower:* Availability and adequacy on the rolls of the Supplier	 10

j)	*Quality Control:*	
	1) Availability and adequacy of Tools, Gauges and Measuring/test equipment.	5
	2) Calibration of Tools, Gauges and Measuring/test equipment.	5
	3) System of work order, specification, drawings.	3
	4) Procedures for raw material identification, receipt, issue.	2
	5) Ordering procedure and documentation for bought out items.	2
	6) Inwards inspection procedure and records.	2
	7) Stage and final product inspection procedure and records.	2
	8) Adequacy of Quality Control measures and instructions thereon; are they being appropriately applied for quality improvement where applicable.	2
	9) Mechanism for Corrective and Preventive measures and records thereon.	2
k)	*Inspection, Measurement and Test Equipment:*	
	1) Are essential test equipment available in house as per laid down norms?	5
	2) Are desirable test equipment available as per laid down norms.	5
	3) Where desirable test facilities are not available in house, have alternative arrangements been made and are these adequate. Give brief details.	5
	4) Are calibration procedures available indicating the standards, methods, schedule and responsibility for calibration of test equipment?	5
	5) Are there records to support their effective implementation?	5
	6) Is there a system for identifying and isolating equipment of doubtful nature?	5
m)	*General Requirements:*	
	1) Is the supplier maintaining record of all supply orders for the item being manufactured?	5
	2) Whether the execution of the supply orders conforms to the delivery schedule.	5

n)	*Safety and Environment:*	
	1) Lighting and ventilation.	5
	2) **Hygiene and sanitation, eco-friendly waste disposal and pollution control.**	10
	3) Firefighting arrangements.	5
	4) First aid and medical arrangements.	5
	5) Approach to the supplier's premises and adequacy of security.	5

Total marks scored out of 200 in Part II of the MQSR =

Note : Full marks are compulsory in respect of sub clauses c(ii), c (iii), d(i), k(1) & n(2) in Part II of MQSR Full marks given shall be supported by adequate justification.

Appendix 'F'
(Para 7(c)(ii))

PART-I – MANUFACTURER REGISTRATION REPORT

(To be filled by the Registration team)
(This Appendix contains three pages)

a) *Composition of the team:* *Name* *Designation*

1) Team Leader

2) Member (s) i)

ii)

b) *Name of the manufacturer (with NCAGE)*

c) *Address* *Tel No.* *Fax* *E-mail*

1) Registered office:
2) Factory/Work :

d) *Details of Item /Eqpt for which manufacturer's assessment for registration carried out :*

1) Nomenclature
2) Specification/Drawing No.
3) NSN (DS Cat No/ DCAN if NSN is not available)

e) *Date(s) of visit:*

f) *Type of Registration: - Refer Para 0.6, 1.6, 3.10 &3.11*

g) *Comments on Tech Capability/Capacity of the manufacturer for:*

1) Ability to produce specified quality product(s) conforming to available Specification/Drawing

2) Process for Quality Control

3) On Adherence of delivery schedule, if applicable

4) Financial Capacity

5) Ability to Provide literature.

6) Comments on work force.

7) Monthly production capacity of the stores being assessed.

8) Monetary limit & any other relevant information / Monetary limit and registration status with other disciplines.

h) *Production Capacity per shift of 08 hrs.*

j) ***Manufacturer Registration score****:* Qualification (min 70%) in

Part-I of MSQR will be treated as criteria for assessment of Part-II. Accordingly, percentage of marks of Part-II of the MQSR will be worked out based on the total marks of the applicable elements of the product specific aspects. Firm will be graded based on its score in Part-II.

Grading of the manufacturer:

k) *Recommendations of the Registration team:*

1) Manufacturer is RECOMMENDED for Registration for following items:

i) The details on specified stores/items which are already being manufactured.

ii) The details on stores/items for which the firm is capable of manufacturing.

2) Items NOT RECOMMENDED for registration along with the reasons.

SIGNATURE OF THE MEMBERS OF REGISTRATION TEAM

Rank and Name	*Signature with Date*
1. Team leader	
2. Member	
3. Member	

PART-II
RECOMMENDATION OF THE HEAD OF THE ESTABLISHMENT

1. I having gone through the various documents attached with the ARM form and Registration team's report and agree/do not agree with the final recommendations of Registration team. The manufacturer M/s……. is recommended/not recommended, for the following:

a) Capable to manufacture the following equipment/stores for which registration carried out:

S No.	Nomenclature of the store for which Assessment carried out	Recommended Monthly Production Capacity (MPC) on single shift	Remarks

b) Capable for development of the following equipment/stores for which registration carried out:

S No.	Nomenclature of the store for which Assessment carried out	Recommended Monthly Production Capacity (MPC) on single shift	Remarks

2. Monetary Limit (₹ ……Per Year) and Grading of the manufacturer.

3. No. of shifts the manufacture is capable of_____

Signature…….
Name & Designation ……
Date :
Place :

PART III
APPROVAL OF THE CONTROLLER

Accepted / Not Accepted for Registration of M/s ……..

Signature…….
Name & Designation ……

Date :
Place :

PART – IV
APPROVAL OF PRINCIPAL CONTROLLER FOR MULTI AsHSP EQUIPMENT / STORE

Approved / Not Approved for Registration

Date : Controller
Place : CQA( )

Appendix 'G'
(Ref to *Para 9.1*)

FIRMS LETTER HEAD

(This Appendix contains one page only)

Reference No. …….

From

M/s ……
……
……

To
Concerned AHSP or SQAE/Equivalent

APPLICATION FOR RENEWAL OF REGISTRATION OF MANUFACTURER TO DEFENCE

Dear Sir,

Kindly refer to Registration Certificate No. ……dated …….. valid upto …….

2. As per the conditions of the registration, we hereby apply Renewal of our registration. Our NCAGE reference is ……

3. I/We also hereby declare that there is no change in plant & machinery, infrastructure and Financial health against which the firm was originally registered.

4. Latest updated information with related documents is attached as Annexure to this application.

5. The renewal of registration may be done for following items for which we are already registered.

Yours faithfully,

SEAL

Signature of Authorised
Representative
Name with seal

Appendix 'H'
(Ref to *Para 19 & 19.1*)

DIRECTORATE GENERAL OF QUALITY ASSURANCE
CONTROLLERATE OF QUALITY ASSURANCE ( )
(This Appendix contains two pages)

REGISTRATION / RENEWAL CERTIFICATE

(Tick as applicable)

This is to certify that M/s ……. after assesemnt of their Manufacturing Capacity/Capability for defence items has been approved for registration vide Registration No. …… dated …….... as follows:

a) As a developed source having complete resources and is manufacturing following equipment/stores/items :

S. No.	Nomenclature and details of the store (s)	MPC per shift	Specifications	Supply order if executed
(Attach a separate sheet as Annexure if required)				

No. of items for which registered: …….. only
Monetary limit :
Capability of Number of shifts :
Category of Registration : Design, Development & Production / Development & Production / Production
Grading of manufacturer :
This certificate is valid up to :

c) This certificate is issued subject to conditions indicated overleaf.

Controller
CQA( )

Date :
Approving Authority on behalf of DGQA
Ministry of Defence

Conditions of Registration

1. Please apply for Renewal of registration on the prescribed form 90 days before expiry but not later than 60 days before expiry of this Certificate.

2. In case no application for Renewal is received on the prescribed form (which is available with AsHSP or the nearest SQAE) as stated above, your registration will lapse and the name will be automatically removed from the compendium of approved manufacturers without any further notice.

3. Changes, if any, in address or constitution of the manufacturer, major machinery/ equipment or technology used for the items registered should be intimated to the Registration Authority and concerned AsHSP/SQAE immediately on occurrence. Changes in location/ premises of the factory/works will render the registration as invalid.

4. The Approving Authority reserves the right to cancel this Registration certificate at any time during the validity of the Certificate. Once a Potential vendor has established himself as Developed vendor then he may be treated as such in-spite of the endorsement in the Registration certificate as Potential vendor.

Appendix 'J'
(Ref to Para 21)

COMPENDIUM OF REGISTERED MANUFACTURERS

…… DISCIPLINE

Add New Table

ALPHABETICAL LIST OF REGISTERED MANUFACTURERS

Section A

…… DISCIPLINE

Sl No.	Name and Address Manufacturers	NCAGE	Registration No. & Grading	Date	Items / Process	Monthly Production Capacity	Valid upto (Date)
1	2	3	4	5	6	7	8

Section B

PRODUCT-WISE ALPHABETICAL LIST CROSS LINKED WITH SERIAL NUMBER OF REGISTERED FIRMS LISTED IN SECTION A

S. No	Items	Serial Nos of Registered Firms listed in Section A

Appendix 'K'
(Ref to Para 21)

Notification No.

Notification Date

Period From…….. To ……

AMENDMENT No. TO COMPENDIUM OF REGISTERED MANUFACTURERS

DISCIPLINE

EDITION

VOLUME

SECTION

……
Details of Amendments

……
Issued by

……..

Controller

CQA ( )

Place :
Date :

Once a Potential vendor has established himself as Developed vendor, for a particular product, then corresponding endorsement may be made regarding change of status of the vendor, for the particular product

Appendix 'M'
(*Para 22 (d)*)

NORMS FOR PENALISING THE MANUFACTURERS IN CONSIGNEE END REJECTION (CER) WHERE THE MANUFACTURER IS AT FAULT

(This Appendix contains one page only)

1. Banning/Suspending business dealings/removal of manufacturer's name from the compendium are governed by the guidelines given in the Standardised Code for manufacturers and Joint Services Guide on Registration of Manufacturers for Defence, issued by the Ministry/Govt. In order to penalize the manufacturers who have defaulted in supplying 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 rejection to the manufacturer.	Warning to the manufacturer.
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 rejection to the manufacturer.	Removal from the compendium of Registered manufacturers 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 manufacturers for all items for which the manufacturer is registered.
d)	For repeat default thereafter and incase financial irregularity/cheating is involved.	Tech Dtes/AsHSP to initiate the case & after the approval of DGQA the case to be sent to Dte of P & C for Banning of Business dealing with the manufacturer.

2. The period of removal from compendium for default given at 1 (b) will be 01 year and for default given at 1(c) 3 years. All cases, where removal of manufacturers from compendium has been done for reasons mentioned at 1(b) & 1(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 manufacturer is registered. The details of the manufacturers removed from the compendium of account of 1(b) & 1(c) will also be circulated to all concerned for their information and necessary action.

Appendix 'N'
(Refers to Para 24.1)

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

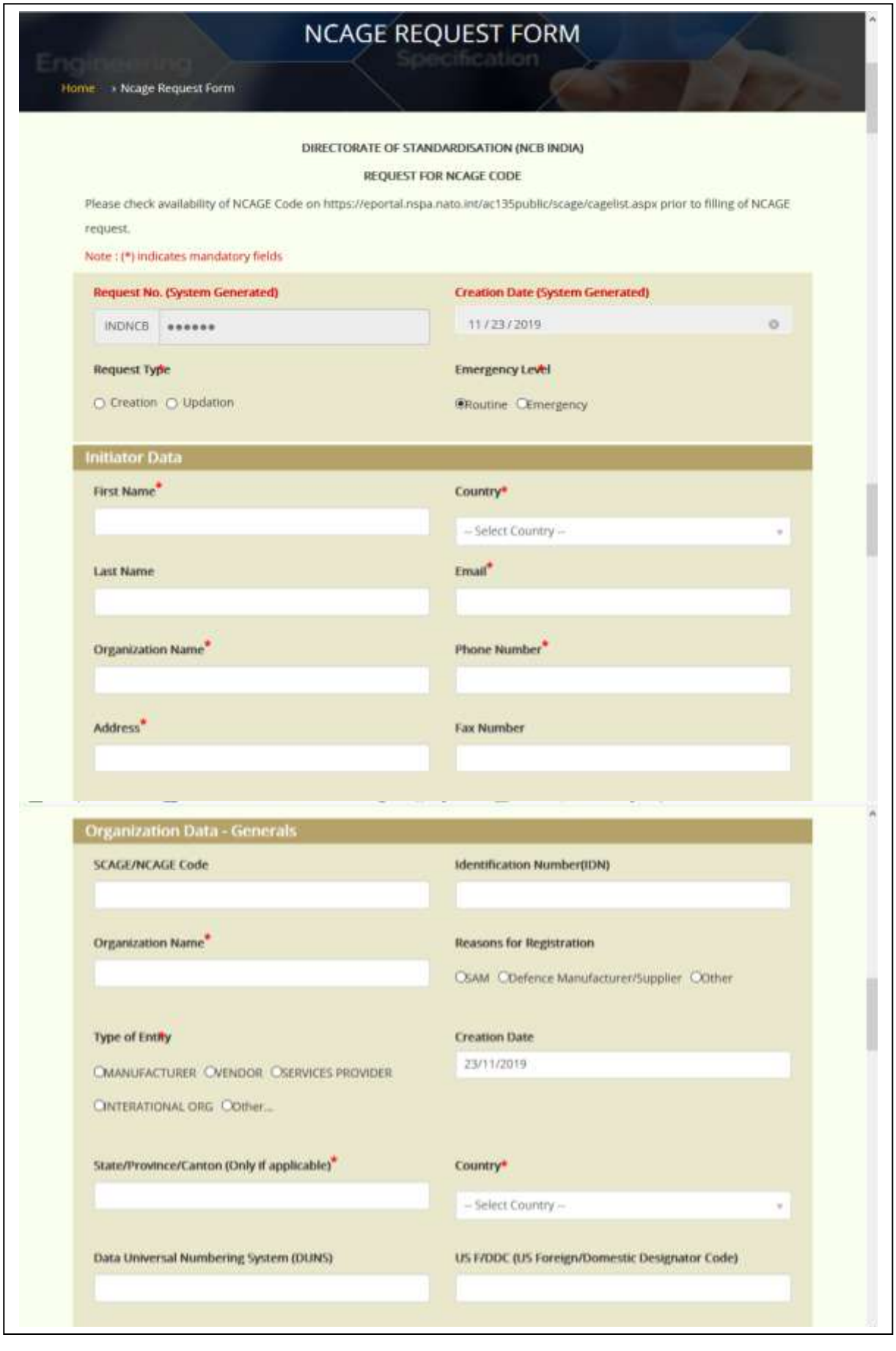
Step 1. Go to the URL https://ddpdos.gov.in/. You will get main page of Directorate of Stanadardisation, Department of Defence Production. Select menu 'NCB INDIA', from drop down go to 'SERVICES' and click on 'NCAGE Online'. A blank NCAGE request form appears.

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

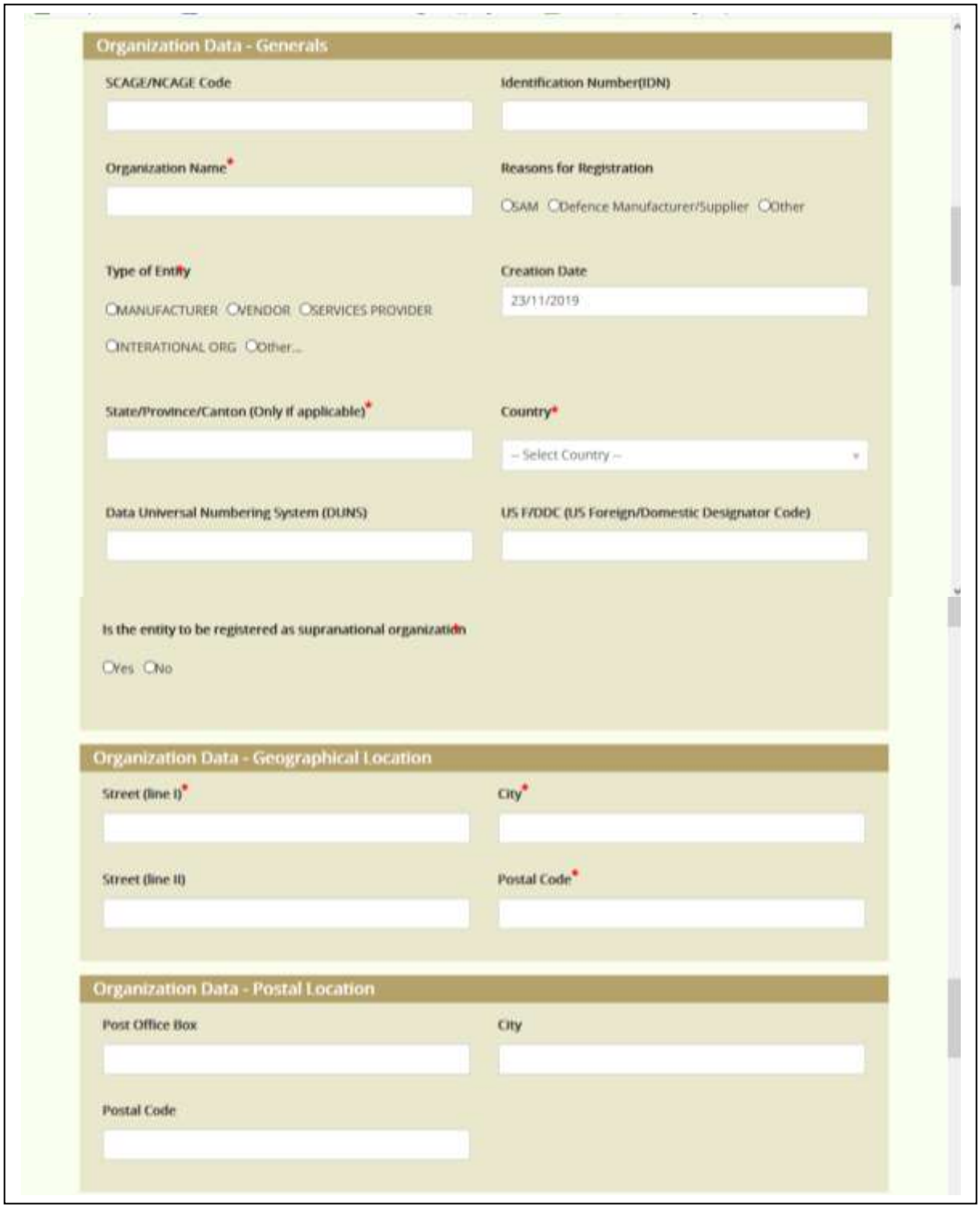
State/Province/Canton (Only if applicable)*

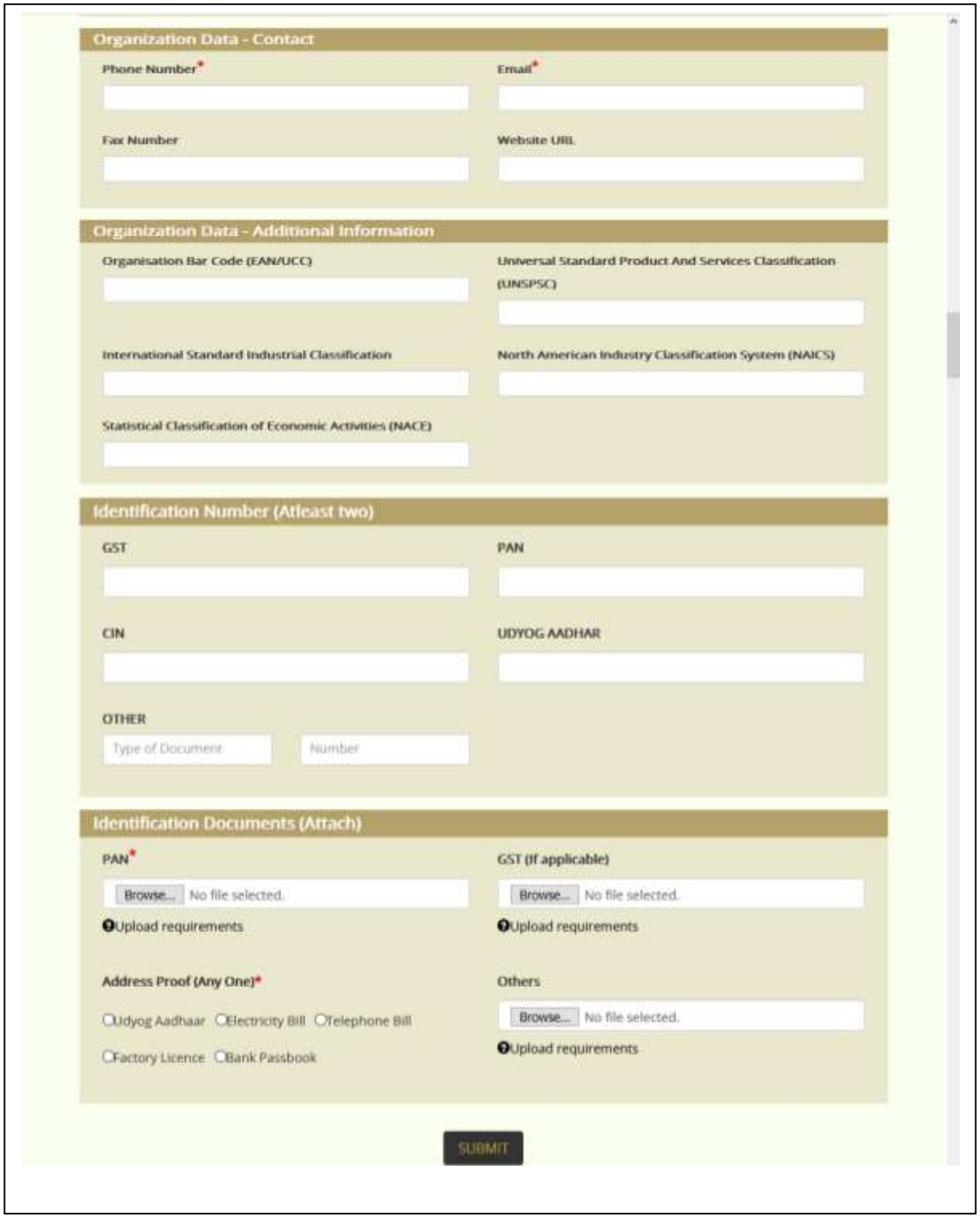
Country*

-- 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

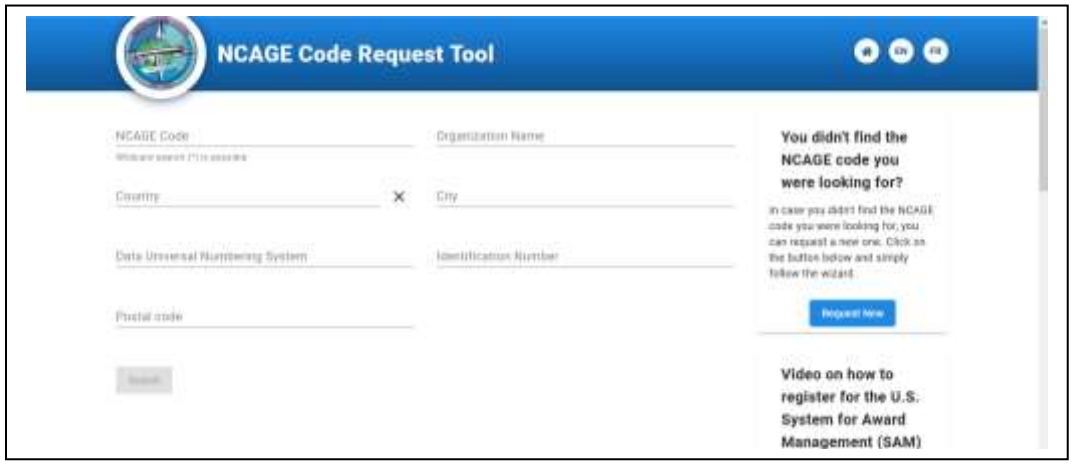


Step 4.Upload the scanned copies of at least two documents for verification and identification purposes.

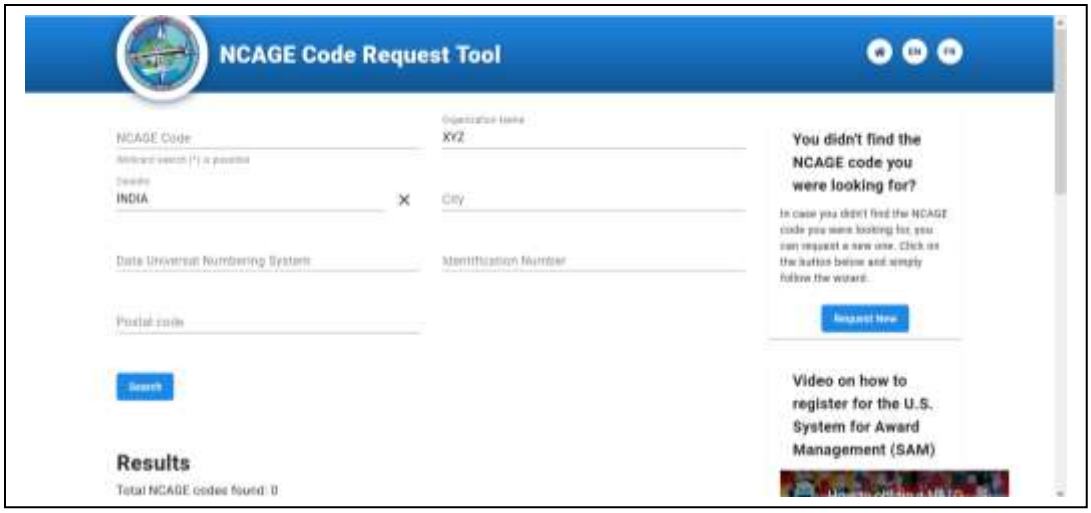
Step 5.Review/Recheck your filled request form and submit. Please note down the Request ID generated for future reference.

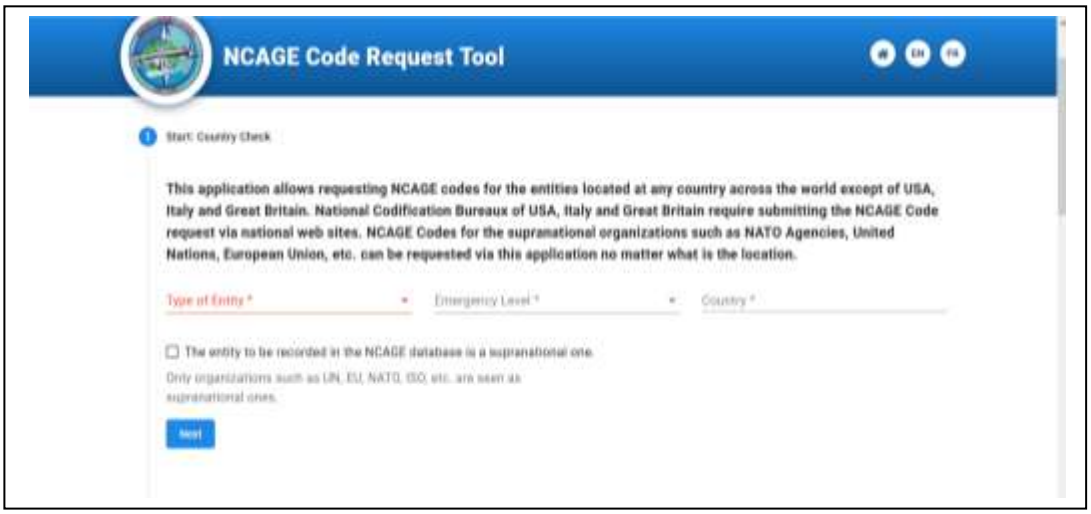
METHOD 2

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

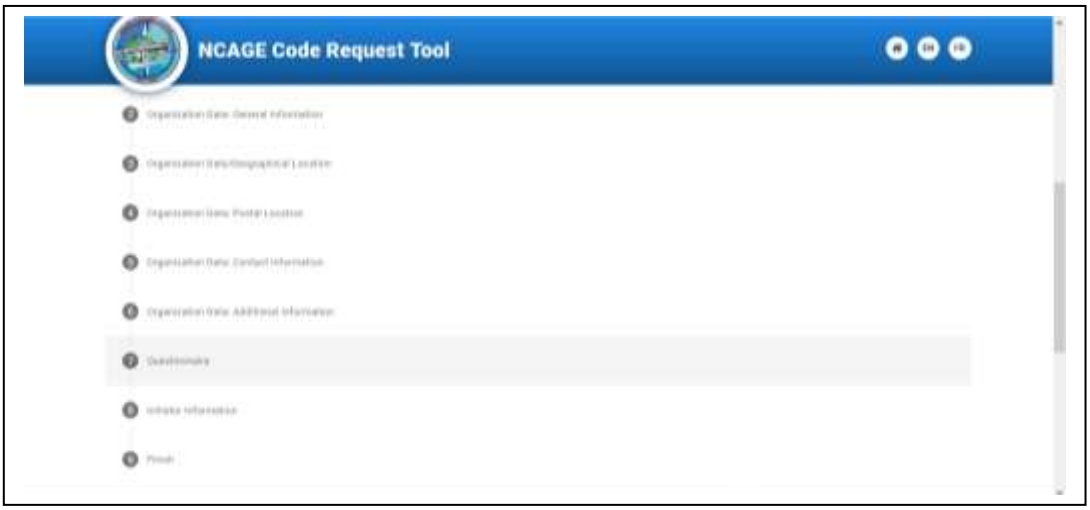


Step 2. Enter the details of your organization name (Example "XYZ" and enter India in the Country field, after entering the details of Organization name and country. You will see the following screen. If result appears zero (0). A button for "Request New" gets activated on the right side of the page.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