

File No.93244/14/SC/DGQA/Adm-19

MINISTRY OF DEFENCE
DGQA/ (PP&T) Dte/Adm-19

**SCHEME FOR AWARDING SELF-CERTIFICATION
FOR DPSUs & PVT VENDORS**

1. DDP invites comments from all stakeholders on the "Draft Scheme for Self Certification for DPSUs & Pvt Vendors" for defence items
2. Comments may be sent to DG, DGQA by 02/01/2019 through email at ppt-dgqa@nic.in.



सत्यमेव जयते

Deptt. of Defence Production

Self-certification Scheme

DPSUs & Pvt Vendors

Contents

2. Objective	3
4. Scope.....	4
6. Assessment	4
7. Authority	5
9. Revocation of Self-certification status	5
10. Renewal of Self-certification status	6
PROCEDURE FOR AWARD OF SELF CERTIFICATION STATUS	8
1. Scope.....	8
2. Applicability.....	8
3. Related Specifications and Documents: (the latest versions as applicable).....	8
4. Definitions	8
5. Procedure for award of Self-certification	10
6. Procedure for acceptance of Stores under Self-certification.....	15
7. Procedure for renewal of Self-certification status	18
Appendix 'A'	20
Matrices for assessment of QMS of DPSUs/ Pvt Vendors	20
Appendix 'B'	32
Performance Matrix for Self Certification of DPSUs & Pvt Vendors	32
Appendix 'C'	36
Appendix 'D'	37
Appendix 'E'	38

SCHEME FOR SELF CERTIFICATION OF DEFENCE PUBLIC SECTOR & PRIVATE INDUSTRIES

1. Introduction

1.1 Self-certification is the process adopted by Govt. of India, Deptt. of Defence Production (DDP) to delegate the responsibility of certifying the Quality of products to the manufacturer on behalf of purchaser, after ensuring the demonstration of the manufacturer's capability of consistently producing defect free products over a period of time. This reflects the Purchaser's confidence in the Supplier's sustained capability to manufacture without defects and ability to assure Quality.

1.2 At present, for the most part, the supplies effected by the DPSUs and those of the Pvt Vendors, excepting the few who have earned the Self-certification status, are subjected to Quality Assurance by DGQA per contracted norms. In light of the Govt reiterating self-reliance in the manufacture of defence products, the Self-certification scheme assumes greater significance.

1.3 Directorate General of Quality Assurance (DGQA) Organisation plays a predominant role in creating awareness amongst the Defence suppliers and encouraging them to work towards achieving Self-certification status. This scheme has been formulated to bring the DPSUs into the fold and encourage the Defence Suppliers to achieve the Self-certification status in greater numbers.

2. Objective

In a world of fierce competition where Quality has emerged as the defining factor, it is imperative that Defence Suppliers be responsible for the Quality built into the product. When a Supplier with self-evident Quality systems that meet requisite Standards is awarded the status of Self certification, it encourages them to assume direct responsibility to sustain and improve the standard of Quality. Accordingly, this scheme is intended to integrate Quality throughout the manufacturing process thereby ensuring better reliability of the end product.

3. Applicability

This scheme is open to all Defence Public Sector Undertakings (DPSUs) as well as Private (Pvt) Vendors with state of the art manufacturing infrastructure and demonstrated capability to consistently fulfil the stipulated requirements, as evidenced by consistently high Vendor Rating during execution of Defence orders in the preceding three years.

4. Scope

This scheme lays down the requirements, criteria and assessment procedure for awarding Self-certification status to DPSUs as well as Pvt Vendors, its validity and withdrawal, and executive instructions for acceptance of stores under the scheme.

5. Eligibility criteria

5.1 The DPSUs/ Pvt Vendors shall exhibit a stellar past performance demonstrated by a consistently maintained Supplier Rating above 90%. The process should be stable and Process Capability Index (Cpk value) should be greater than 1.33.

5.2 The DPSUs/ Pvt Vendors shall have established a Quality Management System (QMS) certified as per the requirements of ISO 9001: 2015 and its revisions.

5.3 The test labs of the DPSUs/ Pvt Vendors shall have Quality Systems in conformance with ISO/IEC 17025 and preferably be NABL accredited.

6. Assessment

6.1 The DPSUs/ Pvt Vendors seeking product specific Self-certification status shall be assessed by the nominated team headed by the ADGQA as per the following criteria, with a minimum score of 90% in both:

6.1.1 The QMS of the DPSUs/ Pvt Vendors shall be assessed as per the matrices defined in **Appendix 'A'** of the Procedure for grant of Self-certification.

6.1.2 The DPSUs/ Pvt Vendors shall work out Performance Matrices as relevant to the product in consultation with DGQA to demonstrate consistency in quality over the preceding three years. These matrices, based on various parameters, are given in **Appendix 'B'** of Procedure for grant of Self-certification.

7. Authority

The authority to grant Self-certification status to DPSU/ Pvt Vendors on the recommendation of the nominated assessment team rests with the DGQA.

8. Validity

The Self-certification status shall be applicable for three years from the date of issue of the certificate. It may be revoked through a withdrawal notification by DGQA or his authorized rep if Quality Audit or other feedback on Quality of the product is not satisfactory at any time. The validity of the Self-certification status would be deemed to be automatically extended, in the event of an on-going contract for that store or another order has been placed for the same store during the currency of the earlier contract, till the supplies of the store are completed.

9. Revocation of Self-certification status

9.1 During the period of execution of orders under Self-certification, any non-conformance in Quality and Reliability of product performance observed by the User will warrant immediate revocation of the Self-certification status.

9.2 If major defects are observed during the Quality Audit or evaluation of Control Samples carried out by DGQA, action will be initiated to review and, if necessary, cancel the Self-certification status accorded.

10. Renewal of Self-certification status

10.1 The DPSU/ Pvt Vendor will apply to the AHSP for renewal of Self-certification status at least 90 days prior to the expiry of validity, giving details of orders executed during the last three years. It will be renewed for a further period of three years, within 60 days but in no case later than 90 days of receipt of the application. Renewal shall be subject to successful completion of supply orders for the item during the term of Self-certification with a consistent Final Rating of at least 90% without any adverse feedback from the Customer on each supply order including the performance of the stores during Warranty period.

10.2 In case the concerned DPSU/ Pvt Vendor has not received any Supply Order, or has completed the orders received but with adverse feedback on the store supplied, or has not successfully executed the requisite number of orders, renewal of Self-certification will be done after re-assessment.

11. Acceptance of self-certified stores

11.1 Responsibility for Quality: The responsibility for dispatch of stores of approved quality to the consignee rests with the DPSU/ Pvt Vendor. The concerned DPSU/ Pvt Vendor shall nominate officials from their organization as authorised functionaries responsible for assuring the quality of the final consignment vis-a-vis the drawing/specification requirements. Stores consigned under Self-certification will be uniquely identified as such with a label, certified by the authorized functionaries and supported by complete Test Reports and Warranty Certificates. The authorized functionary under the scheme shall also certify that the stores are manufactured as per approved Quality System and are meeting the specification requirements and other conditions in all respects.

11.2 Inspection Note: DGQA will not issue Inspection Notes for consignments supplied under Self-certification. On receipt at the Depot, the consignee will carry out Receipt Inspection by a Board of Officers. The Inspection Note for conforming consignments will be franked by the Board of Officers as "Accepted" to enable payment to the Supplier.

11.3 Quality Audit: During the currency of Self-certification, periodic audit of the processes and Quality system of the DPSU/ Pvt Vendor will be carried out by DGQA to confirm that QA activities are carried out as per the agreed terms and conditions, including use of the stamp of approval on the accepted stores. In the case of minor observations during such checks, the DPSU/ Pvt Vendor will be apprised of necessary improvements to be effected. Also, Control samples will be drawn at random from the any of the accepted lots for assessing conformity with the specification. Test results of the Control samples so drawn will be analysed by the AHSP and action taken as deemed. However, the drawing and testing of the Control samples shall not affect/delay the release of the lot.

10.4 Traceability: The DPSU/ Pvt Vendor shall ensure the batch-wise traceability of the final product to raw material test reports and manufacturing processes including Casting, Forging, Heat treatment, Surface treatment etc. The batch codes maintained shall uniquely identify the raw material lot, the date and shift of manufacturing, the machine used and the name of the operator, if operator qualification is required.

10.5 Defect Investigation: Whenever defects are reported on the self certified stores during exploitation by the User, the DPSU/ Pvt Vendor shall initiate action on the Defect Report within 72 hrs. The defective item will be rectified or replaced at the earliest and the root cause will be analysed in depth in association with the concerned AHSP for instituting corrective and preventive measures. The DPSU/ Pvt Vendor will report details of the defect, the causes and the rectification, corrective and preventive action carried out to the AHSP.

PROCEDURE FOR AWARD OF SELF CERTIFICATION STATUS

1. **Scope**

This document is a supplement to the Self-certification Scheme, laying down the procedure for awarding Self-certification to DPSUs and Pvt Vendors and the Governing Conditions.

2. **Applicability**

The guidelines and procedure contained in this document are to be followed, by all the Technical Directorates of DGQA and Defence Services as well as establishments there-under, for award of Self-certification status for supply of products and any materials/components/sub assembly/assembly used in the production of equipment supplied to the Defence Services under their Self-certification.

3. **Related Specifications and Documents:** (the latest versions as applicable)

- (a) ISO 9001:2015
- (b) ISO/ IEC 17025 : 2017
- (c) MIL-STD-781D
- (d) MIL-HDBK-781
- (e) JSG: 015-03 : 2018
- (f) IS 12040: 2016
- (g) Defence Procurement Manual - DPM 2009

4. **Definitions**

4.1 Self-certification: Self-certification is the status awarded to manufacturers to certify, through their approved designated functionary, the specific products produced by them, through an approved Quality System for supply to Defence.

4.2 Authority Holding Sealed Particulars (AHSP): AHSP is the authority responsible for collecting, collating, developing, amending, updating, holding and supplying sealed particulars of the defence items in accordance with the laid down procedure. AHSP may be the Directorate General of Quality Assurance (DGQA) or an authority in the Service Headquarters for Service specific items.

Similar responsibility for the Naval and Air Force equipment rests with respective Service Headquarters. Ord Fys are the AHSP for certain 'B' vehicles and items issued to Indenters, other than the Defence Services. DGAQA is the AHSP for aviation stores of all the Services and the Coast Guard. Procurement Agencies, Suppliers and Inspection Agencies are required to comply with the specifications drawn up by the AHSP.

4.3 Contract: A proposal or offer when accepted is a promise, a promise and every set of promises forming the consideration for each other is an agreement and an agreement, if made with free consent of parties competent to contract, for a lawful consideration and with a lawful object, is a contract

4.4 Indent: An indent is a requisition placed by the provisioning authority on the procurement agency to procure an item. Indent is the authority for initiating procurement action and may contain one or more items, each with a distinct item code/ part number. All necessary details of the item, including quantity, denomination, estimated price, specification, scope of supply, date by which required and inspection authority are to be indicated in the indent to enable prompt procurement of the item.

4.5 Inspecting Authority for Self-certified stores: Normally, AHSP is designated as the Inspecting Authority. This can be DGQA/DGAQA/DGNAI for defence related items or the AHSP in Service Headquarters for specified category of items. The Inspecting Authority decides the procedure for assurance of quality of the stores and the periodicity of surveillance audit of the processes and system for continuity and consistency.

4.6 SQAO/ QAO for Self-certified stores: The Inspecting Authority nominates the SQAO/ QAO for specific contracts who could be the Regional SQAE/ QAE under whose geographical location the Supplier is located or the SQAE/ QA Division of the Controllerate of Quality Assurance situated within the DPSU.

4.7 Original Equipment Manufacturer (OEM): The original equipment manufacturer is the only firm manufacturing the specified item/ equipment of a specific make, as distinguished from the stockists/ distributors or suppliers of such items/ equipment and no other manufacturer exists for that equipment.

4.8 Purchaser: The President of India acting through the authority issuing the purchase/ supply orders or signing the Contracts/ Memo of Understanding/ Agreements, is the Purchaser in all cases of procurement on behalf of the Government of India.

4.9 Manufacturer of Self certified stores: Manufacturer is an entity that enters into a contract with the Defence Purchaser for supply of Self-certified eqpt/stores. The raw material, components and assemblies shall be developed into the specified eqpt/ stores in his factory premises through an established process using state of art plant and machinery.

4.10 Inspecting Officer for Self certified stores: The Inspecting Officer is the Board of Officers, at the respective consignee Depot, authorized to inspect and accept the consignment of the self certified stores on receipt. The Board of Officers is responsible for issuing the Inspection Note to facilitate payment to the Supplier.

5. **Procedure for award of Self-certification**

5.1 Self-certification status awarded is product specific. The desirous DPSU/ Pvt Vendor is required to apply to the AHSP concerned with data of the items supplied in the last three years including a comprehensive report on assessment of Quality Management Systems (QMS) and Performance Matrices. Based on the recommendations of the assessment team, Self-certification will be granted by the DGQA.

5.2 The competent authorities in respect of various aspects of the Self-certification will be as under:-

- (a) Initiation : AHSP concerned
- (b) Recommendation : Assessment Team thro Technical Directorate
- (c) Approval : DGQA

5.3 Eligibility criteria: Qualification in terms of Process Capability and Final Supplier Rating will only make the said DPSU/ Pvt Vendor eligible for further assessment as enumerated at para 5.5 below.

5.3.1 **Process Capability**: The process should be stable and Process Capability Index (Cpk) should be greater than 1.33. This

information provided by the DPSU/ Pvt Vendor will be subjected to scrutiny and verification by the DGQA.

5.3.2 Final Supplier Rating : The past performance of the DPSUs/ Pvt Vendors will be assessed through the '**Final Supplier Rating**' with the following weightages, arrived at on the basis of '**Quality Rating**', '**Delivery Rating**' and '**System Rating**' in respect of the supplies executed :

- (a) Quality Rating 60 %,
- (b) Delivery Rating 30 % and
- (c) System Rating 10%.

5.3.3 'Quality Rating' and 'Delivery Rating' will be calculated as enumerated at paras 5.3.4 and 5.3.5 below and 'System Rating' as per clause 7.6 of IS: 12040-2016. The 'Final Rating', thus arrived at should have been maintained consistently above 90% over the last three years for every supply of the particular product.

5.3.4 Quality Rating (QR): Following attributes shall be considered :

- (a) Quality of supplies as per the contractual specification
- (b) Number of rejections/ rectifications/ modifications effected to meet the laid down specification
- (c) Quality Systems adopted, effectiveness of the processes involved and the Quality Control (QC) methods to achieve the end product Quality
- (d) Effectiveness of the policy followed to ensure the Quality of inward goods from sub-contractors and the raw material / bought out items and their traceability
- (e) Effectiveness and independence of the QC Deptt and the Quality Management processes.

Quality Rating (weightage 60) will be calculated as follows:-

$$QR = \sum \frac{Na}{Ni}$$

where,

Na is the Quantity accepted

Ni is the Quantity offered for inspection, irrespective of the lot being segregated /rectified by the manufacturer

Note: Σ Indicates summation of QRs computed for all the lots supplied during the last three years

5.3.5 Delivery Rating (DR) : Following attributes shall be considered:-

(a) Deliveries should be timely. Delays caused by the Purchaser are not to be considered in computation of DR

(b) Number of extensions of Delivery Dates sought by the DPSU/ Pvt Vendor

(c) Effectiveness of planning and coordination of the DPSU/ Pvt Vendor to meet the stipulated delivery schedules especially when imported items / raw materials are involved

(d) DR depends on the quantity supplied within the stipulated delivery schedule. In the case of staggered delivery schedules mentioned in Supply Order/ Contract, the DR will be calculated for each of the schedules and restricted to a maximum of 1 for each instant and then averaged. The DR (weightage 30) will be calculated using the following formula:

$$DR = \frac{Q1}{Q} \times \frac{T}{(T \times p + T1 \times q)}$$

where,

Q is the contracted Quantity to be supplied within the stipulated delivery time

Q1 is the actual Quantity supplied within the stipulated delivery time

T is the originally contracted delivery schedule

T1 is the actual delivery schedule (The delivery time shall be taken from the date of offering acceptable stores by the DPSU/ Pvt Vendor)

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

$$q = 1 - p$$

5.3.6 System Rating (SR): Management defines requirements under 'Management Responsibility'; necessary resources are determined and applied within 'Resource Management'; processes are established and implemented under 'Product Realization'; and results are measured, analyzed and improved through 'Measurement Analysis and Improvement'.

As a result, the System Rating (SR) of a DPSU/ Pvt Vendor is defined as follows:

$$SR = \frac{S_M + S_{RM} + S_P + S_I}{4}$$

where,

S_M = System rating based on management responsibility

S_{RM} = System rating based on resource management

S_P = System rating based on product realization

S_I = System rating based on measurement, analysis and improvement

5.3.7 Each constituent of the System Rating as listed above shall be graded, as per Cl 7.6 of IS 12040: 2016, on a scale of 1 to 100, for the factors given below:

<u>Factor</u>	<u>Max score</u>	<u>Marks awarded</u>
(a) Awareness	10	
(b) Documentation	20	
(c) Implementation	30	
(d) Effectiveness	20	
(e) Continual Improvement	20	

5.3.8 The above grading will be done taking into account data on the following:

- (a) Effectiveness of Defect Analysis and the consequent Corrective Action

(b) Promptness and effectiveness of addressing non conformances/ observations raised during Process Audit

(c) Collection and analysis of data regarding Quality and Reliability of the products and action taken for improvement. These data may pertain to Vendor Quality, Process Quality and Customer feedback.

5.4 Grant of Self-certification will be based on the recommendations of the team nominated to assess the QMS and performance matrices of the DPSUs and Pvt Vendors. The composition of the assessment team will be as follows:

(a) Chairman - Addl DGQA

(b) Members - (i) Controller of AHSP concerned
(ii) Regional SQA/QAO of the DPSU/ Pvt Vendor
(iii) User rep nominated by the MGO Br
(iv) Any other member nominated by DGQA

(c) Representative nominated by concerned DPSU/ Pvt Vendor to assist the team

5.5 The DPSUs/ Pvt Vendors seeking Self-certification status shall be assessed as per the following criteria for grant of product specific Self-certification. The score obtained should be above 90% in both the criteria:-

(a) Quality Management System: The DPSUs/ Pvt Vendors shall have established a Quality Management System (QMS) and got it certified as per the requirements of ISO 9001: 2015 and its revisions. The QMS of the DPSUs/ Pvt Vendors will be assessed as per the matrices including certain mandatory requirements (asterisk marked) enclosed as **Appendix 'A'**. The observations during the assessment shall be recorded and follow-up action taken by the DPSUs/ Pvt Vendors shall be made available to the assessment team within the agreed, definitive time frame. The test labs of the DPSUs/ Pvt Vendors shall have Quality Systems in conformance with ISO/IEC 17025 and preferably be NABL accredited.

(b) Performance Matrices: The DPSUs/ Pvt Vendors will work out Performance Matrices as relevant to the product in consultation with DGQA. The same will be demonstrated to justify the consistency in quality over last three years prior to grant of product specific Self-certification.

These matrices based on various parameters are given at **Appendix 'B'**.

5.6 The assessment of Quality Management System, Labs/ Test Conditions and Performance Matrices of the DPSUs and Pvt Vendors will be carried out preferably by personnel trained in quality audit. In the case of equipment that involves multiple AsHSP, the assessment team will comprise Controllers of all the AsHSP.

5.7 The grant of Self-certification will be based on the outcome of the assessment report. Absolute transparency will be maintained during evaluation for Self-certification and this data will be made available to the DPSU and Pvt Vendor.

5.8 Approval for grant of Self-certification status is given by the DGQA. The certificate will be issued in the format given at **Appendix 'C'**. The concerned DPSU/ Pvt Vendor will be intimated of the nomenclature of the products alongwith their Cat/ Part Number and specifications / drawings for which Self-certification status is granted.

6. **Procedure for acceptance of Stores under Self-certification**

6.1 DGQA will not issue Inspection Note for consignments supplied under Self-certification. The stores consigned under Self-certification shall be uniquely identified as such with a label, certified by the authorized functionaries of the DPSU/ Pvt Vendor.

6.2 The Inspecting Authority will designate the SQAQO/ QAO for each of the stores covered under Self-certification during the currency of Self-certification period. The concerned DPSU/ Pvt Vendor shall nominate officials from their organization as authorized functionaries who will be responsible for assuring the quality of the final consignment for its conformance to the drawing / specification requirements.

6.3 The AHSP will retain the details of the seal and acceptance mark of the authorized functionary of the DPSU/ Pvt Vendor that will be affixed on the accepted stores despatched to the Consignee for future reference. The authorized functionary so assigned shall not be changed during the currency of the contract placed under Self-certification scheme. Should a change be necessitated, the above procedure will be repeated with a minimum of 3 months' planning without affecting the quality and delivery schedule of the contracted stores.

6.4 The DPSU/ Pvt Vendor will inform readiness of the stores for despatch to the designated SQAQ/ QAO on a Conformance Certificate which shall indicate the Indent/ Supply order reference, Self-certification reference and other details such as, Nomenclature, Part No, Quantity, Governing specification, Consignee etc. along with complete Test Reports, Warranty Certificate and a Certificate signed by the authorized functionary under the scheme certifying that the stores are manufactured as per approved Quality System and are meeting the specification requirements and other conditions in all respects. One set of the documents prepared in duplicate will be submitted to the designated SQAQ/ QAO and the other to the Consignee along with the stores. A specimen Conformance Certificate submitted along with every consignment under Self-certification is given at **Appendix 'D'** attached for guidance.

6.5 The authorized functionary of the DPSU/ Pvt Vendor shall inspect, certify and dispatch the accepted stores to the consignee along with one set of all documents. The Inspection Note, as per the DGS&D(S) – 84 or IAAF 1443 will be prepared by the authorized functionary of the DPSU/ Pvt Vendor duly filling out the details and certifying that the stores, identified by the approved acceptance mark, fully meet the requirements of the drawing and specification contracted. It will be signed by the Board of Officers after verifying that the final consignment received at the Consignee conforms to the technical requirements of drawings/ specification. The distribution list for the Inspection Note shall be as given below:

Copy Nos.1 & 2 marked as 'Accounts Office Copy No.1 and 'Accounts Office Copy No.2'.

Copy No. 3 : Supplier
Copy No. 4 : Consignee
Copy No. 5 : AHSP
Copy No. 6 : Indentor
Copy No. 7 : SQAQO/ QAO

6.6 The responsibility for dispatch of stores of approved quality to the consignee rests with the DPSU/ Pvt Vendor. Payment shall be made only on acceptance of consignment at consignee location.

6.7 As per the procedure followed in DGQA, Control samples are required to be forwarded to the AHSP for testing parameters critical to Quality to assess the standard of inspection carried out, without delaying the despatch of the bulk. The same concept of drawal and testing of Control samples shall be followed in respect of the Vendors granted Self-certification status. On the instructions of the AHSP, the designated SQAQO/ QAO shall draw Control samples at random from the any accepted lot for assessing conformity with the specification. Test results of the Control samples so drawn will be analysed by the AHSP and action taken as per clause 6.8 given below. However, the drawal and testing of the Control samples would not affect/ delay the release of the lot.

6.8 In the case of minor observations during such checks, the DPSU/ Pvt Vendor will be apprised of necessary improvements to be effected. In case of major defects, action will be initiated by the AHSP to review and if necessary, cancel Self-certification status accorded to the concerned DPSU/ Pvt Vendor after necessary interaction and show cause notice. Approval of the DGQA through the Addl DGQA will be obtained where it is considered necessary to withdraw the Self-certification status.

6.9 During the currency of Self-certification, periodic, surprise audit of the processes and Quality system of the DPSU/ Pvt Vendor will be carried out by the designated SQAQO/ QAO as per the directions of the AHSP who will determine the scope and extent of the same. The objective of the audit is to confirm that QA

activities are carried out as per the agreed terms and conditions including use of the approved stamp on the accepted stores. .

6.10 Whenever defects are reported on the self certified stores during exploitation by the User, the DPSU/ Pvt Vendor will initiate action on the Defect Report within 72 hrs. The defective item will be rectified or replaced at the earliest and the root cause will be analysed in depth for instituting corrective and preventive measures. The concerned AHSP will associate in the Root Cause Analysis. The DPSU/ Pvt Vendor will report details of the defect, the causes and the rectification, corrective and preventive action carried out to the AHSP.

6.11 Complete record of assessment of the DPSU/ Pvt Vendor for award of Self-certification status and further operation of the scheme product wise and DPSU / Pvt Vendor wise will be maintained by the SQAQO/ QAO.

6.12 Traceability is an important aspect to be maintained in the stores supplied under Self-certification. The DPSU/ Pvt Vendor shall ensure the batch-wise traceability of the final product to raw material test reports and manufacturing processes including those like Casting, Forging, Heat treatment, Surface treatment etc. The batch codes maintained shall uniquely identify the raw material lot, the date and shift of manufacturing, the machine used and the name of the operator if operator qualification is required. While implementing the Self-certification scheme, uniformity of standards of acceptance for similar stores will be maintained.

7. Procedure for renewal of Self-certification status

7.1 The DPSU/ Pvt Vendor will approach the AHSP under intimation to the designated SQAQO/ QAO for renewal of Self-certification status at least 90 days prior to the expiry of validity giving details of orders executed by them during the last three years. AHSP will initiate action accordingly for renewal in terms of guidelines given in sub-paras (b) and (c) below.

7.2 Self-certification status for an item will be renewed for another three years in case supply orders for the item have been successfully completed during the term of Self-certification with a consistent Final Supplier Rating of at least 90% without any adverse feedback from the Customer, supported by a structured

survey/ questionnaire filled from the Line Directorate. The feedback shall be obtained half yearly from concerned agencies like Storage Depots, User / Line Dte, Maintenance Agency etc, on the following factors on a scale of 1 to 10:

- (i) Exploitation
- (ii) Reliability
- (iii) Ease of Maintenance
- (iv) Uptime Availability
- (v) Easy availability of maintenance spares

7.3 In case the concerned DPSU/ Pvt Vendor has not received any Supply Order or has completed the orders received but there has been an adverse feedback on the store supplied or in case the DPSU/ Pvt Vendor has not successfully executed requisite number of orders, renewal of Self-certification will be done after re-assessment.

7.4 The Self-certification shall be renewed by DGQA within 60 days of receipt of the application for the same but in no case later than 90 days.

7.5 The validity of the Self-certification status would be deemed to be automatically extended, in the event that the Vendor is in the process of servicing an on-going contract for that store or another order has been placed for the same store during the currency of the earlier contract, till the supplies of the store are completed.

7.6 Renewal certificate format is given at **Appendix 'E'**.

Matrices for assessment of QMS of DPSUs/ Pvt Vendors

Sl No	QMS Requirement	Yes	No	Remarks
1.	<p><u>Context of Organization:</u></p> <p>a) What is expected of the QMS?</p> <p>b) Are the external & internal issues that can affect the intended results from the QMS determined?</p> <p>c) What are the needs & expectations of interested parties that have been identified?</p> <p>d) Is there a culture of identifying and utilizing opportunities and mitigating potential risks before they occur?</p> <p>e) Is the scope of the QMS established determining the boundaries and applicability?</p> <p>Evidence of planning integration of the organizational processes to realize the intent of the QMS may be in the form of</p> <ul style="list-style-type: none"> • SWOT analysis & its regular review • 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. • Conducting surveys to analyze Social and Economic environments, trends in Trade & 			<p>2</p> <p>2</p> <p>2</p> <p>2</p> <p>2</p>

	Technology, changes in Statutory & Regulatory requirements and opportunities to expand			
2.	<p><u>QMS processes</u></p> <p>a) Are Processes defined in detail including their interrelationships & interactions?</p> <p>b) Are Process Maps/ SIPOC (Suppliers, Input, Process, Output, Customers) Flow Chart available that graphically describe all the requirements which include:</p> <ul style="list-style-type: none"> • Identifying Inputs required for the Processes & the Outputs expected of them • Assigning Authorities & Responsibilities for the Processes • Identifying Risks & Opportunities associated with the Processes and Planning & Implementing actions to address them • Applying the determined criteria & methods to ensure effective operation and control of Processes <p>c) Is there a 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.</p>			<p>2</p> <p>4</p> <p>2</p>
3.	<p><u>Leadership</u></p> <p>a) Does the Top Management accept accountability for the effectiveness of QMS?</p> <p>b) Is the Quality Policy clearly spelt out? If so, is it appropriate & compatible with the purpose, context and</p>			<p>2</p> <p>2</p>

	<p>strategic direction of the Organization?</p> <p>c) Is the Quality Policy understood and applied within the Organization?</p> <p>d) Is the importance of effectively conforming to the QMS requirements communicated across the Organization?</p> <p>e) Are the QMS requirements integrated into the organization's processes?</p> <p>f) Is the Top Management visibly engaging, directing & supporting employees in contributing to the effectiveness of QMS?</p> <p>g) Is the Top Management conveying the culture of QMS data based decision making and their intent to continually seek scope for improvement?</p> <p>h) Is the Top Management ensuring that customer and statutory & regulatory requirements, as applicable, are determined, understood and consistently met?</p> <p>j) Do the actions of the Top Management demonstrate focus on enhancing customer satisfaction?</p> <p>k) Is the Top Management promoting the use of Process Approach & Risk based thinking?</p> <p>l) Has Top Management assigned the responsibility and authority for ensuring:</p> <ul style="list-style-type: none"> • conformance to requirements of QMS Standard • delivery of intended process outputs • promotion of customer focus throughout • integrity of QMS whenever changes are made 			<p>1</p> <p>1</p> <p>1</p> <p>1</p> <p>1</p> <p>1</p> <p>2</p> <p>2</p> <p>4</p>
--	---	--	--	--

	m) Are there mechanisms to report to Top Management on performance of QMS and opportunities for improvement?			2
4.	<p><u>Planning</u></p> <p>a) Is there an institutionalized practice of Risk Management cycle?</p> <ul style="list-style-type: none"> ➤ Identifying Risks & Opportunities ➤ Analyzing & prioritizing Risks & Opportunities ➤ Planning actions to address risk ➤ Implementing plan ➤ Checking effectiveness of actions ➤ Learning from experience <p>b) Are measurable Quality Objectives established for various functions at relevant levels? Are they derived from and consistent with Quality Policy?</p> <p>c) Are Quality Objectives communicated to those responsible, measured, monitored for achievement and updated as appropriate?</p>			6
				2
				2
5.	<p><u>Support</u></p> <p>a) Are the infrastructure, resources, environment and manpower required to ensure valid & reliable results planned and made available?</p> <p>b) Are outsourcing requirements planned taking into account capabilities & constraints of internal resources?</p> <p>c) Where measurement traceability is required, are calibration schedules maintained for those measuring equipment?</p> <p>d) Is the calibration carried out, at predetermined</p>			2
				2
				2
				3

	<p>intervals, traceable to national/ international standards? Is the calibration status of the equipment identified? Are they safeguarded from possible damage/ adjustments?</p> <p>e) What is the action taken on the immediately preceding results when measuring equipment is found unfit?</p> <p>f) How is organizational knowledge managed?</p> <p>g) Is there a system of drawing competence matrix based on educational qualification, training & experience for such work that will affect the performance & effectiveness of QMS?</p> <p>h) Are people trained, where required, based on Need Analysis?</p> <p>j) Are modes of communication established with reference to the matter to be communicated?</p> <p>k) 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?</p> <p>l) Are the documented information identified, formatted, reviewed and approved?</p> <p>m) Are they available where & when needed and adequately protected?</p> <p>n) Are their distribution, access, storage, retrieval, period of retention and disposal addressed adequately?</p>			<p>2</p> <p>2</p> <p>1</p> <p>2</p> <p>1</p> <p>2</p> <p>2</p> <p>2</p> <p>6</p>
--	---	--	--	--

	<p>Minimum documentation required to be maintained as per ISO 9001:2015 are:</p> <ul style="list-style-type: none"> ➤ Information needed to support the operation of its processes (4.4.2 a) ➤ Quality Policy (5.2.2 a) ➤ Quality objectives (6.2.1) ➤ Operational planning and control (8.1e) ➤ Control of production & service provision (8.5.1) <p>Minimum documentation to be retained as per ISO 9001:2015 are:</p> <ul style="list-style-type: none"> ➤ To have confidence that processes are being carried out as planned (4.4.2 b) ➤ Monitoring and measurement of resources (7.1.5.1 and 7.1.5.2a) ➤ Competence (7.2d) ➤ Operational planning and control (8.1e) ➤ Review of requirements related to products and services (8.2.3.2) ➤ Design and development inputs (8.3.3) ➤ Design and development controls (8.3.4,f) ➤ Design and development output (8.3.5) ➤ Design and development change (8.3.6) ➤ Externally provided processes, products & services (8.4.1) ➤ Identification & Traceability (8.5.2) ➤ Property belonging to customers or external parties (8.5.3) ➤ Control of changes (8.5.6) ➤ Release of products and services (8.6) 			
--	---	--	--	--

	<ul style="list-style-type: none"> ➤ Control of nonconforming process output, products & services (8.7.2) ➤ Release of product and services (8.6) ➤ Control of nonconforming outputs (8.7.2) ➤ Monitoring, measurement, analysis and evaluation (9.1.1) ➤ Internal audit (9.2.2f) ➤ Management review outputs (9.3.3) ➤ Nonconformity & corrective action (10.2.2) 			
6.	<p><u>Operation</u></p> <p><u>Planning & control</u></p> <p>a) Are the requirements for products & services determined? Do they include statutory & regulatory requirements?</p> <p>b) Are criteria for processes and acceptance of products & services established?</p> <p>c) Are the resources required to achieve conformity of products & services determined?</p> <p>d) Are process controls implemented in accordance with criteria?</p> <p>e) How are the outsourced processes controlled?</p> <p>f) Is communication with customers established in respect of:</p> <ul style="list-style-type: none"> • Products & services • Enquiries & contracts including changes • Customer feedback including complaints • Handling customer property • Contingency plans when relevant <p>g) Is the ability to meet the requirements ascertained before committing to supply products &</p>			<p>2</p> <p>2</p> <p>2</p> <p>2</p> <p>2</p> <p>2</p> <p>2</p>

	<p>services?</p> <p>h) Does the review include:</p> <ul style="list-style-type: none"> • Requirements stated by the customer • Requirements not stated by customer but are necessary, when known • Requirements specified by the organization • Statutory & regulatory requirements applicable • Contract requirements differing from those previously expressed and their resolution <p>j) Are the relevant persons made aware of changed requirements, if any?</p> <p><u>Design & Development</u></p> <p>a) When Design & Development of products & services is involved, are the processes, including controls, established, implemented and maintained to ensure provision of products & services?</p> <p>b) Are Design inputs adequate, complete and unambiguous?</p> <p>c) Are Design reviews conducted to evaluate the ability of Design & Development results to meet requirements?</p> <p>d) Is Design verification conducted to ensure outputs meet input requirements?</p> <p>e) Is Design validation conducted to ensure the products & services meet their intended use?</p> <p>f) Do Design outputs specify characteristics essential for intended purpose?</p> <p>g) Are the changes made during or subsequent to Design & Development controlled to avoid adverse impact on conformity to requirements?</p> <p><u>Control of externally provided processes...</u></p>			<p>2</p> <p>2</p> <p>3</p> <p>3</p> <p>3</p> <p>3</p> <p>3</p> <p>3</p> <p>3</p>
--	--	--	--	--

<p>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?</p>			6
<p><u>Production & service provision</u></p>			
<p>a) Are documentation available to define the characteristics of the products to be produced / services to be provided?</p>			2
<p>b) Are monitoring & measurement activities implemented at appropriate stages? Are the resources adequate? Are the persons deployed competent?</p>			2
<p>c) Is the ability to achieve planned results validated periodically when the resulting output cannot be verified by measurement?</p>			2
<p>d) Are there measures implemented to prevent human error?</p>			2
<p>e) Are the outputs identified throughout production wrt their inspection status?</p>			2
<p>f) When traceability is required, are the outputs uniquely identified?</p>			2
<p>g) Are measures in place to identify, verify, protect & safeguard customer's property? Are they reported when lost, damaged or otherwise unsuitable for use?</p>			2
<p>h) Are the outputs preserved during production to the extent necessary to ensure conformity to requirements?</p>			2
<p>j) Are post-delivery activities determined wrt nature, use & intended life time, customer requirements & feedback, statutory & regulatory requirements and potentially undesirable</p>			3

	<p>consequences?</p> <p><u>Release of products & services</u></p> <p>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?</p> <p><u>Control of non-conforming outputs</u></p> <p>a) Are non-conforming outputs identified & controlled to prevent their unintended use / delivery?</p> <p>b) 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?</p>			<p>6</p> <p>4</p> <p>4</p>
7.	<p><u>Performance evaluation</u></p> <p>a) Is it determined as to what needs to be monitored & measured and when, the methods for monitoring, measurement, analysis & evaluation?</p> <p>b) Are the customer's perceptions, of the degree to which their needs & expectations have been fulfilled, monitored?</p> <p>c) Are there provisions to analyze & evaluate:</p> <ul style="list-style-type: none"> • Conformity of products & services • Degree of customer satisfaction • Performance & effectiveness of QMS • Effectiveness of implementation of planning • Effectiveness of actions taken to address risks & opportunities • Performance of external providers 			<p>2</p> <p>2</p> <p>7</p>

<ul style="list-style-type: none"> • Need for improving QMS <p>d) Are Internal Audits conducted at planned intervals to assess effective implementation of QMS?</p> <p>e) Are these Audit programs planned, established, implemented & maintained defining frequency, scope & criteria and the Auditors?</p> <p>f) Are the results of audit reported to the management and correction & corrective action taken without delay?</p> <p>g) Does the Top Management review the QMS at planned intervals? Does the review take into account:</p> <ul style="list-style-type: none"> • Status of actions from previous reviews • Changes in external & internal issues • Adequacy of resources • Effectiveness of action taken to address risks & opportunities • Opportunities for improvement • 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 <p>h) Does the management review result in decisions & actions related to Opportunities for improvement, need for changes to QMS & resource needs?</p> <p>8.Improvement</p> <p>a) Are opportunities for improvement selected for implementation of action to:</p>			<p>2</p> <p>1</p> <p>2</p> <p>6</p> <p>2</p> <p>6</p>
---	--	--	---

	<ul style="list-style-type: none"> • enhance customer satisfaction by improving products & services, addressing future needs & expectations • prevent or reduce undesired effects • improve performance & effectiveness of QMS <p>b) Does the organization react to any non-conformity by first correcting it & then deal with consequences?</p> <p>c) Is a Root Cause Analysis done and action taken to eliminate the cause?</p> <p>d) Is the effectiveness of corrective action reviewed?</p> <p>e) Are the suitability, adequacy & effectiveness of the QMS continually improved?</p>			<p>3</p> <p>5</p> <p>3</p> <p>3</p>
--	---	--	--	-------------------------------------

Performance Matrix for Self Certification of DPSUs & Pvt Vendors

(Matrix will be applicable for the particular product)

SI No.	Performance Parameters	Max marks allotted (*Method of marking is given at the end of this appendix)
1.	Manufacturing Plant & Machinery (P&M)	50
	a) Availability of Essential P&M	10
	b) Modernisation / Initiatives taken	10
	c) Adherence to QAP / Process schedule	10
	d) Availability of online recording of test results	10
	e) Calibration status of equipment / gauges	10
2.	Tech Manpower	50
	a) Qualification of Technical Manpower	10
	b) Technical Expertise of Manpower	10
	c) Structured , Refresher/ Upgradation training plan	10
	d) Strength of Manpower for QC & internal Audit	10
	e) Competence of man power for QC & internal Audit	10
3.	Evaluation of Input Material	90
	a) Assessment of effectiveness of QC of Suppliers	10
	b) Adherence to sampling plan as per governing specification	10
	c) Outsourcing of tests & criteria for selection of lab	10
	d) Inspection & acceptance procedures	10
	e) Non Conformities reported by QA & remedial actions taken	10
	f) Procedure for dealing with Rejections and their rectification	10

	g) Deviation granting system, its basis & criteria	10
	h) Adherence to AHSP advice / directions	10
	i) Adequacy of Procedures	10
4.	Laboratory Processes	80
	a) Scope of NABL Accreditation w.r.t. the store	10
	b) Availability of testing facilities	10
	c) Maintenance of testing facilities	10
	d) Record of daily assignment & output.	10
	e) Eqpt Calibration Log	10
	f) Use of specified grade of chemicals & Instrument	10
	g) Preparation, validation and maintenance of standard solutions	10
	h) Adequacy of Procedures	10
5.	Process Management	180
	a) Identification of Process parameters for control to meet functional requirements of the designed store	10
	b) Process Schedules: Adequacy and Conformity	10
	c) Process Control (SPC Techniques): Deployment and effectiveness	10
	d) Quality Control (SQC Techniques): Deployment and effectiveness	10
	e) Process Capability analysis for critical and functional dimensions/Parameters	10
	f) Adherence to specified Process Parameters	10
	g) QAPs: Adherence during QC	10
	h) Internal Audits: Adequacy	10
	i) Remedial Actions on findings & recommendations of Process Audit	10
	j) Management of Outsourced Processes	10
	k) Absorption of Technology transferred	10

	l) Conformity to Drgs / Specs (as specified by AHSP)	10
	m) Availability and maintenance of process log books	10
	n) Management of Rejects / Defectives	10
	o) Bond Room management and Accounting	10
	p) Jigs & Fixtures: Adequacy, serviceability & modernisation	10
	q) Non- conformances in manufacturing: Effectiveness of Root Cause Analysis and remedial measures taken	10
	r) Facilities for Packing, Marking, Handling & Storage	10
6.	Quality Control (QC)	70
	a) Adequacy of procedures	10
	b) Adherence to sampling plan as per specification	10
	c) Documentation for sampling, records of QC and sentencing prior to offering stores for QA	10
	d) Adequacy of inter-stage inspection and records	10
	e) Accounting procedure for line rejections	10
	f) Measures to prevent mixing of rejected stores with conforming products	10
	g) Procedure for dealing with violations of QC norms	10
7.	Final Rejection	10
	Disposal of Non-conforming products / Rejects	10
8.	Response to QA Advice	30
	a) Implementation of remedial measures on QINs	10
	b) Implementation of Process Audit recommendations	10
	c) Deployment of special techniques like Process studies, trend analysis, Quality Improvement Tools etc.	10
9.	Packing & Dispatch	50
	a) Measures to prevent mixing of unstamped and / or	10

	rejected stores	
	b) Adherence to packing & marking instructions	10
	c) Mechanism to resolve User concerns (discrepancies reported during handling & storage / in depots)	10
	d) Packing as per Inspection Notes	10
	e) Adequacy of Procedures	10
10.	Customer Feedback	40
	a) Whether feedback obtained from customer	10
	b) Action taken based on customer feedback	10
	c) Analysis of Defect Reports raised by User	10
	d) Action taken to resolve / settle Consignee End Rejection reports	10
11.	Quality Concerns	50
	a) Quality issues & their resolution	10
	b) Implementation of remedial measures suggested	10
	c) Details of non-conforming stores leading to accidents / defects	10
	d) Replacement / Rectification of defective lots/ Eqpt	10
	e) Process & product improvement initiatives & achievements	10

***METHOD OF MARKING**

<u>Clauses for marking</u>	<u>Marks allotted</u>
Completely Adequate	10
Comprehensive, however improvement required	08
Meets minimum requirement	05
Incomplete, inadequate, requires correction	02
Non-existent, completely inadequate	00

DIRECTOR GENERAL OF QUALITY ASSURANCE

MINISTRY OF DEFENCE, GOVERNMENT OF INDIA

Having examined the Quality System, Quality Control Practices and Quality of the Products of and having found their performance as per laid down criteria, hereby award 'SELF-CERTIFICATION' status to M/s (DPSU/ Pvt Vendor) for supply of the following products for three years:

S No	Product	Part No	Assessment Report	Reference
------	---------	---------	-------------------	-----------

This facility will be governed by the conditions overleaf and shall be applicable for a maximum period of three years from the date of issue of this certificate.

Controller	Addl DGQA	DGQA
------------	-----------	------

HQ DGQA

New Delhi – 110 011	Certificate No	Date
---------------------	----------------	------

Name of the DPSU/ Pvt Vendor

Conformance Certificate

The stores as per details given below have been inspected and it is confirmed that the same are released under the Self-certification scheme:-

- (a) Self-certification approval No and date
- (b) Nomenclature
- (c) Part No
- (c) Supply Order No & Date
- (d) Governing specification/Drawing
- (e) Lot/Batch No
- (f) Date of Manufacture
- (g) Quantity
- (h) Consignee

Complete Test Reports and Warranty certificate in respect of the above mentioned lots are enclosed herewith.

It is hereby certified that the stores offered above have been identified with the "Self-certification" mark.....and that the above mentioned stores have been manufactured as per the Quality System approved at the time of grant of Self-certification status and that they conform to the specification/requirements in all respects.

Seal

Name, Designation & Signature of the

Date:

authorized functionary of the DPSU/ Pvt Vendor

DIRECTOR GENERAL OF QUALITY ASSURANCE

MINISTRY OF DEFENCE, GOVERNMENT OF INDIA

The 'SELF-CERTIFICATION' status awarded to.....
Vide Certificate No.....dated.....for the following
products is hereby renewed for a period of three years from the date of issue of this Certificate.

S No	Product	Part No	Assessment Report	Reference
------	---------	---------	-------------------	-----------

The Self-certification status shall continue to be governed by the conditions listed in the original certificate.

Controller	Addl DGQA	DGQA
HQ DGQA	Certificate No	Date

New Delhi – 110 011